

INDEPENDENT EVALUATION OF DELIVERING AS ONE



United Nations

MAIN REPORT

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ACRONYMS

CCA	Common country assessment	IOM	International Organization for Migration
CEB	Chief Executives Board	IPSAS	International Public Sector Accounting Standards
CET	Core Evaluation Team	ITC	International Trade Centre
CLE	Country-led evaluation	ITU	International Telecommunication Union
CPAP	Country programme action plan	JIU	Joint Inspection Unit
CSO	Civil society organization	JP	Joint programme
DaO	Delivering as One	LTA	Long-term agreement
DOCO	Development Operations Coordination Office	MCDGC	Ministry of Community Development, Gender and Children (Tanzania)
ECA	Economic Commission for Africa	MDG	Millennium Development Goal
ECE	Economic Commission for Europe	MDG-F	Spanish Millennium Development Goal Development Fund
ECLAC	Economic Commission for Latin America and the Caribbean	MDTF	Multi-Donor Trust Fund
ECOSOC	Economic and Social Council	NGO	Non-governmental organization
EFW	Expanded Delivering as One Funding Window for Achievement of the Millennium Development Goals	OCHA	Office for the Coordination of Humanitarian Affairs
EMG	Evaluation Management Group	ODA	Official development assistance
EPTA	Expanded Programme of Technical Cooperation	OECD/DAC	Organisation for Economic Co-operation and Development/Development Assistance Committee
ESCAP	Economic and Social Commission for Asia and the Pacific	OHCHR	Office of the High Commissioner for Human Rights
ESCWA	Economic and Social Commission for Western Asia	OPEC	Organization of the Petroleum Exporting Countries
FAO	Food and Agriculture Organization	OSCE	Organization for Economic Co-operation and Security in Europe
FTOR	Framework terms of reference	PAHO	Pan American Health Organization
HACT	Harmonized approach to cash transfers	PMORALG	Prime Minister's Office: Regional Administration and Local Government (Tanzania)
HLCM	High-Level Committee on Management	PUN	Participating UN agency (Tanzania)
HLCP	High-Level Committee on Programmes	QAP	Quality Assurance Panel
HLP	High Level Panel	QCPR	Quadrennial comprehensive policy review on operational activities for development
HR	Human resources	RC	Resident coordinator
IADG	Internationally agreed development goals	SWC	(United Nations) System-Wide Coherence
IAEA	International Atomic Energy Agency	TCPR	Triennial comprehensive policy review on operational activities for development
IASB	International Accounting Standards Board	UNAIDS	Joint United Nations Programme on HIV/AIDS
IASC	Inter-Agency Standing Committee	UNCDF	United Nations Capital Development Fund
ICAO	International Civil Aviation Organization	UNCT	United Nations country team
ICT	Information and communication technology	UNCTAD	United Nations Conference on Trade and Development
ICTR	International Criminal Tribunal for Rwanda		
IDP	Internally displaced person		
IFAD	International Fund for Agricultural Development		
IFRS	International Financial Reporting Standards		
ILO	International Labour Organization		
IMF	International Monetary Fund		
IMO	International Maritime Organization		

UNDAF	United Nations Development Assistance Framework	UNIC	United Nations information centres
UNDAP	United Nations Development Assistance Plan	UNICEF	United Nations Children's Fund
UN-DESA	United Nations Department for Economic and Social Affairs	UNIDO	United Nations Industrial Development Organization
UNDG	United Nations Development Group	UNIFEM	United Nations Development Fund for Women
UNDP	United Nations Development Programme	UNODC	United Nations Office on Drugs and Crime
UNDSS	United Nations Department of Safety and Security	UNRWA	United Nations Relief and Works Agency
UNEG	United Nations Evaluation Group	UNV	United Nations Volunteers
UNEP	United Nations Environment Programme	UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
UNESCO	United Nations Educational, Scientific and Cultural Organization	UPU	Universal Postal Union
UNFPA	United Nations Population Fund	USAID	United States Agency for International Development
UN-Habitat	United Nations Human Settlement Programme	WFP	World Food Programme
UNHCR	United Nations High Commissioner for Refugees	WHO	World Health Organization
		WIPO	World Intellectual Property Organization
		WMO	World Meteorological Organization

1. INTRODUCTION

1.1 Report structure and content

1. This report summarizes the work of the independent evaluation of lessons learned from the Delivering as One (DaO) pilot countries. Chapter 1 introduces the initiative and describes this evaluation, including its methodology. Chapter 2 presents the context of Delivering as One and the way it has been implemented across the eight pilot countries and in the wider UN system. Chapter 3 discusses the key findings of the evaluation.¹ It aims to give an empirical account of the eight pilots. Chapter 4 presents the evaluation's conclusions,² Chapter 5 the recommendations and Chapter 6 the lessons learned from the pilots.³ Some final remarks are included as Chapter 7.
2. Chapters 1 to 4 reflect the work of the team of consultants tasked with the evaluation, which was overseen by the Evaluation Management Group.⁴ Chapters 5 to 7 (recommendations, lessons learned and final remarks) were crafted by the Evaluation Management Group on the basis of the evidence and analysis presented by the evaluation team.

1.2 The origins of Delivering as One

3. The Delivering as One approach emerged from a process of intergovernmental decision-making on the UN system's operational activities. Triennial comprehensive policy review resolutions adopted in 2001, 2004 and 2007⁵ called for a strengthening of the UN development system. Delivering as One initiatives can be considered attempts to respond to these provisions on a pilot basis.
4. The 2005 World Summit Outcome document⁶ suggested approaches to make the UN development system more coherent, effective and relevant. UN Member States recommended implementation of operational reforms aimed at strengthening the results of UN country activities through such measures as an enhanced role for the senior resident official, whether special representative, resident coordinator (RC) or humanitarian coordinator, and a common management, programming and monitoring framework.
5. In the outcome document, the UN General Assembly invited the UN Secretary-General to launch work to further strengthen the management and coordination of UN operational activities and to make proposals for consideration of Member States for more tightly managed entities in the field of development, humanitarian assistance and the environment.

1. According to the Organisation for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC) glossary, "a finding uses evidence from one or more evaluations to allow for a factual statement".

2. Conclusions are defined in the DAC glossary as follows: "Conclusions point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments."

3. The DAC glossary defines these as: "Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact."

4. See section 1.3 for details on the modality of this evaluation.

5. General Assembly resolutions on the triennial comprehensive policy review of operational activities for development of the United Nations system: A/56/201 adopted on 21 December 2001, A/59/250 adopted on 22 December 2004 and A/62/208 adopted on 19 December 2007. The review takes place every three years (from 2012, every four years, becoming the quadrennial comprehensive policy review).

6. General Assembly resolution A/60/1 2005, World Summit Outcome document.

6. In response to these recommendations from Member States, the Secretary-General appointed the High-Level Panel on UN System-Wide Coherence in the Areas of Development, Humanitarian Assistance and the Environment.⁷ It finalized its report, “Delivering as One”, in November 2006.
7. The outgoing Secretary-General presented the recommendations of the panel to the General Assembly in November 2006⁸, and the incoming Secretary-General analysed the main recommendations in a formal report in April 2007.⁹
8. One of the key recommendations of the panel was that the UN system should “deliver as one” at country level. The panel suggested this could include the adoption of the “Four Ones”, namely One Leader, One Programme, One Budget and, where appropriate, One Office.
9. This proposal was conceptualized within the framework of enhanced progress towards the Millennium Development Goals (MDGs) and other internationally agreed development goals. The panel report also contained far-reaching proposals with regard to new governance and funding arrangements at the central level to support a Delivering as One approach.
10. The debate on the recommendations of the panel among Member States revealed wide gaps not only between donor countries and countries of the global South, but within each of these groups as well. It gave rise to an informal process of debate on system-wide coherence.
11. Consequently, the recommendations of the panel, although already available at the end of 2006, were not taken into consideration in the deliberations for the triennial comprehensive policy review resolution at the end of 2007.¹⁰ The only reference to Delivering as One appears in paragraph 139 of the resolution, calling for an exchange of lessons learned among pilot countries as well as for an independent evaluation.
12. The conceptual debates contributed to the development and adoption of resolutions on system-wide coherence in 2008, 2009 and 2010.¹¹ These have enriched intergovernmental guidance to the UN development system already contained in the 2007 triennial comprehensive policy review resolution.
13. At the end of 2006, the Secretary-General formerly announced the selection of the eight countries that had volunteered to pilot the Delivering as One approach. These were Albania, Cape Verde, Mozambique, Pakistan, Rwanda, the United Republic of Tanzania, Uruguay and Viet Nam.
14. On 22 November 2006, the Secretary-General requested the Chair of the United Nations Development Group (UNDG) to lead an effort with the executive heads of the UNDG to move forward with the “One United Nations” initiative based on the interest expressed by programme countries.
15. The purpose of the pilots as expressed in their preparatory documentation was to allow the UN system, in cooperation with host governments, to develop approaches that would enhance its coherence, efficiency and effectiveness at country level; reduce transaction costs for national partners; and provide an opportunity to test different approaches to see what works best in various country situations.
16. As noted above, the concept of Delivering as One proposed by the High-Level Panel was not adopted by Member States, so that no unified definition of it exists. Rather, it came to include a menu of approaches, which could be used and added to in various ways by the pilot countries, in keeping with the view that “no one size fits all”.

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

8. Note of Secretary-General Kofi Annan to the General Assembly of 20 November 2006, A/61/583.

9. Report of Secretary-General Ban Ki-moon to the General Assembly of 03 April 2007, A/61/836.

10. Resolution A/62/208.

11. Resolutions A/62/277 adopted on 15 September 2008, A/63/311 adopted on 14 September 2009 and A/64/289 adopted on 30 June 2010.

17. At the request of the Chief Executives' Board and the High-Level Committee on Programmes, the United Nations Evaluation Group (UNEG) conducted evaluability assessments of the Delivering as One pilots in 2008. These described and analysed parameters that would make it possible, at a later stage, to evaluate the results of the pilot initiatives and the processes that led to these results.¹²
18. Representatives of the governments of the eight pilot countries, as well as of other countries that had voluntarily adopted Delivering as One, met in Maputo (Mozambique) in 2008, Kigali (Rwanda) in 2009, Ha Noi (Viet Nam) in 2010 and Montevideo (Uruguay) in 2011 for exchanges of experiences and lessons learned, and to consider the way forward. In addition, the intention of the meetings was to communicate progress and critical issues to mobilize the support of programme and donor countries as well as of the broader UN system, in order to strengthen reforms and help deliver stronger results at country level.
19. In 2010, seven of the eight pilot countries (Albania, Cape Verde, Mozambique, Rwanda, the United Republic of Tanzania, Uruguay and Viet Nam) conducted extensive country-led evaluations. These were carried out in accordance with the provision of the 2007 triennial comprehensive policy review resolution for "programme country pilot countries to evaluate and exchange their experiences, with the support of the United Nations Evaluation Group".¹³ Terms of reference and various draft products of these evaluations were reviewed by the UNEG before they were finalized.¹⁴ In the case of Pakistan, instead of a country-led evaluation, a stocktaking exercise took place with a report prepared in 2010 in consultation with the Government of Pakistan and involving UN organizations.

1.3. Mandate and modality of the independent evaluation

20. In accordance with General Assembly resolution A/64/289 of 2 July 2010 on system-wide coherence, an independent evaluation of lessons learned from Delivering as One has been undertaken. The original mandate of the evaluation was contained in the 2007 triennial comprehensive policy review resolution.¹⁵
21. The evaluation has been conducted in accordance with the note of the office of the UN Deputy-Secretary-General of 21 May 2010 on the ad hoc arrangements for the independent evaluation of Delivering as One, to which reference is made in General Assembly resolution A/64/289 (paragraph 21).
22. The Secretary-General appointed an Evaluation Management Group (EMG) responsible for the oversight of the independent evaluation.¹⁶ The nine-member group comprises representatives of Member States from all regions, the Chair of the UNEG and a member of the Joint Inspection Unit (JIU). The United Nations Department of Economic and Social Affairs (UN-DESA) was mandated to provide administrative, logistical and technical support, ensuring a fully independent process.
23. A team of consultants was appointed to support the Evaluation Management Group in conducting the evaluation. The evaluation team was composed of a senior evaluation expert as team leader (coordinator), a senior evaluator as a deputy team leader (deputy coordinator), two programme evaluation specialists, two UN development assistance specialists, as well as national consultants recruited in six of the eight pilot countries. The evaluation team made inputs to the evaluation in terms of methodology development, evaluation implementation through collection of primary and secondary data, and analysis and preparation of a report submitted to the EMG.
24. The EMG was also assisted by a two-person quality assurance panel composed of an expert on the role and contribution of the UN system to development policies and development effectiveness in developing countries, and an expert in the design and implementation of complex and strategic evaluations.

12. The Chief Executives Board and the High-Level Committee on Programmes decided at a later stage to suspend the planned evaluation of Delivering as One in view of the fact that the General Assembly had already requested an independent evaluation.

13. Resolution A/62/208, paragraph 139.

14. The reports of the country-led evaluations can be found at www.undg.org/index.cfm?P=1292.

15. Resolution A/62/208, paragraph 139.

16. Note A/65/737 of 15 February 2011 and note A/65/737/Add.1 of 10 May 2011.

1.4. Purpose, objective and scope of the independent evaluation

25. The independent evaluation has been conducted according to the specifications of the framework terms of reference for the implementation phase, issued by the EMG on 7 October 2011. The terms outline the issues to be addressed, and the temporal, thematic and geographic boundaries within which evaluation evidence is acceptable. To meet these specifications, the evaluation has conducted a broad range of data gathering, analysis and assessment. It has also systematically excluded potential evidence that fell outside the boundaries specified in the framework terms. This issue is further explored in the section on the limitations of the evaluation.
26. The ultimate purpose of the independent evaluation is to inform the quadrennial comprehensive policy review in late 2012, as well as other intergovernmental processes concerning system-wide coherence. The overall objective of the evaluation is to assess the contribution and value added of the Delivering as One approach, and to draw lessons learned in this context that are significant for the UN system as a whole.
27. The evaluation includes evidence from the beginning of 2006 (the year before Delivering as One started) to the end of December 2011 and is mandated to assess:
 - The voluntary Delivering as One initiatives in the eight pilot countries (Albania, Cape Verde, Mozambique, Pakistan, Rwanda, the United Republic of Tanzania, Uruguay and Viet Nam);
 - Progress, processes and context, as well as lessons learned from pilot experiences, and remaining challenges to Delivering as One; and
 - Systemic issues of UN reform related to or triggered by Delivering as One at headquarters, regional and country levels.
28. As specified in the framework terms of reference, the evaluation does not cover the so-called “self-starters”—additional countries that have adopted Delivering as One or elements thereof on a voluntary basis. Nor does it explore countries that have adopted “reformed” UN Development Assistance Framework (UNDAF) approaches. Furthermore, it does not evaluate the overall performance of the UN development system in individual pilot countries or across pilot countries. It is therefore a synthetic evaluation of the lessons learned from the pilot experience and not a comparative assessment of performance across countries.

1.5 Evaluation criteria used

29. In accordance with the framework terms of reference, the following evaluation criteria are used as key elements of the assessment process:¹⁷
 - Relevance of the Delivering as One pilot initiatives and of the approach as a whole in terms of responsiveness to the needs and priorities of individual pilot countries, and enhanced relevance and coherence of the UN development system;
 - Effectiveness in terms of strengthened national ownership and leadership, and enhanced national capacities/capacity development in pilot countries; contribution of the UN system to development results; implementation of appropriate processes; and production of results, including on cross-cutting issues, notably gender equality and women’s empowerment;
 - Efficiency in terms of the reduction of transaction costs for countries, the UN system and other partners; new ways of doing business; simplification and harmonization of rules, regulations and procedures; and additional, more predictable and more flexible funding mechanisms; and
 - Sustainability in terms of the probability of Delivering as One continuing over time and the likelihood of long-term benefits from it, both at the level of the pilot countries and for the UN development system as a whole.

17. Definitions of the evaluation criteria are taken from the framework terms of reference.

30. All four evaluation criteria are both complex (consisting of several distinct elements, which may have varying levels of achievement) and generic (needing to be given specific meaning within the objectives and implementation approaches of Delivering as One in the pilot countries). During its methodological development, the evaluation had to determine how each criterion could be specified and assessed in the context of the experiences of the eight pilot countries.

1.6 Key evaluation questions

31. On the basis of the framework terms of reference, the following set of key evaluation questions was formulated:¹⁸
- Q1: What were the original intentions of Delivering as One?
 - Q2: Why did countries volunteer, and how can the intentions of Delivering as One be related to their country circumstances?
 - Q3: What processes and resources have been put in place to operationalize Delivering as One at country, regional and global levels?
 - Q4: What happened at the country level, and how did the context influence how Delivering as One was implemented?
 - Q5: What were the most significant changes (at country, regional and global levels) to which Delivering as One contributed, recognizing intended objectives, and were there any unintended consequences? How and why did these changes and consequences come about?
 - Q6: In what ways has the UN system (particularly headquarters of UN organizations) supported and/or constrained Delivering as One implementation and results—or produced unintended consequences?
 - Q7: What are the key lessons, based on positive contributions or challenges faced by the Delivering as One initiatives, that can be carried forward into the future work of the United Nations system?

1.7 Defining the challenges that Delivering as One aimed to address¹⁹

32. The Delivering as One pilot programme posed a difficult methodological issue before the evaluation process could begin, based on evaluation question one: “What were the original intentions of Delivering as One?” Generally, evaluands²⁰ have a clear definition of their objectives, and a more or less pre-determined set of activities or processes intended to contribute towards their achievement. In contrast, Delivering as One was conceived as a multiple country-led approach to reforming the delivery of UN development assistance. There was therefore no agreed common framework for how it should be implemented. In order to establish a basic framework against which to assess the effects at country level, as well as at the wider systemic levels, it was therefore necessary to first establish an understanding of what Delivering as One was trying to achieve across all eight pilots.
33. The evaluation constructed this understanding on the basis of its detailed review of triennial comprehensive policy review and system-wide coherence resolutions and the recommendations of the High-Level Panel on UN System-Wide Coherence. Analysis of these formative documents concluded that Delivering as One is a global initiative intended to address a set of generic challenges, which have been identified by Member States and a panel of experts as inhibiting UN performance, particularly at country level. The key challenges, which required responses both at country and systemic levels, are shown in Figure 1.1 and discussed in this section.
34. The overall challenge at country level (shown on the right-hand side of Figure 1.1) was that the UN system was making sub-optimal contributions to helping Member States meet their national objectives, including commitments associated with the MDGs and/or other internationally agreed development goals. In terms

18. An evaluation matrix was used to ensure that key evaluation questions were appropriately addressed.

19. This section addresses evaluation question one: “What were the original intentions of Delivering as One?”

20. The evaluand is the subject matter of the evaluation—that which is being evaluated.

of the four evaluation criteria,²¹ this relates closely to the issue of sustainability, since it is likely that both Member States and UN country teams wish to continue approaches relevant to national priorities, and for the UN system to provide effective and efficient support (i.e., an optimal contribution).

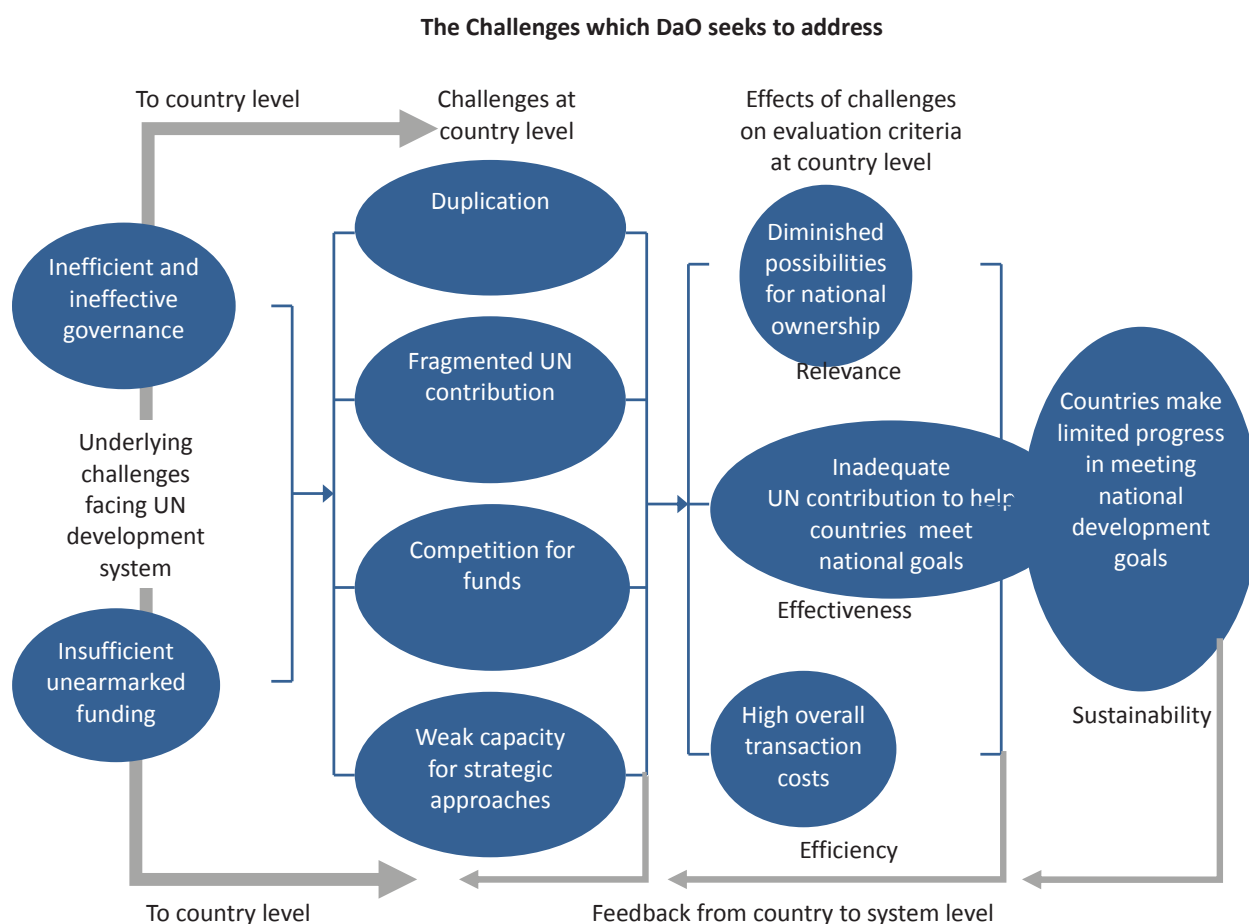
35. Two underlying issues, shown on the left side of Figure 1.1, interacted to set in motion the overall challenge. The first of these concerned the governance systems of the UN system, which were assessed by the High-Level Panel and system-wide coherence resolutions as inefficient and ineffective. The second was the predominance of “earmarked” funding restricted to specific projects and programmes. Although valuable, earmarked resources may not be designed to respond to national development priorities and may limit the development of coherent UN country programmes. This is because they focus on issues identified by donors, usually on a global or regional basis, rather than on areas chosen in discussions between programme country governments and the UN country team.
36. At the country level, four specific challenges arose from these two underlying issues. The first entailed various types of duplication and overlap. For example, it was common to find different organizations in a given country performing similar roles, providing the same services, and addressing the same issues, often without consultation with each other, and with varying concepts or approaches. Further, there was substantial inconsistency in procedures, with virtually each organization having its own procurement, recruitment and other systems, with no overall harmonization. Attempts were rarely made to prepare approaches in which each organization would adapt its contribution to best fit the overall national context. The situation obliged national beneficiaries and institutions to adapt to several different operational and conceptual modalities. It appeared incoherent and lacking in coordination to governments, donors and other stakeholders, and added to the transaction costs of partners of the UN system. It signaled to outside stakeholders that there were problems in terms of efficiency, value for money and transaction costs, which discouraged discretionary resource flows from other development partners into the UN system. From the national viewpoint, UN assistance imposed transaction costs disproportionate to the relatively modest contribution of the UN system in terms of official development assistance (ODA) in most countries.
37. The second challenge was widely referred to as fragmentation. This again had several dimensions. In the first place, the UN system in any country appeared to have as many leaders as there were organizations, with minimal attempts to prepare or deliver common positions on issues affecting the country. Even though the UN system has developed the UNDAF as an instrument to promote coherence, this has not proved fully effective. It is not linked to resource mobilization, which still depends on individual agencies, each of which is responsible to its own governing body. Programmes continued to function within organization-specific accountability frameworks, and did not maximize synergies to address national priorities in a coherent fashion. This made it difficult to assess the efficiency or effectiveness²² with which the UN system managed resources to support national development priorities.
38. The evaluation found the issue of fragmentation a difficult one to conceptualize and analyse. This is because, historically, each UN organization has been established with its own specific mandate, which has evolved over time to involve a number of types of activities, in response to decisions of relevant governing bodies. The pursuit of these mandates by each fund, programme and specialized agency has led to a set of overlapping activities at the country level. Inter-agency mechanisms at headquarters level have not effectively promoted coordination or coherence, owing to differences in business models and levels of delegated authority. This creates apparent or real duplication or overlap of services, functions and mandates, as well as “fragmentation” of single issues into several parts. They may be treated in an isolated and unrelated manner, rather than through comprehensive and coherent support from the entire UN system. The evaluation concluded, however, that, since the UN system was not designed as one, it cannot have “fragmented”. Rather, it was assembled through a historic process of creating separate but overlapping mandates, or “fragments”, which have not yet been brought together in a coherent manner. Delivering as One can be seen as an attempt to catalyse this process.

21. See Section 1.5.

22. See Section 1.5.

39. The third challenge at country level, which is related to the previous two, was competition for funds. The combination of decentralization of funding responsibilities of some donors to country level and stagnating UN core resources placed pressure on organizations to mobilize much of the resources for country programmes locally. Far from consistently collaborating, organizations often competed with each other to gain funding for their programmes. This process led to what outside stakeholders saw as “mandate creep”, as some organizations actively sought funding for programmes that appeared somewhat loosely connected to their core mandate.
40. The fourth challenge is a natural outcome of the first three. The UN system lost much of its capacity to develop and implement strategic approaches, and was seen to lack a focus on complementarity and coherence.
41. As shown in Figure 1.1, the country level challenges caused three negative effects on UN performance. Firstly, the combination of inter-agency duplication, fragmentation and competition meant that governments became somewhat peripheral to UN processes, with minimal possibility to “own” a set of processes, since these were not fully coherent or effective. In terms of the evaluation criteria, this made it difficult for the UN system to achieve relevance. Secondly, the UN system delivered its intended services and activities considerably below their potential, thereby limiting its achievements in terms of the evaluation criterion of effectiveness. Thirdly, transaction costs for all concerned became unacceptably high. This was particularly so for governments, which often had to interact with upwards of 20 organizations that seemed uncoordinated with each other, but also for donors at national level, which had to deal with increasing numbers of organizations submitting funding proposals. These factors reduced performance of the UN system in terms of efficiency. It led governments to engage with the UN system with some caution, fearing that the transaction costs might be high in comparison with the benefits. Donor requirements for accountability and visibility further exacerbated funding-driven fragmentation. The combination of the three negative effects led to an overall sub-optimal contribution of the UN system in helping countries meet their national goals, and therefore reduced the sustainability of those benefits to which it contributed, identified above as an overall challenge facing the UN at country level.
42. This analysis shows both the comprehensive range of challenges facing the UN system, the additional complexity of their inter-connectedness, and the iterative nature of the problems. While the corporate rather than inter-agency approach of higher levels of the UN system towards development fed “down” into diminished in-country performance, the perceptions of external stakeholders, such as governments and donors, of poor delivery and low relevance fed back “up” the levels of the system to reduce confidence of Member States in the capacity of the UN system to effectively address key development issues.
43. The Delivering as One pilot initiatives placed the responsibility for improved country-level performance firmly on the UN country teams. What they could not directly attempt was to reform the broader headquarters and regional levels of the system, and/or trigger reforms at the governance level in line with the pilots. Rather, the broader system would seek to respond to issues arising from the pilot countries as they were brought to its attention, as it was continuing with the more general UN reform agenda running in parallel to Delivering as One.

Figure 1.1:
The challenges that Delivering as One seeks to address



1.8 Evaluation methodology: using a theory of change analytical approach at country level

44. Having developed an understanding of the challenges that Delivering as One was intended to resolve, the evaluation sought to compare what was actually done at country level (and the results this produced) with what was expected to be done according to a theory of change. This was devised on the basis of the measures proposed by the High-Level Panel and UN resolutions on maximizing the contribution of the UN system to the development efforts of Member States. The approach provided a common theoretical framework used across all pilot countries, both to ensure comparable and consistent data collection, and to enable comprehensive analysis of achievements and progress towards the objective of Delivering as One.
45. The first step in this analytical process was to outline a simple theory of how the Four Ones were intended to solve the issues depicted in Figure 1.1.²³ Such theories are often presented diagrammatically as theories of change, logic chains, results chains²⁴ or related approaches. There is considerable debate over what exactly can be categorized as a theory of change; it is not appropriate in this evaluation to become involved

²³. A version of the diagram was presented and discussed at introductory meetings in the pilot countries. It was broadly accepted as a reasonable overview of the challenges facing UN country teams.

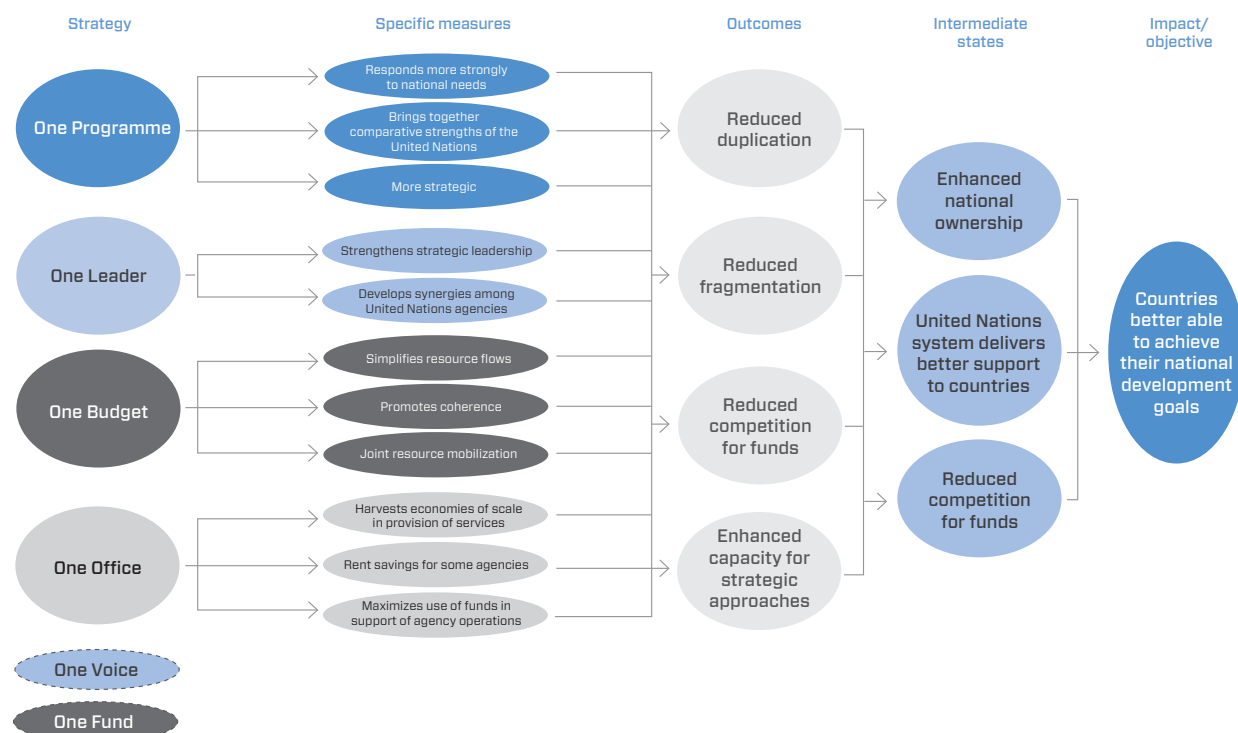
²⁴. The OECD/DAC glossary, for example, defines a results chain as, "The causal sequence for a development intervention that stipulates the necessary sequence to achieve desired objectives, beginning with inputs, moving through activities and outputs, and culminating in outcomes, impacts, and feedback."

in this discussion.²⁵ In presenting a theory of change for Delivering as One, the purpose was to break down its complex processes into simpler cause and effect chains, leading from the intervention strategies (the Ones) towards the ultimate objective of optimizing the UN contribution to countries achieving their development objectives. The framework terms of reference for the evaluation specifically required it to address the “likelihood of long term benefits from the approach”. Accordingly, although not an impact evaluation,²⁶ the evaluation had to consider progress towards long-term effects, which may contribute towards (or detract from) achievement of the objective of Delivering as One.

46. Using theory of change approaches and their diagrammatic representations simplifies processes, underplays complex inter-relationship between elements and does not adequately reflect the dimension of time. However, these issues have all been addressed during the data collection and analysis for each individual country. Accepting the limitations of the use of diagrams, a generic theory of change illustrating how the pilots could be expected to strengthen the UN system at country level is presented in Figure 1.2. Although individual countries approached Delivering as One in somewhat different ways, all drew initially on the Four Ones as basic building blocks. The diagram is not therefore an “approved” version of what any individual country attempted to do, but it provides an essential overall framework for analysis.

Figure 1.2:
A generic theory of change for Delivering as One at country level

Figure 1: A generic theory of change for “Delivering-as-one” at country level



47. The strategies used to achieve the objective of the Delivering as One pilots are examined in more detail in Section 2.3 of this report. At this stage, it is first necessary to discuss the approach adopted by the evaluation towards the Delivering as One strategies. After the High-Level Panel report established the concept

25. Theory of change approaches in academic contexts usually entail far more detailed analysis of such aspects as assumptions and impact drivers than is appropriate in the current context. The approach adopted could have an alternative label, such as a policy model.

26. The OECD/DAC glossary defines impacts as, “positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended” (p. 24).

of the Four Ones, they became widely used as a summary of the approaches to implementing the pilot programmes at country level. The concepts of the One Programme and One Office remained as envisaged.

48. As defined by the undg, “One Programme brings all members of the country team together under one nationally-owned strategy that draws on the full range of UN expertise. With full participation of relevant national and international partners, the UN Resident Coordinator leads the UN Country Team through a programming process to create a set of strategic results based on national priorities, the internationally agreed development goals, and the UN’s capacity and comparative advantages. The outcomes are listed as measurable, costed outputs resulting from UN support to national partners. The RCs are obliged to report annually to their national government, according to the TCPR 2007. The government coordinates the relevant line ministries who participate in the programming exercise and ensures appropriate prioritization on the government side, just as the Resident Coordinators do for the UN system, bringing in resident and non-resident agencies. The One Programme is revised regularly to reflect countries’ emergent needs.”²⁷
49. As intended, according to the undg, “One Office unites agencies working at the country level through harmonized business processes, common services and often common premises or a UN House. By establishing common services and clustering operational activities of agencies together the UN aims to reduce operational costs considerably and become more effective and efficient in supporting programme delivery. One Office describes the use of common services, common premises, and harmonized, simplified and unified business policies and procedures that help bring the UN Country Team together. The purpose of One Office is to increase efficiency, decrease transaction costs and produce savings which in turn should be spent on programmatic development work. By physically and functionally bringing everyone together, One Office can help a Country Team achieve greater economies of scale, improve collaboration among UN agencies and present a unified UN image at the country level.”²⁸
50. In addition to the original four Ones, other strategies gained prominence during implementation, notably the concept of One Voice and One Fund as distinct from One Budget (or One Budgetary Framework). This means that, in practice, there are six Ones that have been pursued in most pilot countries. The undg Delivering as One website²⁹ continues to refer only to the original Four Ones, and the evaluation has followed this practice in developing its theory of change. However, it has also gathered data on and assessed the special characteristics and achievements of the additional sub-categories. These are discussed in detail in later chapters.
51. As defined by the undg, “The concept of One Leader is for an empowered Resident Coordinator (RC) and an empowered UN Country Team to work together with clear accountability. Under the One Leader concept, the empowered Resident Coordinator is expected to provide strategic leadership throughout the development programming process, bringing together relevant analytical capacities, both national and international, developing synergies between various UN ‘assets,’ and linkages between the UN entities with their respective mandates and other partners.”³⁰
52. One Voice “was not mandated by the high-level panel report, but was a logical follow-on from the other ‘Ones’. Several of the pilots and other country offices have developed a common communication strategy in support of coherent programming as well as for internal communication among agencies’ staff. The pilots and other countries have...flagged a shift towards issue-based communication and upstream policy advocacy. By jointly promoting issues, UNCT should be able to advocate more effectively, contribute to development goals and enhance the reputation and visibility of agencies.”³¹
53. The One Budget, and its relation to the One Fund, is described by the undg as follows. “Under One Budget, the UN country teams’ agreed, costed results are presented in one financial framework, show-

27. Source: www.undg.org/index.cfm?P=1149.

28. Source: www.undg.org/index.cfm?P=1150.

29. Source: www.undg.org/index.cfm?P=7.

30. Source: www.undg.org/index.cfm?P=1147.

31. UN Children’s Fund (UNICEF), “Delivering Better Results for Children: A Handy Guide on UN Coherence”, p. 88.

ing each organization's planned input together with the funding source. Unfunded results are also identified. Each participating UN organization identifies the resources it expects to provide—whether in-kind or monetary—subject to funds being available. At the end of the year, agencies and government departments provide information on progress made against the planned results and actual expenditures, to give governments a clear picture of UN support. The results in the financial framework can be funded by agencies' core resources, national government contributions, direct contributions from donors, and a specific country coherence fund established for interested donors. This 'coherence' or 'Delivering as One' fund is managed by the Resident Coordinator on behalf of the UN system. New mechanisms such as the joint budgetary framework and One Fund have been effective tools, while UNCTs and governments have recognized there is flexibility in that not all resources have to be channeled through the One Funds. Partners (including governments) have a full and transparent overview of UN activities, financing and funding gaps. The emerging new approaches allow for highlighting funding gaps and joint resource mobilization at country level. Resource mobilization, including in partnership with the UN system, is becoming higher on Governments' agenda. Some donors made additional resources available to fund pilot projects and committed themselves to increase programme funding through an un-earmarked window. All the pilots see 'One Fund' as a tool to mobilize resources for the 'unfunded' results of the One UN Programme. All the pilots are implementing arrangements for the administration, governance and the allocation of money for the 'One Funds'.³²

54. The generic theory of change in Figure 1.2 outlines schematically how the Four Ones are expected to lead towards the intended objective of the Delivering as One pilots. On the left are the original Four Ones from the High-Level Panel report. Although this document was never formally approved, the Ones were adopted by all pilot countries. Each strategy generates a number of generic measures or inputs that are expected to deliver outputs, which will in turn lead to outcomes. The precise measures taken have varied across the pilots and are discussed in detail in Chapter 2 and in the country information sheets at the end of this report. Outputs are not presented in the theory of change, because they would generate so many entries that the overview of how change is intended to occur would be completely lost. The relationship between the strategies, measures and outcomes is expected to be complex, since, for example, one strategy may contribute to several outcomes, while a specific outcome may be generated by a combination of measures.
55. Moving along the theory of change diagram towards the objective, the achievement of outcomes, which build more or less directly on the outputs of the intervention, is important for long-term change. The four outcomes presented are derived from the analysis contained in the High-Level Panel report and from issues touched upon in triennial comprehensive policy review resolutions since the report. The outcomes are expected to generate or feed into broader processes, which contribute towards what are here referred to as "intermediate states". These mark significant changes in the characteristics, relationships and impacts of the UN system in a given country. They are derived from the same sources as the outcomes. If the intermediate states are achieved, they may be expected to significantly contribute towards the attainment of the ultimate objective of the intervention. The definition of this objective builds upon a detailed analysis of descriptions of the Delivering as One pilot process, which commonly emphasize the important role of UN support in assisting countries to reach their own development goals, within the international agreements to which they are party.
56. The theory of change was presented as part of the introductory workshops during the fieldwork phase of the evaluation. Stakeholders broadly recognized it as a reasonable overview of how Delivering as One is intended to bring benefits to countries and the UN system itself. However, they also emphasized another Delivering as One principle, namely that "no one size fits all". The precise details and emphases of what was targeted in each country will differ. Since the evaluation aimed to synthesize the experiences of the eight pilot countries, rather than to assess each country individually, the theory of change provided a useful starting point and analytical framework to allow a synthesis of the diverse experiences.
57. In a complex reform package, such as the Delivering as One pilots, the dimension of time is difficult, if not impossible, to specify in advance. It cannot be assumed, for example, that all outcomes can be achieved in

32. Source: www.undg.org/index.cfm?P=1148.

the same amount of time, or that all intermediate states are similar on this dimension. This is an important consideration when evaluating progress towards the reform objective. Since the time required to achieve a complex outcome or intermediate state cannot be pre-determined, the fact that there is more progress towards some outcomes than others is an empirical finding, which may or may not be related to the performance of the actors in the intervention. It may simply be the case that one outcome or intermediate state will, because of its particular characteristics and requirements, take longer to achieve than others.

58. The theory of change approach has powerful flexibility in terms of the possibility of making evidence-based assessments of progress and achievements. This is because it presents change as part of a process of moving towards one or more defined objectives. In doing so, it does not assume or require pre-determined timelines within which specific amounts of “progress” should have been attained. Thus, at whatever point in time the evaluation is conducted, it will already be possible to chart whether there is some progress along the theoretical pathway towards change. Whether this progress is in terms of measures implemented; outcomes or intermediate states achieved, to varying degrees; or substantive progress towards the objective, even if only in a limited field, it can be placed within the context of the overall theoretical pathway and evaluated.
59. In the current evaluation, the flexibility of the theory of change approach has been critical in assessing progress. The assessment criteria focus on whether progress along the expected pathways of change is proportionate to the efforts made and the time that has elapsed, given the complexity and difficulty of the change being sought. Chapters 3 and 4 draw together and interpret the evidence gathered by the evaluation, in order to present findings and conclusions, including assessments of progress.
60. In rating progress towards the objective of Delivering as One and the degree of achievement of the evaluation criteria, a five-point scale has been used. All rating scales require evaluators’ judgments, based on the evidence collected and the findings derived from it. Although such scales are not precise, they are always based on a set of criteria that enables the elements under evaluation to be assigned a rating. The assignment of each rating is “triangulated” in a number of ways.³³ These include: comparison of the findings on each element with each other, to assess their relative progress; assessment of each element according to an overall set of criteria; and comparison of assessments between members of the evaluation team. The five-point scale used in this evaluation is shown in Table 1.1.

TABLE 1.1: FIVE-POINT SCALE USED IN EVALUATION RATINGS

Rating	Characteristics
Very strong	Several significant positive factors, with no negative factors
Strong	Several significant positive factors with minor negative factors, or some (less significant) positive factors but no negatives
Moderate	Positive factors somewhat outweigh the negative factors
Little (“weak” for evaluation criteria)	Negative factors somewhat outweigh positive factors
Very little (“very weak” for evaluation criteria)	Negative factors strongly outweigh positive factors

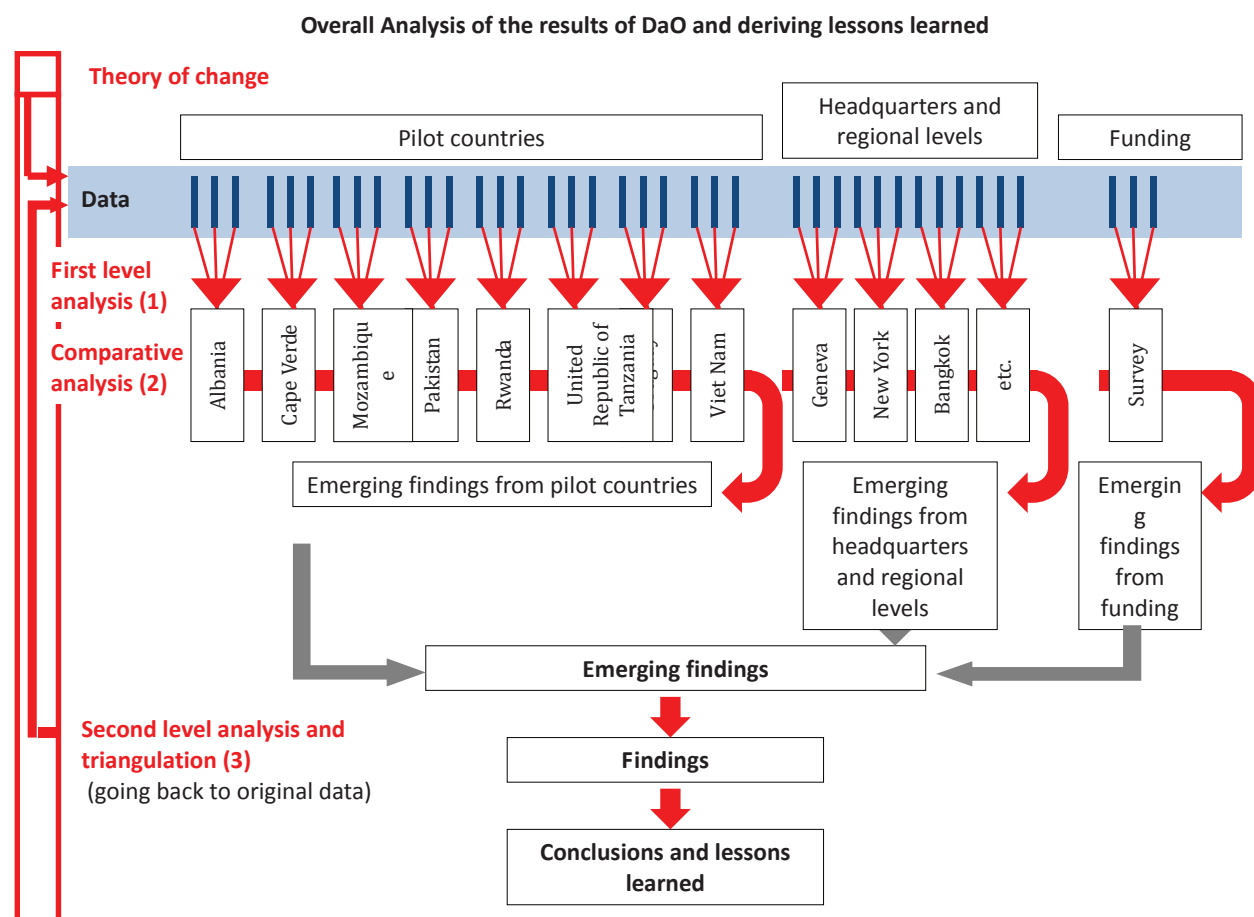
33. The OECD/DAC glossary defines triangulation as, “The use of three or more theories, sources or types of information, or types of analysis to verify and substantiate an assessment. Note: by combining multiple data sources, methods, analyses or theories, evaluators seek to overcome the bias that comes from single informants, single methods, single observer or single theory studies.”

1.9 Methodology, data collection and analysis

Methodology

61. During the evaluation's three-month inception phase, a systematic review of secondary data sources took place, including: a) background documents on the UN system; b) the country-led evaluations conducted in seven of the eight pilot countries³⁴, which were subjected to a critical assessment as to their independence, credibility and usefulness for the independent evaluation; c) documents related to the Delivering as One pilot in Pakistan; and d) documents related to systemic issues arising from support to or triggered by Delivering as One initiatives at headquarters and regional levels.
62. During the six-month implementation phase, the theory of change approach outlined above formed the basis for the evaluation's overall methodology. It was a key element in generating guidelines for data collection at country and other levels, and in analysing what was done, why and with what results, within and across countries. This process helped answer the key evaluation questions and assess the performance of Delivering as One against the evaluation criteria.

Figure 1.3:
Methodology, data collection and analysis processes of the Delivering as One evaluation



34. Albania, Cape Verde, Mozambique, Rwanda, the United Republic of Tanzania, Uruguay and Viet Nam.

Data collection³⁵

63. The evaluation drew on many data sources – quantitative and qualitative, primary and secondary.³⁶ Key secondary sources included an initial set of material about the pilot countries, including evaluability assessments conducted under the auspices of the UNEG and the seven country-led evaluations. In terms of the broader UN system, there were many documents on Delivering as One, or directly relevant to it, all of which were consulted. Preliminary reading of these documents enabled the development of the theory of change as a critical step in the overall methodology.
64. Extensive preparations were undertaken for primary data collection through fieldwork. Guidelines were prepared for data-gathering at country, headquarters and regional levels of the UN system, to assist in collecting full and comparable information from stakeholders at each level. Fieldwork missions took place to all eight countries based on a common format; where relevant, representatives from the government, UN system, civil society and donors were interviewed. Many additional documents were gathered during this process. In parallel, interviews were conducted within the UN system at the headquarters and regional levels, and with representatives of Member States.³⁷ Interviews were open-ended, based on guidelines for information to be obtained, but also allowing for additional stakeholder inputs. A final major block of data collection consisted of a detailed survey of UN country offices, which explored the financial dimensions and business practices associated with Delivering as One.

Data analysis

65. Within the overall framework provided by the theory of change approach, the first level of data analysis (see Figure 1.3) was conducted by the country evaluation mission teams, on the basis of stakeholder interviews and discussions, together with documents initially received (i.e., publicly available sources) and those added during the missions.³⁸ The additional documents included a broad mix of information sources, including minutes of meetings, UN country team retreats and locally published documents. Some stakeholders also produced written material specifically for the mission. An overview presentation on each pilot country was given to national stakeholders for feedback and factual corrections, which were taken into account in further country-level analysis.
66. On the basis of the individual country-level case studies, a comparative analysis (Figure 1.3) was undertaken of the similarities and differences between the experiences of the eight pilots. This comparative analysis covered such aspects as:
 - How the Ones were configured;
 - Main results areas across the pilots;
 - Challenges encountered;
 - Stakeholder perceptions of achievements; and
 - Other emerging issues.
67. The findings and conclusions from this country-level comparative work were fed into the overall assessment of the relevance, efficiency, effectiveness and sustainability of the benefits of the pilots, including in terms of key areas of variation among them. They also contributed to an assessment of the extent to which

35. The DAC glossary defines data collection tools as, “methodologies used to identify information sources and collect information during an evaluation. Note: Examples are informal and formal surveys, direct and participatory observation, community interviews, focus groups, expert opinion, case studies, literature search.”

36. Annex V lists documents consulted by the evaluation team.

37. Details of persons contacted are provided in Annex IV.

38. An important step in the refinement of approaches to country level analysis was a meeting of the evaluation team with some members of the Evaluation Management Group, the quality assurance panel and the secretariat. It was held in Geneva in early November 2011, immediately after the first set of three country missions. Perspectives and emerging issues from this meeting informed preparation for a series of meetings with UN organizations and Member States in New York, as well as for discussions with regional teams. The main directions of analysis at the different systemic levels are presented below.

the pilots had actually been designed to address the challenges facing the UN system, as well as the manner in which they intended to do so.

68. On the basis of this overall analysis, a picture was developed of the needs of country-level stakeholders, within and outside the UN system, for support from different components of the system. Furthermore, information was assembled and assessed concerning the extent to which the “higher” institutions of the system, at regional and headquarters levels, were perceived to have been effective and efficient in addressing these needs.
69. At the headquarters level of funds and programmes, and specialized agencies, analysis examined stated perspectives and documented outcomes of changes made in response to or anticipation of the needs arising from Delivering as One. Similarities and differences of perspectives among various elements of the UN headquarters system were explored to assess the extent to which a common headquarters perspective was emerging or to which perspectives differ (e.g., between funds and programmes, and specialized agencies, or among different management institutions in the system). The rationale, processes and outcomes of reforms of management and governance systems were assessed to develop an understanding of the extent to which they were catalysed by or responded to the emerging experiences of the pilot countries.
70. At the regional level, the extent to which new structures or procedures have been introduced in response to the needs and requirements of the different pilots was assessed. The perceptions of regional management teams of the results and challenges of Delivering as One were analysed and compared to gauge the degree of common views and responses. Additional comparative analysis considered the similarities and differences between perspectives on Delivering as One looking from the country “up” the systemic ladder towards the region, and vice versa.
71. In parallel, a detailed analysis was undertaken of country-level responses to a financial and business practices survey. These responses were triangulated through comparison with information available from other UN sources, notably the Multi-Partner Trust Fund.
72. The findings from these complementary sets of data analysis fed into an internal report on emerging findings, which was discussed with representatives of the Evaluation Management Group in January 2012. Comments received from the group were collated with those from the evaluation team members themselves and UN-DESA, and channeled into second-level analysis and triangulation (Figure 1.3).
73. This process involved revisiting all of the original data sources (e.g., primary and secondary; quantitative and qualitative; perceptual and formally documented; from the country, regional and headquarters levels; and from governments, civil society, donors and UN in-country stakeholders) to ensure that they produced a coherent picture that could provide a sound basis for each finding. Since the validity of findings rested to a large extent on the amount and quality of evidence on which they were based, the widest possible range of data sources was used, as indicated below. Evidence from different sources and perspectives was then analysed and compared to develop findings.
74. Key sources of data³⁹ included the following:
 - Interviews with stakeholders in the eight pilot countries;
 - Interviews with stakeholders at the headquarters level of UN institutions;
 - Interviews with stakeholders from the regional level of UN institutions;
 - Interviews with stakeholders representing Member States (excluding at country level);
 - Financial and business practice protocols completed by pilot country resident coordinator offices (cross-checked with responses from the Multi-Partner Trust Fund);
 - Documents consulted on the UN system at headquarters and regional levels; and
 - Documents consulted from the eight pilot countries.

39. See Annexes IV and V.

78. In analysing the data, the possibility was allowed (and in itself formed a source of findings) that there could be inconsistent perspectives between stakeholders at different places in the system. This indeed proved to be the case on some important issues, and the team analysed the reasons for these differences. Data from the financial/business practices survey, which was chronologically the last major element of data collection, provided a strong source of verification of findings from other sources.
79. Once the processes of triangulation and verification had been completed, re-analysis by the evaluation team helped pinpoint which emerging findings could be converted into full findings for the evaluation. These findings were then used as the inputs for further processes of analysis drawing on the theory of change, which enabled conclusions to be drawn and the development of lessons learned from the eight pilots, and from their interaction with other parts of the UN system.

1.10 Stakeholder consultations

76. Pilot countries and other Member States as well as members of the undg, the High-Level Committee on Management, the High-Level Committee on Programmes and the uneg provided extensive comments considered in the finalization of the present report.

1.11 Limitations

77. The independent evaluation operated within a number of limitations. In the first place, it was challenged by the diversity of approaches to the implementation of Delivering as One. Despite broad similarities in the eight pilot countries, there was no single concept or set of objectives against which to assess progress. Moreover, the pilots took place in extremely diverse country contexts, which made it difficult to generalize findings and conclusions.
 78. To evaluate the results of policies, programmes and plans, it is normally necessary to accurately establish the situation before their implementation. However, baseline data were largely absent.
 79. These challenges were compounded by the fact that information on programme results and business practices was in most cases not readily available. Aggregation of data and triangulation of information from different sources were handicapped by inconsistencies in parameters and practices of programme management, diversity in monitoring and evaluation, differences in budgetary frameworks, and uneven and incomplete management information systems, particularly with regard to financial information. A methodology to measure transaction costs was only introduced by the undg in October 2010,⁴⁰ and had not been applied widely by UN country teams by the end of the evaluation period. Therefore, the availability of data measuring transaction costs was very limited.
 80. The framework terms of reference for the evaluation specifically excluded the possibility of studies of other sets of countries, which might have provided relevant comparative perspectives, or some element of a “counterfactual” to the pilot countries. These might have included self-starter countries adopting Delivering as One, and undaf “roll-out” countries, which may use approaches overlapping with those found in the pilot countries.
 81. The evaluation did not explore in depth the opinions among Member States concerning Delivering as One. Limited discussions were held with representatives of a variety of Member States in New York, which indicated a broad range of views and concerns among them.
2. Delivering as One as part of UN reform processes

40. undg, “Definition, Identification and Measurement of In-country Transaction Costs in the Context of ‘Delivering as One’ Pilot Countries,” 3 October 2010.

2. CONTEXT AND CONFIGURATION OF DELIVERING AS ONE AS PART OF UN PROCESSES

2.1 Introduction

82. As noted in the theory of change in Figure 1.2, the pilots initially used four strategies, which were intended to contribute towards the ultimate impact of “countries better able to achieve their national development goals”. These were One Programme, One Leader, One Budget and One Office. The additional components of One Voice and One Fund were also widely applied, either as separate elements or in support of the One Leader and One Budget strategies, respectively. This section presents an overview of measures to deliver these strategies.
83. The overview addresses the following key evaluation questions:
- Q3: What processes and resources have been put in place to operationalize Delivering as One at the country, regional and global levels?
 - Q4: What happened at the country level, and how did the context influence how Delivering as One was implemented?
 - Q5: What were the most significant changes (at country, regional and global levels) to which Delivering as One contributed, recognizing intended objectives, and were there any unintended consequences? How and why did these changes and consequences come about?
 - Q6: In what ways has the UN system (particularly headquarters of UN organizations) supported and/or constrained Delivering as One implementation and results—or produced unintended consequences?

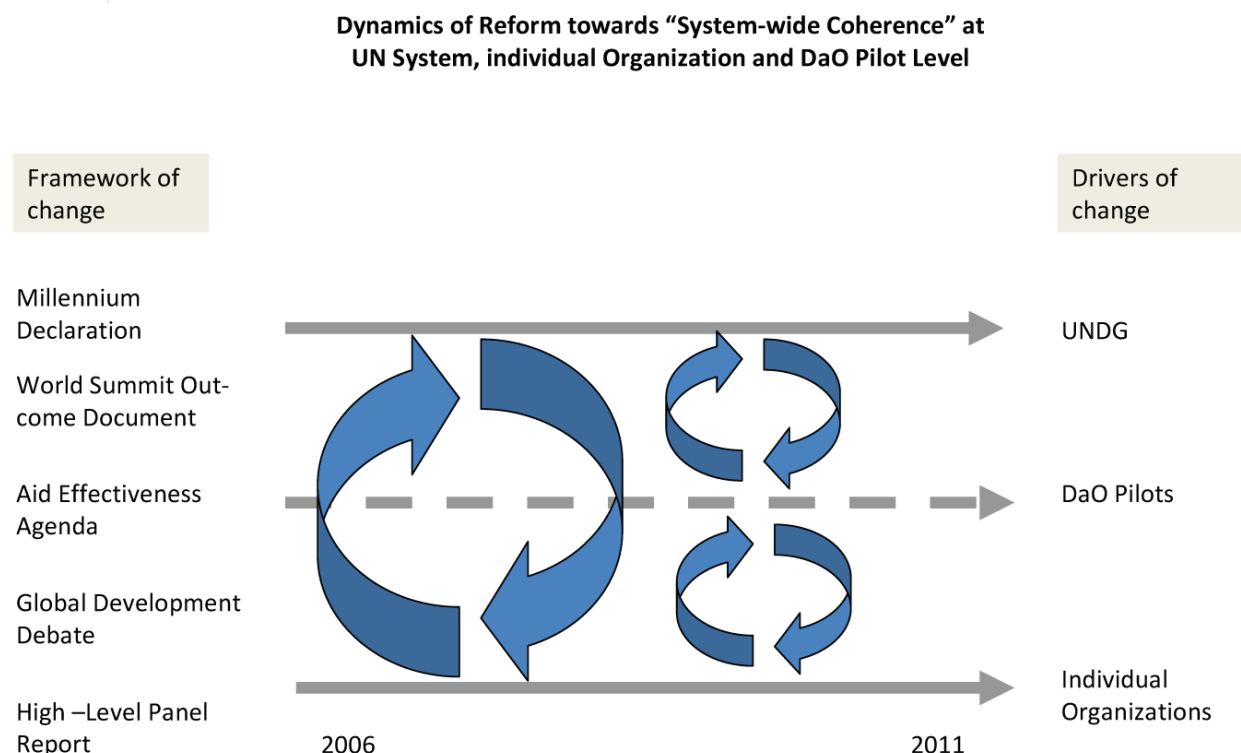
2.2 The context of Delivering as One as part of a larger UN reform process

Follow-up to the 2005 World Summit

84. The launch of Delivering as One in 2007 took place amid a larger process of reform, as a follow-up to the 2005 World Summit. Many UN organizations were undertaking their own major structural and policy reforms, which were influenced by and often aligned with the broader process, promoting synergies and a spirit of system-wide coherence. Organizations intensified their participation at the inter-agency level, mainly through the undg, as an opportunity to influence the outcome of coherence processes. Reforms at individual organizations had some specific and common elements. The latter included: the introduction of results-based management principles at all levels, a trend towards decentralization, reinforcement of capacities at the regional and country levels, and the development of medium-term strategic plans. As shown in Figure 2.1, the pilots made contributions to reform both at the “higher” levels of the system (notably the undg) and to individual UN organizations, while being part of the overall system-wide dynamic of reform.⁴¹

41. The pilots do not form an institutional body within the system and are therefore shown with a dotted line to distinguish them from formal bodies.

Figure 2.1:
Dynamics of reform towards system-wide coherence



The UN Development Group

85. Following a reform of the Chief Executive Board (CEB) structure in 2007, the undg became the third pillar of the Board, along with the High-Level Committee on Programmes and the High-Level Committee on Management. This was a step towards a more cohesive management structure, with a clearer division of responsibilities and work at the inter-agency level. UN funds and programmes (the original “Executive Committee” organizations) initially played a predominant role in the undg, but membership was expanded to include UN specialized agencies. This change facilitated their fuller engagement in inter-agency work related to delivering as one and system-wide coherence.
86. At the level of the undg, a set of strategic priorities, structured in annualized output-based work-plans, was developed on the basis of the 2007 triennial comprehensive policy review.⁴² With the major outcomes of the strategic priorities in mind, the undg’s structure included working groups and networks focusing on programmatic, management and accountability issues pertaining to the functioning of the resident coordinator system, and issues related to joint funding and business operations. Work was intensified and accelerated through Internet-based networks and video-conferencing rather than face-to-face meetings. Specific tasks and corresponding outputs were delegated to time-bound ad hoc task forces. An important innovation was the 2007 creation of a undg advisory group of senior (Assistant Secretary-General-level) officials, which dealt with critical issues as they arose. Reaching consensus on emerging issues furthered the group’s learning process and supported common ownership of Delivering as One.
87. The pilot countries became an important focus of the undg, as did the group of countries adopting a new generation of undafs (so-called undaf “roll-out” countries) and countries emerging from crisis. Three parallel, synergistic and mutually reinforcing reform tracks can be traced: at the systemic level (the CEB,

⁴². Resolution A/62/208.

UNDG and High-Level Committee on Management), at the individual organization level and at the level of the pilot experiences. Notably, the pilot country experiences fed into the systemic and individual organization levels through a feedback loop, as illustrated in Figure 2.1.

88. During the implementation of Delivering as One, the UNDG developed and endorsed common positions, policy guidelines, tools and templates. Such inputs resulted from efforts to respond to the experiences, including difficulties, of the pilots. These contributions were not only intended to support the pilot countries, but were also applied across all programme countries. The role of the headquarters level—the UNDG and individual organizations’ headquarters—and the major outcomes of relevance to the pilots in relation to the Four Ones are summarized below.
89. The establishment of regional UNDG teams, while not directly occasioned by the pilot exercise, marked an important step towards creating a regional layer of management. The teams were based on the concept of “delivering as one,” bringing the major UN funds and programmes into a layer of common accountability, technical support and policy guidance that was closer to the countries. It was assumed that these elements could not be exercised as effectively at the headquarters level.
90. The regional teams are at different stages of establishment. The exercise has been complicated by the divergent locations of individual organizations’ regional offices, which in some cases do not correspond to the locations of the UNDG teams. Terms of reference have been developed for the teams, covering: performance appraisal of the resident coordinators and UN country teams, quality assurance and technical support for UNDAF and One Programme preparation in the pilots, dispute resolution between resident coordinators and UN country team members, and technical and policy support. While the focus of the UNDG regional teams has not been uniquely on the pilot countries, they reinforce the emphasis on ensuring coherence and mutual accountability across the higher levels of all UN organizations.
91. The development of the regional UNDG teams has led to a clarification of their role in relation to the UN regional commissions. Within the UNDG, the commissions have participated in a special working group on the role of non-resident agencies. They share some of the challenges and constraints of these agencies, but have a particular mandate and role as bodies for regional policy coordination and standard setting. This mandate involves governments and other regional bodies in different sectors. A study⁴³ prepared by the commissions clarified that their regional coordinating mechanism, involving governments and regional bodies, can play a complementary and mutually reinforcing role to that of the UNDG regional teams, as an internal mechanism for management oversight, accountability and policy support to UN country teams.

New generation of UNDAFs

92. With regard to programming, the experience of the pilot countries in developing One UN Programmes was closely linked to the integrated funding framework and the One UN Fund. These approaches drew on lessons from the previous UNDAF cycles and focused on the large number of programme countries preparing new UNDAFs during Delivering as One. In some pilots, a new UNDAF had already been prepared at the start of the initiative, resulting in efforts to retrofit already approved and operational programmes into a new One UN Plan. During the first phase, the experience of moving towards a One UN Plan provided an important input into the parallel work at the UNDG level to develop new UNDAF guidelines.⁴⁴ These efforts, in turn, informed the development of the second phase of preparing new One UN Plans in the pilots. The pilot countries that have developed a second generation of One UN Plans maintain that they are fully compatible with the new UNDAF guidelines.
93. The new UNDAF guidance builds on an extensive review of previous rounds of the frameworks.⁴⁵ It seeks to be less prescriptive in terms of formal requirements and templates, recognizing the vast diversity of contexts and challenges of the countries in which the UN system works. By providing key elements for a

43. “The Regional Dimension of Development and the UN System”, a study sponsored by the UN regional commissions, November 2011, New York.

44. UNDG, UNDAF Guidance and Support Package, 2010.

45. The UNDAF was first introduced in 1997.

more strategic approach, it is intended to ensure that the UNDAF effectively guides and frames a common UN country team approach to programming. This would help to avoid the fate of many previous UNDAFs, which were put on the shelf as soon as they had been approved. While only the UN funds and programmes have a formal requirement that their country programme documents be directly linked to UNDAF outcomes, there is evidence that larger specialized agencies that have embarked on developing their own country plans or strategies also explicitly require these to be compatible with UNDAF priorities.

94. The revised UNDAF guidelines reflect some key elements common to the One UN Programmes of the pilots, including: national ownership of the process; alignment with national development priorities; inclusiveness; integration of programming principles related to cross-cutting issues, results-based management and capacity building; and mutual accountability for results.

The Management and Accountability System

95. A major outcome from the One Leader/One Team concept has been the development of the Management and Accountability System, created in 2008 after endorsement by the undg executive heads. Building on previous inter-agency agreements, this system supports more cohesive and robust management of the UN system at country level. It attempts to balance mutual accountability between the RC and members of the UN country team with the recognition that individual organizations have their own mandates, levels of delegated authority and specific hierarchical accountability frameworks.
96. The Management and Accountability System has been accompanied by a range of guidance tools for RCs and team appraisal, a resident coordinator job description and terms of reference, codes of conduct templates, and reporting formats and tools. All such guidance was distributed between 2008 and 2011.
97. However, before the system can be applied across the entire UN system, incorporated in individual organizations' human resource policies, and underpinned with appropriate incentives and accountabilities, important gaps remain. In some countries, the resident coordinator and UN country team members are not fully engaged in the "mutual accountability" framework, and therefore have not specifically linked it to agreed work-plans and reporting tools. In particular, there is a need for complementing the existing One80 performance appraisal tool for the RC with a mechanism that will allow the resident coordinator to have reciprocal input into the performance appraisal of individual UN country team members. Some agencies have not yet taken steps to revise job descriptions and performance appraisal systems and formats to reflect the dual roles and accountabilities of their country representatives within Delivering as One. Dual roles refer to: "vertical" accountabilities to a supervisor and organization, and "horizontal" accountabilities to the RC and UN country team members for agreed common results.

Simplification and harmonization of business practices, rules and procedures

98. From the outset, both donors and pilot programme countries had expectations that Delivering as One would engender major advances in the simplification and harmonization of business practices. Major efficiency gains were expected to release more resources for programming. This became a focus for work at the inter-agency level, notably through the undg's Joint Funding and Business Operations Network and the High-Level Committee on Management.
99. The specific experiences and constraints identified in the pilots have fed into the work of these bodies. A joint high-level mission⁴⁶ visited three of the pilot countries and a self-starter, and identified priorities for work at the inter-agency level. The mission report was subsequently transformed into a specific output-based joint work-plan. This has resulted in the development of important guidelines and tools⁴⁷ in such areas as ICT, common services and procurement, and for management of multi-donor trust funds. Overall, harmonization and simplification of business practices has not received the strongest guidance, but there has been substantial guidance responding to issues identified by the pilots that have wider application. The undg organized a toolkit for UN country teams on its website. Progress has been less in areas that

46. "Addressing Country-Level Bottlenecks in Business Practices", report of the High-Level undg-High-Level Committee on Management Joint Mission, April 2010.

47. See Box 3.21, on the main inter-agency outputs relevant to Delivering as One, as well as the undg website (www.undg.org).

involve corporate systems for activities that go beyond field level operations, essentially programmes and projects, such as human resource policies, legal issues, audits and enterprise resource planning systems.

Response of individual UN organizations

100. During the pilot initiative, individual UN organizations took steps to monitor pilot experiences, and increase operational and technical support to them. Generally, such measures had a wider scope than just the pilots, and covered broader system-wide coherence and UN reform issues, and attempts to strengthen engagement at inter-agency levels. Although affecting the Delivering as One pilots, they are seen as part of the broader context of reform. They have included: a) the establishment of inter-departmental task forces or working groups at headquarters levels to strengthen policy coordination and engagement in inter-agency processes; b) support functions to resolve problems identified by the pilot countries; and c) training and information support. In many organizations, these measures were backed by special funds to assist participation in the programming processes of the pilot countries. Organizations also strengthened their capacity to provide technical and operational support through their respective regional structures, and to more actively engage in the emerging UNDG regional teams, comprised of regional directors or the supervisors of UN organizations' country representatives.
101. For some organizations, engagement in Delivering as One became an opportunity to rethink and remodel dimensions of their mandate and business models. For example, larger specialized agencies such as the Food and Agriculture Organization (FAO) and the International Labour Organization (ILO) introduced some form of country programming, providing a more strategic focus to their activities, with greater integration of normative, technical and operational dimensions. This promoted increased coherence of various modes of action within the individual organizations, referred to by one organizational stakeholder as a process of learning to "deliver as one ourselves."
102. Other organizations saw the focus on system-wide coherence as an opportunity to achieve broader inclusion of their particular mandate across the One Programme. For example, the ILO produced a toolkit for mainstreaming its Decent Work Agenda; FAO developed guidelines on the incorporation of food security in UNDAF preparation; the UN Population Fund (UNFPA) promoted its International Conference on Population and Development agenda; and the UN Conference on Trade and Development (UNCTAD) promoted a cluster of agencies working on trade- and development-related issues.
103. For UN entities with a particular mandate for cross-cutting issues, the joint programming and joint programmes approach of Delivering as One was seen as a model that greatly facilitated their work, opening new opportunities for integrating and mainstreaming these issues in the One UN Programme. These entities also took special measures to support the Delivering as One process and have invested in drawing lessons from it for future operational guidelines. The relationship between system-wide and Delivering as One-specific measures was explored by the evaluation, as discussed under Findings 16 to 18.

2.3 Configuration of Delivering as One in the pilot countries⁴⁸

104. According to current World Bank classification, of the eight Delivering as One pilots, two are upper-middle-income countries (Albania and Uruguay), three are low-middle-income countries (Cape Verde, Pakistan and Viet Nam) and three are low-income countries (Rwanda, Mozambique and the United Republic of Tanzania). The income status of the countries partly explains the significant differences between them in terms of levels of ODA, UN development assistance and support through Delivering as One.
105. Table 2.1 summarizes the adoption of the different elements of Delivering as One by individual pilot countries.⁴⁹ There is a high degree of similarity between them at this level. All followed the One Programme, One Leader and One Budget/One Fund strategies. The One Office in the sense of shared premises in a

48. This section addresses key evaluation question two: "Why did countries volunteer, and how can the intentions of Delivering as One be related to their country circumstances?"

49. Details are provided in the country information sheets, Annex VII.

One UN building was not implemented with the same unanimity, although other measures in support of business simplification and harmonization were pursued in all pilots.

106. Looking at the Delivering as One elements in more detail, it is evident that the One Programme required the most components to be operational. At this level, differences in the manner of implementation emerged, particularly with regard to issues of monitoring and evaluation. A major strategic development concerns the approach taken towards joint programmes. While these were uniformly adopted in the first generation of One Programmes (although with many differences in their manner of management and implementation), some divergence began to appear across the pilots in the second generation. Here, some countries moved from an UNDAF to a United Nations Development Assistance Plan (UNDAP), usually with an associated change from joint programmes to joint programming. In pursuing the One Programme, similar approaches to overall oversight and management were established across the pilots. These included the formal engagement of governments in programme planning and resource allocation, as well as the use of thematic coordination groups and the commissioning of a country-led evaluation.⁵⁰
107. The One Leader strategy played a central role in driving forward the programme of reform, and was a critical factor enabling UN country teams to work together on programming and resource allocation. On rare occasions, the One Leader played an arbitration role among team members. All countries used the One Leader strategy, but with different approaches and effects. Although the position of resident coordinator is present in the great majority of countries served by the UN system, it has gained greater prominence in the Delivering as One countries. Associated with this development in several pilots was the voluntary agreement of UN country team members to a code of conduct governing the relationship between their individual organizational interests and those of the UN country team as a whole. The strengthening of the firewall between the functions of the resident coordinator and those of the UN Development Programme (UNDP) resident representative, functions previously assumed by the same individual, has evolved through the nomination of UNDP country directors.
108. One Voice, although not formally part of Delivering as One, has been introduced at different stages in all the pilots. Some countries have interpreted it as a sub-component of One Leader, while others see it as a completely distinct component. Some of its elements are in all countries, notably the establishment of common policy positions and joint annual reports, while others are still under development in some countries. The latter include the formalization of joint communication teams and implementation of a common website.
109. The One Budgetary Framework was a strategy adopted in all countries, intended to increase the transparency of planned activities and results, identify resources and funding gaps, and enhance performance. The One Fund became a critical catalyst for an inclusive approach to UN engagement, which included a broader range of organizations, whether large or small, resident or non-resident. The role of the Multi-Partner Trust Fund office as administrative agent of all of the One Funds helped introduce some uniformity in financial approaches, at least for the resources under the funds. The uniform adoption of joint resource mobilization for agreed results in the One Programme was a major innovative element in all pilots.
110. As stated above, the One Office, at least as a common building, was not uniformly adopted. However, much greater consistency was achieved in exploring increased efficiency in such areas as procurement, recruitment and ICT systems.
111. The following sections look in more detail at how Delivering as One has been implemented across countries. They focus on aspects of programming, management, funding and business practices.

50. With the exception of Pakistan, where a series of national emergencies between 2007 and 2010 made it inappropriate to undertake the country-led evaluation at the intended time.

TABLE 2.1: SUMMARY OF IMPLEMENTATION OF DELIVERING AS ONE IN PILOT COUNTRIES (AS OF DECEMBER 2011)

"Ones"	Components	Albania	Cape Verde	Mozambique	Pakistan	Rwanda	United Republic of Tanzania	Uruguay	Viet Nam
One Programme	One Programme (first generation)	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	One Programme (second generation)	Signed	UNDAP	UNDAF+ action plan	Being prepared	Being prepared	UNDAP	UNDAP	Being prepared
	Government-UN steering committee (*including donors)	Yes	Yes (civil society, national and local governments)	Yes (national Government)	Yes	Yes*	Yes	Yes (national Government)	Yes*
	Joint programmes or joint interventions	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes
	Thematic coordination groups	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Joint monitoring mechanism	Yes	No	Yes	Yes	Yes	Yes	Yes	Yes
	Joint evaluations	Partly	No	Partly	Not yet	Partly	Yes	No	Partly
One Leader	Country-led evaluation in 2010	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
	One Leader	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	UN country team code of conduct	Yes			Yes	Yes	Yes		Yes
	Resident coordinator office	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
One Voice	Common policy positions	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Joint communications team	Yes	Yes	Yes	No	Yes	Yes	Yes	Yes
	Joint annual report	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Joint website	Yes	Yes	Yes	Yes	In process	Yes	Yes	Yes
	One Budgetary Framework	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
One Budget/ One Fund	One Fund	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Multi-Partner Trust Fund Office is administrative agent of One Fund	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
One Office	Joint fundraising strategy	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	Common services	Partly	Yes	Partly	Partly	Partly	Yes	Partly	Partly
	Operations management team	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
	One UN House	Planned	Yes	No	No	Planned	No for central office, but established in Zanzibar	No	Advanced

One Programme

108. All pilots have placed great emphasis on the One Programme. According to the undg, “One Programme brings all members of the country team together under one nationally-owned strategy that draws on the full range of UN expertise. With full participation of relevant national and international partners, the UN Resident Coordinator leads the UN Country Team through a programming process to create a set of strategic results based on national priorities, the internationally agreed development goals, and the UN’s capacity and comparative advantages. The outcomes are listed as measurable, costed outputs resulting from UN support to national partners.”⁵¹
112. Depending on the status of the UNDAF cycles in the eight countries at the time they volunteered to be pilots, whether ongoing or under preparation, different approaches to programming were adopted. Four models can be observed to date, with small variations:
- Only one framework exists as the UNDAF and One Programme coincide and are identical. There are three variants: the UNDAF is operationalized through a common operational document (or UNDAF action plan) that covers the entire range of UNDAF programmed activities (Rwanda); the One Programme, with a new and broader scope, was prepared instead of the UNDAF (Uruguay); or an ongoing UNDAF was completely absorbed into the One Programme, which is broader in scope (Albania, Cape Verde⁵²).
 - Two frameworks co-exist, as the existing UNDAF continues and is supplemented by the One Programme. In this model, there are two variants: the supplement is implemented as an extension of the outcomes in the UNDAF, with a focus on joint outcomes/joint programmes (United Republic of Tanzania); or new joint outcomes/joint programmes were added to the original UNDAF (Mozambique).
 - Two frameworks (UNDAF and One Programme) co-exist for a transitional period and then a full comprehensive One Programme is prepared (Pakistan).
 - Only one framework exists as the One Programme is prepared instead of the UNDAF, but only for a limited group of agencies (Viet Nam, One Plan I). This is then expanded to include more agencies in a second and more comprehensive One Programme (Viet Nam, One Plan II).
113. Towards the end of the pilot period, most of these variants converged into a model that was based on the One Programme and One Budgetary Framework. Under this, the One Programme in most countries is basically an UNDAF combined with an operational plan.
114. These models and variants impacted structures and processes established in the pilots to plan programmes, mobilize resources and allocate them to different programmes and activities within the One Programme.
115. There are also differences in the way the UN country teams organized sectoral or programmatic planning and operational oversight:
- Most teams established programme coordinating groups or thematic working groups that jointly formulated the One Programme along broad themes and managed resource allocation at the outcome level. Programme implementation was then the full responsibility of participating UN organizations following their corporate procedures.
 - Another approach was to establish joint programme coordination committees to focus on the formulation of joint programmes. The committees would closely monitor implementation and manage applications for resources to the One Fund.
 - There is a trend towards favouring the programme working group approach, with its focus on joint programming, with less emphasis on joint operations through joint programmes. Several UN country teams reported that joint programming was more effective in promoting coherence than implementing joint programmes.

51. www.undg.org (Delivering as One/One Programme).

52. The case of Cape Verde is special as the joint office (UNDP, UNICEF, UNFPA and initially the World Food Programme or WFP) preceded Delivering as One.

116. Some UN country teams made joint programmes mandatory (Mozambique, Pakistan and Uruguay) for the use of resources from the One Fund, while others had no such requirement (Albania, Cape Verde and Viet Nam). Joint programmes were required as an implementation modality for funding from the Spanish Millennium Development Goal Development Fund (MDG-F), where this was accessible. While joint programmes rapidly increased in number, the Rwanda and United Republic of Tanzania country teams later moved away from them in favour of joint programming across the sectors in the UNDAF. The difference in approach had implications for the overall management structure established to channel resources and monitor their use.
117. The One Programme has been a substantial learning exercise, with mixed results. Important gains have been made in terms of opening UN country programmes to a fuller range of organizations, taking systematic approaches to cross-cutting issues and achieving more coherent integration with Government priorities. However, since the first One Programmes were mainly fitted into existing or agreed UNDAFs, they consisted of activities that had already been planned for individual organizations; these then had to be refitted to joint programmes. In the search for inclusiveness, some joint programmes became unfocussed and unmanageable, with 10+ participating UN organizations and even more national partners. While major monitoring and evaluation efforts were launched, these focussed on aggregate results, organization-specific results and collaborative processes. They produced little evidence on how the joint approaches under Delivering as One contributed to development results that were different from or additional to those produced through previous UN programmes.
118. Countries drew different lessons from their first One Programme experience.⁵³ Some decided to adopt an alternative approach for the next country programme, moving towards joint programming. This was seen as encouraging greater government ownership, more realistic and manageable programmes, and, at least in principle, improved evaluability. Other countries decided to try to improve and refine joint programmes.
119. The One Programme approach contributed towards reduced duplication and fragmentation of activities, increased transparency, improved planning processes allowing stronger national ownership, and better delivery in certain important areas, notably cross-cutting issues.

One Leader

117. The One Leader strategy was pursued in all pilots, although with varying degrees of emphasis. According to the UNDG, "The concept of One Leader is for an empowered Resident Coordinator (RC) and an empowered UN Country Team to work together with clear accountability. Under the One Leader concept, the empowered Resident Coordinator is expected to provide strategic leadership throughout the development programming process, bringing together relevant analytical capacities, both national and international, developing synergies between various UN 'assets', and linkages between the UN entities with their respective mandates and other partners."⁵⁴
118. While all UN country teams used essentially the same concepts to implement Delivering as One, they applied different strategies for its management, experimenting with different models and abandoning them if they found them too unwieldy and complex. However, the following core elements were maintained:
 - High-level coordination and steering committees are found in all pilots, usually chaired at Deputy Prime Minister or minister level, and co-chaired by the UN resident coordinator. In some countries, donors also participate as members or observer. While the scope and mandates of the committees vary, they are all responsible for determining the strategic positioning and priorities of the UN system within the context of national development objectives, as well as for the oversight of progress on resource mobilization and implementation.
 - A senior committee, co-chaired at ministerial level with the resident coordinator, gives strategic orientation and oversight, which may in some cases include oversight of resource allocation.
 - A management committee composed of members of the UN country team and national representa-

⁵³. Programming at country level is also discussed in detail in the country information sheets in Annex VII,

⁵⁴. www.undg.org (Delivering as One/One Leader).

tives, with a thematic focus, oversees planning, implementation and allocation of resources from the One Fund.

- UN country team members participate in operational planning and management of programmes, and resource allocation mechanisms, and are responsible for delivering the outputs and results to which they committed themselves in the One Programme.
 - Resident coordinators are responsible for mobilizing resources for and managing the One Fund. In most cases, the resident coordinator also has the ultimate formal authority for decisions on fund allocation.
119. There are significant differences between the pilots at the next level.⁵⁵ Some have elaborate structures between the highest and the operational level, such as those composed of the UN participating organizations (e.g., Albania, Pakistan, Rwanda and Viet Nam). In others, there are no intermediary committees or structures (Cape Verde, Mozambique, United Republic of Tanzania and Uruguay).
120. The main result achieved was increased coherence among organizations, in terms of programming, operations and image. A code of conduct for UN country team members placed limits on their freedom to pursue their own organization-specific interests, where these might compromise workings of the One UN. However, the One Leader concept was not supported by any authority of the resident coordinator over organizations, which retained their own lines of authority and staff accountability.

One Voice

121. The One Voice sub-strategy was not part of the original Four Ones. However, almost all pilots adopted it, sometimes as a sub-set of One Leader, sometimes as a distinct One. It aims to advance the UN agenda in a given country: within the UN system, with the Government and other development partners, and in the country at large. It is based on a unified UN position and voice on specific policy and cross-cutting issues. The most appropriate UN country team member according to mandates and functional expertise then acts as the UN spokesperson.
122. Where the One Voice concept has been strongly promoted, the Delivering as One experiment has been better understood both within and outside the UN system, with associated strengthening of support. The One Voice also fostered strengthened advocacy on normative issues, including on such cross-cutting concerns as gender equality and human rights.
123. Other elements of the approach have included common websites and attempts to adopt a UN-wide identity, in addition to individual UN organizations' brands. Some parts of this aspect have encountered resistance, notably in terms of the concept of dual logos on organization-specific outputs, where some entities have feared dilution of their specific messages. There was no evidence that this fear has been realized in those countries where the practice has been strongly pursued, since external audiences have seen it as evidence of a more coherent UN system. Many UN staff members have reported a feeling of increased pride in being part of a visibly stronger One UN. Overall, One Voice has contributed to reduced fragmentation and duplication, and has helped develop understanding of the One Programme and of broader UN messages, for example, on normative issues.

One Budgetary Framework

124. According to the UNDG, "Under One Budget, the UN country teams' agreed, costed results are presented in one financial framework, showing each organization's planned input together with the funding source. Unfunded results are also identified. Each participating UN organization identifies the resources it expects to provide—whether in-kind or monetary—subject to funds being available. At the end of the year, agencies and government departments provide information on progress made against the planned results and actual expenditures, to give governments a clear picture of UN support. The results in the financial framework can be funded by agencies' core resources, national government contributions, direct contributions from donors, and a specific country coherence fund established for interested donors."⁵⁶

55. A more detailed overview of the pilot country approaches is provided in the country information sheets in Annex VII.

56. www.undg.org (Delivering as One/One Budget).

125. After UN country teams define the One Programme together with the Government, in response to national needs, a common budgetary framework⁵⁷ assesses funding requirements. Funding categories include:
 - Core/assessed resources of UN organizations involved in the programme;
 - Earmarked non-core/extra-budgetary resources from all sources—bilateral, multilateral and private;
 - Unearmarked non-core/extra-budgetary resources from all sources—bilateral, multilateral and private; and
 - The funding gap between existing resources and the total cost of the UNDAF action plan.
126. Even though most country teams report using a common budgetary framework as the basis for their planning and resource mobilization for the One Programme and the One Fund, the approaches differ substantially in presentation, timeframe and coverage. Some frameworks cover the entire One Programme, including core and non-core resources, while others only cover the incremental funding requirements arising from a One Programme run in parallel to the UNDAF. Some country teams prepare annual common budgetary frameworks. The understanding of “funding requirements” and the “funding gap” is not identical across the pilots, differing by business models and corporate funding strategies of the organizations concerned.
127. All organizations have continued to use their own resource mobilization channels, both for core and non-core funding, as a key element of programme funding. They have also adapted local resource mobilization to Delivering as One. They may suspend local resource mobilization efforts and empower the resident coordinator to interact with local donors to cover the “funding gap” on behalf of the entire UN country team, a process managed through the One Fund.
128. While common budgetary frameworks prepared by the UN country teams from 2007 to 2010 were not able to meet the full funding requirements for UN programmes, all teams are now preparing comprehensive frameworks for the new programming cycle.
129. Funding gaps may be specific to organizations or joint programmes, or to the overall One Programme. Since the governance of the approval process of the One Programme and of the allocation of funds from the One Fund gained considerable importance during the pilots, country teams paid significant attention to governance mechanisms and codes of conduct, as well as fund allocation processes and criteria.
130. Local resource mobilization on behalf of the UN country team gave considerable responsibility, power and authority to the resident coordinator, who at the same time was usually also the UNDP resident representative. Inter-agency demand for a firewall between the two functions therefore intensified. It was in the end addressed (although not necessarily to the satisfaction of all stakeholders) through the Management and Accountability System and the creation of the UNDP country director position. The involvement of governments and other stakeholders was an essential condition for UN country team members to accept common local resource mobilization, helping ensure transparent resource allocation that responded to national rather than organizational priorities. Some issues during the development and implementation of the One Budgetary Framework included:
 - Some local donors that had officially agreed to respect the mandate of the resident coordinator for local resource mobilization continued funding individual organizations outside the One Fund mechanism;
 - Some organizations with high brand profiles had to forgo earmarked resources from local donors, since the inter-agency agreement and code of conduct would require these to be channeled through the One Fund, which could not guarantee their use for a specific purpose; and
 - Not all donors agreed to adhere to Delivering as One and continued funding organizations according to their established policies and priorities, normally through their headquarters.

57. The format of the common budgetary framework formally introduced by the UNDG in 2008 was inspired by the common operational document developed in Rwanda as part of Delivering as One. It was designed as a consolidated financial framework showing costed results of the UNDAF action plan.

One Fund

131. In addition to the traditional sources of core and non-core resources, three specific funding instruments have been used to support Delivering as One. These are: the One Fund at country level, and the Expanded Funding Window for Achievement of the MDGs and the MDG-F at headquarters level. The modality for all three instruments is the multi-partner trust fund. Each country team established a One Fund as a multi-partner trust fund agreed to by all UN organizations participating in Delivering as One. Nine⁵⁸ One Funds have operated in total.
132. After being introduced in 2008, the Expanded Funding Window began operating in 2009. In principle, it serves as a channel for unearmarked and predictable funding to enable UN country teams to raise additional resources for the One Programme, both in the pilot and self-starter countries.
133. The One Funds in the eight pilot countries are administered by the Multi-Partner Trust Fund Office at UNDP headquarters. The office is also the fund manager of the Expanded Funding Window, and administers over 50 multi-partner trust funds, including 13 One Funds in self-starter countries, as well as 36 funds for country-level joint programmes. The office's Gateway ([/mptfundp.org](http://mptfundp.org)) provides real-time data on donor contributions, transfers to participating organizations and annual expenditure data. It serves as an online document repository for relevant documents, including One Fund programme documents, terms of reference, annual reports, memoranda of understanding and standard administrative arrangements/donor contribution agreements.
134. By providing publicly accessible, real-time information on contributions and transfers, the Gateway assists effective monitoring and tracking of the flow of resources related to each One Fund. Whereas expenditure is currently provided annually, the Multi-Partner Trust Fund Office is in discussion with participating UN organizations regarding quarterly or biannual posting of unofficial expenditure data, which would greatly enhance the ability to oversee programme implementation. The Gateway is not currently designed to cover resources for One Programmes that are not channeled through the One Fund.
135. Fifteen donors⁵⁹ supported the One Funds and Expanded Funding Window with a total of US\$585 million (see Table 2.2). This does not take into account funding to support the capacities of the UN Development Operations Coordination Office (DOCO) and some specialized agencies, and the additional support of some donors, which seconded professional staff on a time-limited basis to some resident coordinator offices, as in Viet Nam.

58. There are nine One Funds, since Viet Nam opened two One Funds. One Plan Fund I was limited to a few organizations. Subsequently, One Plan Fund II included a larger group.

59. Counting the Government of Sweden and Swedish International Development Cooperation as one donor, and the Government of Switzerland and the Swiss Agency for Cooperation and Development as one donor, even though they are shown by the Multi-Partner Trust Fund Gateway as separate accounts, and not including the Expanded Funding Window, which is funded by 4 of the 15 donor countries.

TABLE 2.2: DONOR COMMITMENTS IN SUPPORT OF THE ONE FUND AND EXPANDED FUNDING WINDOW 2008-2011 (IN US\$, MILLIONS)^a

Donor	Direct commitments to One Fund	Share of commitments to One Fund, %	Commitments through the Expanded Funding Window ^b	Total commitments	Share of total commitments to Delivering as One, %
Australia	16.1	4		16.1	3
Austria	1.9	0		1.9	0
Canada	77.6	18		77.6	13
European Union	3.5	1		3.5	1
Finland	16.3	4		16.3	3
France	1.0	0		1.0	0
Ireland	13.6	3		13.6	2
Luxemburg	11.9	3		11.9	2
Netherlands	43.5	10	3.0	46.5	8
New Zealand	5.1	1		5.1	1
Norway	90.7	21	35.0	125.7	21
Spain^c	65.9	15	89.8	155.7	27
Sweden	26.4	6		26.4	5
Switzerland	1.7	0		1.7	0
United Kingdom	57.4	14	24.4	81.8	13
Grand total	432.6	100	152.2	584.8	100
Share of five largest donors					83%

Note: The five largest donors are in bold.

^a Source: Multi-Partner Trust Fund Gateway, full commitments, extracted May 2012.

^b Funding for the Expanded Funding Window is unearmarked. The amounts in this column are the result of prorating actual deposits in support of the Expanded Funding Window and applying the resulting shares to the actual allocation of its resources to the eight pilots, after adjusting for interest and charges, as well taking into account unallocated balances with the administrative agent. As Expanded Funding Window resources are available to non-Delivering as One countries, only the actual deposits and not the commitments have been used, as future allocations may follow a different ratio than the current one of 65:35 (Delivering as One/non-Delivering as One).

^c Exclusive of contributions to the MDG-F.

136. Five donors covered 83 percent of all commitments to the country-specific One Funds,⁶⁰ including the contributions to the Expanded Funding Window channeled to all eight pilots. They comprise Canada, the Netherlands, Norway, Spain and the United Kingdom.⁶¹
137. The fund flow model for the One Fund envisaged that governments and UN country teams would first establish the funding needs of the One Programme. They would then identify resources already available or anticipated through core and non-core funding, and establish the One Fund, with the support of the Multi-Partner Trust Fund, to mobilize resources to meet the potential funding gap. The One Fund would be administered by the Multi-Partner Trust Fund Office as administrative agent for the UN system. It would receive funds from donors and transfer them to the participating organizations, based on the needs agreed beforehand between the Government and the UN country team, initially within the framework of the One Programme and common budgetary framework, and subsequently by joint steering committees through

⁶⁰. Including Expanded Funding Window resources, which at country level are co-mingled with the country-specific One Fund.

⁶¹. See Table 2.2.

allocation decisions based on criteria such as programme needs and performance. The participating agencies would then use these funds, applying their own accountability frameworks, rules and procedures, to deliver agreed results in collaboration with the national implementing partners.

138. The allocation of funds would be based on agreements on the roles and responsibilities of each participating organization in the One Programme, funding needs and the performance of the programmes concerned. In most of the pilots, the design of the One Programme aligned itself strongly to the basic pattern of the previous UNDAF, and reflected the predominance of funds and programmes in UNDAF funding. They received 67 percent of the resources transferred, compared with 29 percent for specialized agencies and 4 percent for non-resident agencies.
139. In all UN country teams, decisions on fund allocation were reached by consensus. On rare occasions where this was not possible, agreements stipulated that the resident coordinator would make the ultimate decision. An important role was given to high-level oversight committees, such as the One Fund steering committees, which reviewed all fund allocation requests submitted by UN country teams.
140. The allocation mechanism developed for the One Fund was novel and a true experiment for all participants, particularly since it enabled governments to assume the leadership role in the programming, funding and implementation of UN development programmes. However, elaborate oversight and management structures also resulted in delays in some cases, since processes were time-consuming, and often required complex negotiation at national level to coordinate the competing priorities of line ministries on the steering committee for available/mobilized funds.
141. The actual allocation of resources to funds and programmes, specialized agencies and non-resident agencies is presented in Table 2.3.

TABLE 2.3 DISTRIBUTION OF TRANSFERS AND EXPENDITURE OF ONE FUND (INCLUDING EXPANDED FUNDING WINDOW) AMONG SPECIALIZED AGENCIES, NON-RESIDENT AGENCIES, AND FUNDS AND PROGRAMMES (IN US\$, THOUSANDS)

Transfers to agencies up to end 2011									
	Albania	Cape Verde	Mozambique	Pakistan	Rwanda	United Republic of Tanzania	Uruguay	Viet Nam	Total
Specialized agencies^a	1.793	5.263	21.377	23.007	10.856	32.299	5.136	21.439	121.170
Non-resident agencies	254	3.273	2.069	3.133	3.186	861	367	3.974	17.117
Funds and programmes	20.212	5.144	35.594	37.476	33.088	70.784	6.660	68.364	277.322
Total transfers	22.259	13.680	59.040	63.617	47.131	103.944	12.163	93.777	415.609
Share among specialized agencies, non-resident agencies, and funds and programmes, %									
Specialized agencies	8	38	36	36	23	31	42	23	29
Non-resident agencies	1	24	4	5	7	1	3	4	4
Funds and programmes	91	38	60	59	70	68	55	73	67
Total transfers	100	100	100	100	100	100	100	100	100

^a Including the International Organization for Migration (IOM), which is an intergovernmental organization, but not a UN entity. Nonetheless, where it is active at country-level, it is part of the UN country team and eligible to receive funds from the One Fund.

142. Funding through the country-level One Funds (including the Expanded Funding Window) has supported activities programmed and managed through a variety of mechanisms. These include programme work-

ing groups that allocate funds directly to organizations or joint programmes, using organizations' existing operational and accountability mechanisms. The United Republic of Tanzania initially used the concept of a managing agent from one of the participating organizations to lead and coordinate the programmes, but abandoned that concept at a later stage.

143. UN participating organizations and non-UN entities with UN comparable financial regulations are eligible for resources under the One Fund. NGOs have access, but only through cooperation arrangements with a One UN participating organization.
144. All UN country teams developed a process for allocating resources mobilized through the One Fund that involves their governance structures in a variety of ways. Allocation criteria and processes were detailed in a variety of documents, usually linked to the agreement that set up the One Fund. These documents can be accessed through the Multi-Partner Trust Fund Gateway. The main objective was to arrive at fair and "performance-based" allocations. All country teams reported that they reviewed the resource allocation process and criteria after some experience to make it more effective. The main allocation criteria are presented in Table 2.4, although some countries used additional criteria.

TABLE 2.4: ALLOCATION CRITERIA USED BY ALL ONE FUNDS

- Thematic delineation (relationship to MDGs, consistency with the goals of the UN system, consistency with national development policies, cross-cutting issues);
- National capacity-building;
- Operational readiness (organizations to have the operational and technical capacity to implement);
- Consistency with the One Programme;
- Cost effectiveness; and
- Performance of the implementing partner(s) and participating organization.

145. The leadership role of governments in decision-making for an effective allocation of resources from the One Fund in line with national priorities proved particularly critical, because the differences between business models of participating agencies could affect how resource allocation mechanisms performed, particularly when the One Fund was implemented through joint programmes. This is because:
 - Participation in joint programmes required that agencies have sufficient core and/or non-core resources (extra-budgetary funds) available in advance. This is not always possible for specialized agencies, since it does not fit their budgeting and funding structures.
 - The emphasis on funding predictability, short-term delivery periods, disbursement modalities and evaluation of performance based essentially on financial expenditure of the One UN Fund resources threatened the continuity of activities and the quality of delivery by specialized agencies, since their business models operate differently. This factor was rarely considered during resource allocation processes.
146. The fund flow for the One Fund at the global level was efficient. However, in practice, operational obstacles and difficulties were encountered, since resources did not in all cases reach projects according to their implementation schedule. Three causes of delays were identified:
 - The difficulty of assessing cash requirements through a committee-based approach, using complex resource allocation criteria and processes, sometimes resulted in delayed submission of funding authorizations to specific organizations through the administrative agent.
 - The use of national mechanisms for transferring cash to national implementing partners resulted in considerable delays in the release of funds.
 - The resource flow from the Expanded Funding Window was unpredictable, as its replenishment was dependent on individual donor decisions. In some cases, organizations used their own core resources to prevent field activities from stopping due to lack of funding.
147. In summary, the One Fund has become a common pool of supplementary resources used to fund gaps in resources for the One Programme, but it needs to raise additional funds, preferably both multi-annual and unear-

marked. The size of the One Fund varies substantially between countries, with significant effects on the extent to which the One Programme can be innovative. In particular, it has enabled the entry of non-resident agencies into all pilot country programmes, which has given governments increased flexibility to use UN assistance in areas not addressed under previous UNDAFs. In certain countries, the One Fund has financed some of the costs of UN system reform. In view of its important contributions, the reductions of some of its key elements because of the predicted withdrawal of funders poses serious concerns with regard to the sustainability of the benefits it has helped to produce; for example, with regard to gender equality and women's empowerment. Many areas will require continuing support to achieve long-term changes.

One Office

148. The One Office strategy, according to the UNDG, is intended to unite "agencies working at the country level through harmonized business processes, common services and often common premises or a UN House. By establishing common services and clustering operational activities of agencies together the UN aims to reduce operational costs considerably and become more effective and efficient in supporting programme delivery."⁶²
149. While adhering to the basic principle that UN organizations are accountable to governments of programme countries, members of the UN country team work within two accountability frameworks. Under vertical accountability, they are responsible to their own organizations for the use of resources entrusted to them, and for delivery of the results indicated in their organization-specific corporate planning processes. In terms of horizontal accountability, they are responsible to the UN country team and the resident coordinator for results they agree to achieve under the UNDAF, or, in the pilot countries, under the One Programme and common budgetary frameworks.
150. Vertical accountability is governed by organization-specific rules and regulations supported by enterprise resource planning systems.⁶³ Each UN country representative has to abide by his/her organization's accountability framework. Even though UN organizations operate according to system-wide standards for international public institutions, there are variations between their corporate rules and regulations, as well as their planning systems. This makes working together at country level a complex undertaking. The introduction of the International Public Sector Accounting Standards (IPSAS) by most UN organizations by 2012 is expected to mark a major step forward.⁶⁴
151. Under horizontal accountability, the UN country teams are expected to coordinate their activities within the framework of Delivering as One. Each organization is accountable to the resident coordinator for results agreed in the One Programme or UNDAF. This level is particularly relevant when dealing with cross-cutting issues or large-scale operations. Achievements in relation to cross-cutting issues require interdisciplinary approaches and depend on the cooperation of various agencies. Cooperation in large-scale operations is expected to yield benefits as a result of economies of scale, and increased negotiation and purchasing power through joint procurement of supplies, goods or services. It should result in reduced costs due to improved efficiency and lower prices. Another dimension involves transaction costs for partners. When several UN organizations operate on related thematic issues with the same implementing partner or donors, the latter have to deal with several different accountability frameworks covering procurement, audit regulations, funding proposals, reporting formats, etc. This can generate substantial transaction costs for them, which could be avoided if the UN country team operates and Delivers as One.

62. www.undg.org (Delivering as One/One Fund).

63. Enterprise resource planning systems integrate internal and external management information across an entire organization, embracing finance and accounting, manufacturing, sales and service, customer relationship management, etc. They facilitate the flow of information between all business functions inside the organization and manage connections to outside stakeholders.

64. IPSAS is a set of accounting standards issued by the IPSAS Board for use by public sector entities in preparing financial statements. The standards are based on International Financial Reporting Standards (IFRS) issued by the International Accounting Standards Board (IASB). See also JIU/REP/2010/6, "Preparedness of United Nations System organizations for the International Public Sector Accounting Standards."

152. The One Office component of Delivering as One was intended to promote a common set of procedures and processes that would encourage reduced administrative costs for the UN country teams, as well as lower transaction costs for UN organizations, national partners and donors.
153. Simplification and harmonization of business processes has for some years been high on the agenda of the UN General Assembly. Resolutions have stressed this priority, and the Secretary-General has reported on several occasions on progress. Various global initiatives are underway, under the leadership of the Chief Executives Board and its High-Level Committee on Management, to resolve some of the underlying constraints imposed by systemic issues.
154. At the country-level, as recommended by the UNDG, most UN country teams, even outside Delivering as One, have established operations management teams.⁶⁵ These have the responsibility to address business process simplification and harmonization. Within Delivering as One, the work of these teams has received particular support and attention, both in terms of resources, and advice and attention from the various UN headquarters. The UNDG through DOCO has specifically supported change-management processes at the pilot country level, including through the use of external consulting teams and inter-agency working groups. The UNDG/High-Level Committee on Management joint mission of March-April 2010⁶⁶ gave UN country teams the opportunity to improve existing practices in the areas of human resource management, ICT, finance, the harmonized approach to cash transfers (HACT), procurement, common services and common premises. It was felt that much progress could be made in these areas without major modification of corporate processes.
155. Within Delivering as One, additional resources and support from UNDP and DOCO encouraged the country teams to actively search for solutions. Most were able to take some measures that would result in cost savings and improved efficiencies. At the same time, they were also faced with their ultimate dependency on corporate processes (vertical accountability). Although they were able to register some achievements, they also encountered strong institutional limitations, since corporate processes depend on accountability frameworks that can only be revised through high-level processes. These may require considerable resources (e.g., in the case of enterprise resource planning systems), coordination (in terms of inter-agency consultation mechanisms) and in some cases involvement of governance structures (i.e., Member States sitting on the relevant boards or governing bodies).
156. Most UN country teams in the pilots made efforts to simplify and/or harmonize those business processes that did not require corporate involvement, because they concerned business processes that do not depend, or depended only marginally, on corporate systems, and rules and regulations. Some went further and tried to push for corporate resolution of issues that they could not solve on their own. In the first case, gains were made, for example, through combining the purchasing power of UN country team members with regard to local suppliers, or by streamlining duplicate processes to reduce transaction costs for partners. The main instrument was the long-term agreements with local suppliers to bundle UN purchasing power for local procurement, which helped obtain lower rates and improved quality services. The second case concerns business processes that are part of the enterprise resource planning systems, and so are governed by corporate rules and regulations on finance, human resources and procurement. UN country team members have insufficient authority to make decisions on these issues at the country level.
157. All UN country teams made efforts to reduce transaction costs through business process harmonization, focusing on locally managed processes and taking advantage of collective negotiating.⁶⁷ The issues they addressed are often referred to as “low-hanging fruit.” Some teams had access to additional resources to assist this process, either through the One Fund or in terms of human resources obtained from specific donor support. This enabled them to launch systematic change-management processes and/or conduct

65. The teams conduct assessments and make recommendations to the UN country team on any joint services requiring approval; identify new services that are efficient and effective; and plan and manage services adopted. They are composed of the most senior operations or administrative managers of all agencies or their designated alternates, and other staff from participating entities, based on their area of expertise and task force membership.

66. See paragraph 99 above.

67. This was also one of the recommendations of the joint UNDG/High-Level Committee on Management mission in 2010.

feasibility studies on ICT and procurement reform, which often generated substantive change measures.⁶⁸ After initially complex, intense and time-consuming work in inter-agency working groups, most teams identified and realized cost savings in two areas, namely programme and One Fund management, and administrative business processes.

158. In the programme and One Fund areas, although new instruments were introduced, they were not matched by the elimination of business practices that had effectively become redundant. A case in point was the introduction of a common country programme document for the funds and programmes. This was designed to reduce the workload involved in each organization preparing its own country programme action plan. These were technically no longer required, as all outcomes and outputs were defined in the One Programme. However, in practice common country programme documents did not lead to the elimination of the country programme documents of individual organizations.
159. The centralization of One Fund management with the resident coordination/UN country team produced some streamlining of funding and reporting processes, and some reductions in transaction costs for UN organizations. In particular, the leadership role of the resident coordinator in the resource mobilization process on behalf of the UN country team partially replaced organization-based fundraising. This was expected to generate reductions of overall transaction costs, both for organizations and donors, since the former would no longer need to bilaterally seek donor funding. To some extent, however, the reduced transaction costs for organizations were simply transferred to the resident coordinator offices, which experienced a substantial increase in workload.
160. Other activities of UN country teams on business practice simplification and harmonization have included work on:
 - Common ICT networks;
 - Common staff induction programmes for all UN staff;
 - Common web-based human resources portals to reduce recruitment cost per vacant post;
 - Common procedures on the procurement of goods and services for joint programmes, and the selection of staff, including panels for human resource selection comprising government representatives, participating UN organizations and the resident coordinator office;
 - Agreement on common conditions for locally contracted staff, covering salary scales and holidays, insofar as these do not contradict specific rules and procedures of the contracting UN organization; and
 - Cost reductions in the management of financing agreements, as only one document per donor needs to be signed for setting up the One Fund.
161. Despite the notable efforts made by the pilot countries, systematic information on savings actually achieved is very limited. Most available reports consist of a composite of actual savings (usually quite small) and expectations for the future.
162. Most UN country teams have tried to measure and track transaction costs for their national partners and local donors. They have found the task very complex, costly and time-consuming, mainly because there are currently no joint or UN system-wide budgeting methodology and cost accounting systems. These might allow tracking of all internal and external transaction costs⁶⁹ related to country-level programme implementation, and the UNDG has made efforts to assist teams to develop them. The main obstacles have been the absence of baseline data, and inconsistencies in the accounting terminology and methodologies of the financial systems of UN organizations. Other issues were insufficient individual staff commitment, problems in data generation due to organization-specific financial/procurement systems, and fears among

⁶⁸. Results are covered in Chapter 3, which presents the findings of the evaluation.

⁶⁹. The UNDG defines internal transaction costs as those are internal to the UN system, and external transaction costs as those incurred by partners of the UN system as a result of the UN system's actions or from their interaction with the UN system, at country and headquarters levels. See UNDG, "Definition, Identification and Measurement of In-country Transaction Costs in the Context of 'Delivering as One' Pilot Countries," October 2010.

staff that the drive for reduced transaction costs could become a rationale for reducing the number or level of staff positions.

Use of the harmonized approach to cash transfers (HACT) and national systems

163. HACT was launched in April 2005, and has been applied by all the funds and programmes in all pilot countries. Several specialized agencies have also committed to applying HACT within the context of Delivering as One. The approach shifts the management of cash transfers from earlier systems based on specific control mechanisms to a risk management approach. It aims to:
 - Reduce transaction costs for country programmes by simplifying and harmonizing rules and procedures;
 - Strengthen the capacity of implementing partners to effectively manage resources; and
 - Help manage risks related to the management of funds, and increase overall effectiveness.
164. The use of national systems by the UN country teams has not been consistent. Some have made considerable progress, such as
 - In the United Republic of Tanzania, the team uses the Government Exchequer to transfer programme funds, thereby allowing the Government to include the UN system's contribution as part of its planning and budgeting framework. One organization has also used the national procurement systems within the framework of the national implementation modality.
 - In Albania, UNDP, UNFPA and other UN organizations have begun to partially use the national public financial management system and the public procurement system.
 - In Mozambique, the country team has aligned its annual planning process with the timing of the Government system, which plans in April/May for the subsequent year.
 - In Pakistan, three agencies (World Health Organization or WHO, the UN High Commissioner for Refugees or UNHCR and the International Fund for Agricultural Development or IFAD) use national systems in the areas of budget execution, financial reporting, procurement and auditing.
 - In Rwanda, the UNDAF/P programming cycle has been aligned with the national programming cycle, and individual UN organizations have also begun to align to varying degrees.
165. Both HACT and the use of national systems have been important components of revised approaches in Delivering as One pilot countries, intended to both enhance national ownership and reduce transaction costs.

Overview of the One Office strategy

166. The One Office strategy has had varied interpretations and results. In its fullest form, in terms of One UN building, it has been realized in Cape Verde (before Delivering as One) and in Zanzibar in the United Republic of Tanzania. Other countries have already achieved a limited version of it, with some organizations in and others out (as in the United Republic of Tanzania and Pakistan). They may pursue it further. Some country teams are moving towards the One Office as a goal (Albania, Rwanda and Vietnam), while others have decided not to consider it further (Mozambique and Uruguay).
167. All pilots have made strenuous efforts to achieve cost savings, both in terms of procured goods and services and human "transaction costs." Savings have been gained, but are modest in terms of overall operating budgets and the scale of programmes. This has been the "One" most affected by Delivering as One on the country level without prior headquarters reform. Many desired reforms have proved impossible because of diverging business practices, rules and regulations. Since UN country teams have been unable to produce consolidated financial information, it is also very difficult to specify what savings have actually been made.

3. KEY FINDINGS FROM THE EIGHT PILOTS AND THE WIDER UN SYSTEM

3.1 Introduction

168. Chapter 2 described how the Four (or Six) Ones have been implemented by the pilot countries, and the support from different levels of the UN system. Chapter 3 presents the key findings of the evaluation, building on the theory of change presented in Chapter 1 to assess progress in terms of intermediate states and towards the overall long-term objective of Delivering as One. The intermediate states outlined in the theory of change are enhanced national ownership, a UN system delivering better support to countries and reduced transaction costs.
169. In addressing these issues, this section presents evaluative findings on the following key evaluation questions:
- Q3: What processes and resources have been put in place to operationalize Delivering as One at country, regional and global levels?
 - Q4: What happened at country level, and how did the context influence how Delivering as One was implemented?
 - Q5: What were the most significant changes (at country, regional and global levels) to which Delivering as One contributed, recognizing intended objectives, and were there any unintended consequences? How and why did these changes and consequences come about?
 - Q6: In what ways has the UN system (particularly headquarters of UN organizations) supported and/or constrained Delivering as One implementation and results—or produced unintended consequences?

3.2. Progress towards enhanced national ownership

Finding 1: Governments have obtained stronger ownership of their UN programmes under Delivering as One. Central coordinating ministries are the chief drivers and beneficiaries, while relationships between UN organizations and line ministries have remained largely unchanged.

Summary of evidence

170. At high-level conferences in Mozambique (2007), Rwanda (2009), Viet Nam (2010) and Uruguay (2011), governments of all pilot countries stated that national ownership and leadership have increased with Delivering as One, and that the UN development system has become more responsive to countries' needs and priorities (see Box 3.1). Government ownership of the pilot process is evidenced by their hosting or participating in the conferences, and their key role in organizing and managing the country-led evaluations.

Box 3.1: Member States' support of Delivering as One: going beyond the pilots

"The representatives of the governments of the eight 'Delivering as One' pilot countries and representatives of governments of the following self-starters—Bhutan, Botswana, Comoros, Ethiopia, Ghana, Kiribati, Kyrgyzstan, Lesotho, Malawi, Mali and Montenegro...recognized that the main messages of the Montevideo Conference are the following: ...

"The key to success of Delivering as One (DaO) lies in national ownership and government leadership. There is no going back to doing business as prior to DaO. Moreover, based on the experience, achievements and lessons learned, in our view it is time to carry DaO beyond the pilot phase...."

Source: "Delivering as One: Going Beyond the Pilot Phase," outcome document of the IV Intergovernmental High-level Conference on Delivering as One, Uruguay, November 2011.

171. In all eight country missions for the evaluation, central government bodies, such as ministries of finance, planning and foreign affairs, and the offices of heads of state or government, reported important gains from Delivering as One. These include improved ownership of the UN programme as a whole, more coherent discussions, fewer meetings and an overall reduction in the cost of doing business with the UN system. Several central government bodies also reported that the UN's joint programmes and joint programming have helped them address cross-cutting, multisectoral issues and themes requiring strong policy and operational coordination. Particularly in the second generation of One Programmes, which are now under planning or in early implementation, governments have taken a major role in the overall planning processes in all pilot countries.
172. Many line ministries have well-established relationships with individual UN partners. This has produced a sense of ownership of programmes developed with them. Ministries reported that Delivering as One has not changed this relationship; programmes built on long-term partnerships are continuing under the One Programme. Others voiced a perception that Delivering as One might weaken these specific ties, and that they therefore felt some potential reduction of ownership. However, no specific evidence of such a weakening was reported. In other cases, line ministries have benefitted from new partnership opportunities facilitated by Delivering as One, due to improved awareness of the range of relevant UN organizations, including non-resident agencies (see Box 3.2).

Box 3.2: Inclusiveness is a key driver of Uruguay's One Programme

"The development process of the 'One UN Programme' in Uruguay has been an example of inclusiveness, particularly regarding the non-resident agencies (NRAs). Ownership of the entire process by the Government has been quite remarkable. Implementing the 'One UN Programme' and operating within a framework of enhanced coherence will strengthen the impact that the cooperation provided by the United Nations System in Uruguay generates by increasing its efficiency and efficacy."

Source. Reform Times, Uruguay, 1(1), April 2008.

Finding 2: A critical factor contributing to the sustainability of Delivering as One is a strong tri-partite alliance between governments, the UN system and donors. Sustainability of support from UN country team members is threatened by the imbalance between their organization-specific and UN system accountabilities.

Summary of evidence

173. Governments of pilot countries clearly stated at the high-level conferences that there is "no going back" to pre-Delivering as One approaches and practices. However, the country-led evaluations had mixed findings with regard to sustainability. Two were positive (Rwanda and Viet Nam), three were mixed (Cape Verde, United Republic of Tanzania and Uruguay), and two were critical (Albania and Mozambique).⁷⁰ In the pilots, progress with reform has been built on the enthusiasm, commitment and capabilities of UN staff. This needs to be retained through normal processes of staff turnover, particularly among international staff. New staff in the pilot countries who previously worked in non-Delivering as One countries reported a steep learning curve, which requires strong induction procedures. New personnel who had not worked with the UN elsewhere found Delivering as One to be the right way of working. Several UN country teams have gone to great lengths to prepare common induction processes and packages across organizations, which play an important role in supporting sustainability. Another important element is the full engagement and support of local staff in Delivering as One, which has not been attained in all pilots.
174. Delivering as One has added many tasks to UN staff workloads, while removing few, if any. During the transition phase, staff accepted this as part of the process of reform. However, many staff members across the eight countries expressed concern over the long-term sustainability of this level of commitment, if Delivering as One becomes a routine approach. This is because, so far, staff responsibilities for Delivering as One have not been adequately incorporated into performance monitoring, appraisal and reward systems.

70. See Annex IX, Table 2 for summary findings from the country-led evaluations.

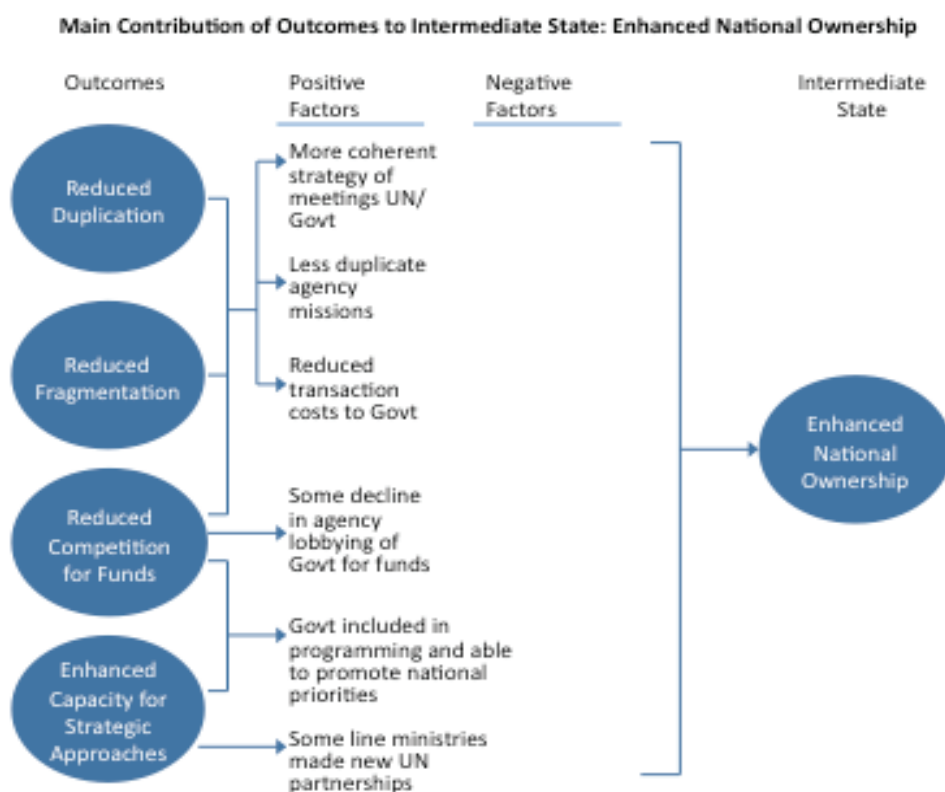
There is currently substantial variation in the extent to which steps have been taken to begin to address this issue.

175. A major barrier to sustainable change is the existence of strong organization-specific accountability systems, which mean that ultimately, actions and performance must be justified and assessed in terms of their conformity with and contribution towards the systems and results of each individual UN organization. In addition to formal accountability systems, mindsets must change if reform is to be successful, productive and sustainable. This cannot be achieved solely on the basis of country-level commitment. An underlying factor, raised in all pilot countries, is that Delivering as One is seeking to reverse decades of institutional culture, values and practice. Expectations of what can be achieved in a few years of piloting have therefore been unrealistic. Furthermore, among governments, donors and UN country teams, there is a strong feeling that mindsets at the headquarters level have changed less rapidly and less radically than in the pilot countries. This is identified as a critical challenge to sustainability. Nevertheless, all pilot country teams agreed that the pre-Delivering as One approach is no longer an alternative.
176. While pilot countries have taken strong ownership of Delivering as One, they are also aware of the many challenges that remain if the initiative is to fully realize its ambitions. In particular, they note the need for UN headquarters to expedite greater decentralization of responsibilities to the country level.

Summary of progress towards enhanced national ownership

177. Movement along the results chain outlined in the theory of change, from the outcome level towards the intermediate state of enhanced national ownership is summarized in Figure 3.1.

Figure 3.1: Main contribution of outcomes to the intermediate state of enhanced national ownership



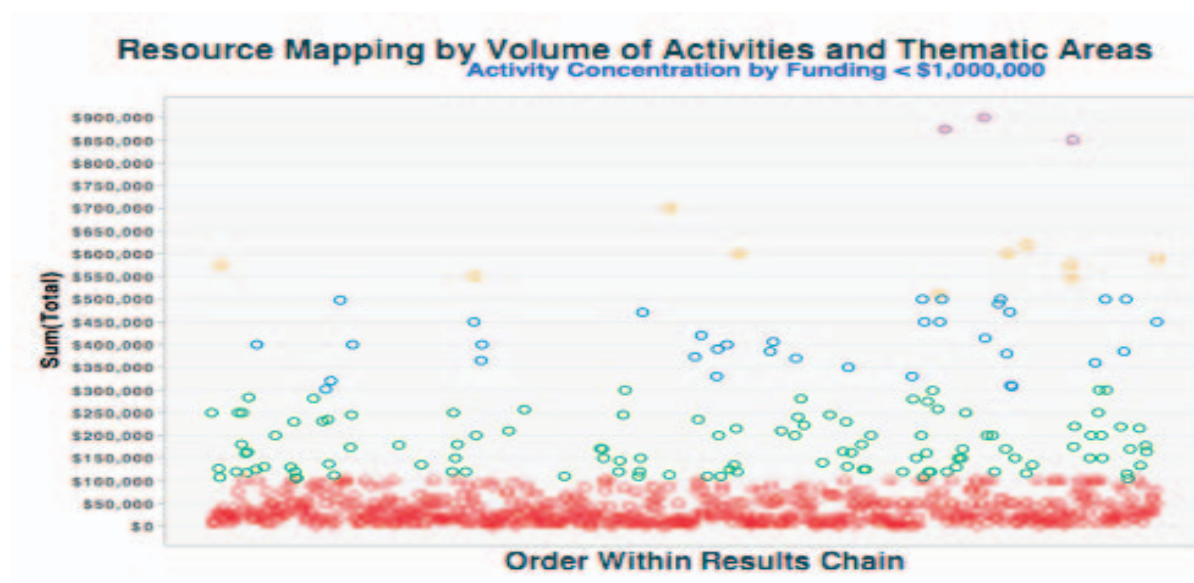
3.3 Progress towards better delivery of support by the UN system to programme countries

Finding 3: The One Programme has been at the core of efforts to respond to country needs and priorities in all pilots. However, the One Programme has posed challenges in terms of defining the right balance between strategic focus and inclusiveness. This has been the case, for example, in giving the pilot countries increased access to the mandates and resources of non-resident and small-scale agencies.

Summary of evidence

178. One of the underlying objectives of the One Programme was that programme countries should have access to and benefit from the full range of mandates and resources of the UN system. National governments should determine which UN organizations, including non-resident agencies, can best respond to their specific needs and priorities.⁷¹ At the same time, Delivering as One was to strengthen the strategic focus of UN operational activities by fostering better coordinated and more coherent UN development assistance.
179. Based on the number of organizations that receive resources from the One Funds, it is fair to say that Delivering as One is very inclusive. On average, 15 UN organizations per country participate in the One Fund.⁷² In three countries (Mozambique, Rwanda and the United Republic of Tanzania), the One Fund is divided among 19 organizations, while in Albania, 9 organizations participate.
180. Inclusiveness and strategic focus are not necessarily a contradiction. The One Programme can be inclusive and strategic at the same time. However, the One Programmes reveal that UN development organizations pursue many objectives. The One Programme in Viet Nam (The One Plan II) lists 118 country programme outputs.⁷³ Most activities are small in scale, as revealed, for example, by the resource mapping of the One Programme Monitor in Rwanda (see Figure 3.2). Mozambique's country-led evaluation identified project spread as a key challenge (see Box 3.3). A study prepared by the MDG-F has confirmed the challenge of finding the right balance between inclusiveness and strategic focus in particular in joint programmes (see Box 3.4).

Figure 3.2:
Resource mapping of UN activities in Rwanda: mostly small in volume



Source: UN system in Rwanda.

71. Resolution A/62/208 (triennial comprehensive policy review), paragraph 101.

72. See Annex IX, Table 5 on organizations participating in One Funds.

73. One Plan 2006-2010, UN system in Viet Nam.

Box 3.3: Project Spread—A Challenge for the UN in Mozambique

The country-led evaluation in Mozambique identified project spread as a key challenge:

“Simplistically, project spread means too many projects, outputs, implementation responsibilities, contributing to inadequate strategic focus and fragmentation and leading to a non-responsive balance in the portfolio.... The UN is engaged in 31 types of programmatic intervention in Mozambique. Not all of these 31 types are equally strategic. UNDAF 2010-11 has about 110 outputs.... The higher the number of projects the greater the workload and effort for project management, and the concomitant requirements in direction and oversight. This spread increases the complexity of the operations and the challenges to achieving integration, strategic engagement and coherence.”

Source: “Country-led Evaluation of Delivering as One—UN Pilot Initiative in Mozambique,” 2010.

Box 3.4: The challenges of joint programmes

“Experience so far has shown that in some cases finding the right balance between inclusiveness and a strategic focus remains a challenge. Furthermore, findings from mid-term evaluations and feedback from UN Country Teams have shown that having a high number of agencies participate in a joint programme can result in burdensome coordination and inefficiencies. With a large number of partners the time spent on establishing programme management mechanisms, coordinating operational issues and meetings etc. takes away from time which needs to be spent on development work.”

Source: “MDG Achievement Fund: Lessons Learned,” Montevideo, Uruguay, November 2011.

181. Programme coordination and similar groups have played an important role in ensuring that programmes are in line with national needs and the capacity of the UN country team to deliver (see Box 3.5). Many governments and teams have moved towards the concept of total inclusion, seeking to bring the maximum volume of UN programmes within the One Programme framework. This has usually been associated with the additional intention of bringing all UN programmes into the government accounting, budgetary and planning systems.

Box 3.5: Groups facilitated coordination in Viet Nam

The programme coordination groups in Viet Nam operate as a joint working mechanism co-owned by the Government and the UN system. They ensure coordination of joint programming, common annual work plans, joint implementation and joint monitoring. Currently, there are eight groups: on social and economic development policies, health, education, sustainable development, governance, disaster management, HIV and gender. They contribute to the identification of programmatic synergies across UN organizations and facilitate learning among UN staff about other organizations’ areas of expertise.

Source: Information collected by the evaluation team from the UN system in Viet Nam.

182. On the other hand, many UN organizations value the flexibility of allowing a number of activities to be implemented outside the One Programme framework. The financial data show that even where the pilot has followed a maximum inclusiveness approach, a significant volume of activities falls outside the One Programme. This may be necessary if the activities in question were not foreseen at the planning stage, or responded to a highly specific need with limited links to the main components of the One Programme. Some non-resident agencies reported that they had found it difficult to have their planned activities accepted within the One Programme framework, even when these responded to national needs, and they had actively sought such integration.
183. From a system-wide perspective, there is broad consensus that working together and improved coordination are vital for the future of the UN system. This does not imply that Delivering as One is the only or most appropriate modality. The One Programme has proved a catalyst for joint collaboration, and the enhanced

role of non-resident agencies, often drawing on the One Fund. It is appreciated by governments and UN organizations. But there are issues related to the capacity of some agencies to deliver in a particular country. In some cases, Delivering as One is seen as an opportunity to influence larger programme frameworks, which are inter-sectoral and beyond the traditional line ministry. It has also encouraged collaboration at the regional level. Since organizations have learned a lot about each other, Delivering as One has proved to be a catalyst for learning.

Finding 4: Pilot countries invested considerable efforts in improving the monitoring and evaluation system of the One Programme. However, this proved a highly complex challenge. The results have not yet been satisfactory.

Summary of evidence

184. Important approaches to monitoring have included the development of joint results frameworks and the introduction of joint annual reports. Most pilots (Albania, Mozambique, Pakistan, Rwanda, United Republic of Tanzania, Uruguay and Viet Nam) also established a joint monitoring mechanism, and monitoring and evaluation task force. The UN system in Rwanda created an innovative, web-based inter-agency monitoring and reporting system called the One UN Programme Monitor, which covers all One UN Programme activities. Programme coordination or similar groups have played an important role in monitoring results in thematic areas.
185. However, a key finding from the country-led evaluations is that monitoring and evaluation need more attention.⁷⁴ The UN M&E Working Group in Viet Nam considered the current system to measure the One Programme (One Plan II) unsatisfactory and did not use it. The weakness of monitoring and evaluation of joint programmes has been noted by the MDG-F (see Box 3.6). This will be difficult to overcome in the next phase of One Programmes, in view of their complexity in relation to country-level monitoring and evaluation resources.

Box 3.6: Weak monitoring and evaluation of joint programmes

"Monitoring and evaluation were weak from the formulation process through implementation. While baseline information has improved it often came more than 12 months after the start of a programme and indicators could be better. There is still a gap in partner capacity to monitor programmes locally.

"Many monitoring systems focus more on compliance with delivery targets than on the analysis of the continued relevance and potential effectiveness of activities and outputs vis-a-vis the expected outcomes."

Source: "MDG Achievement Fund: Lessons Learned," Montevideo, Uruguay, November 2011.

186. In the United Republic of Tanzania, the US\$777 million UNDAF has 369 key actions, undertaken by 20 UN organizations, generating 182 outputs and 58 outcomes.⁷⁵ The development of a system to assess the results of a programme of this complexity has been a major task, and was only approaching completion at the time of the country mission by the evaluation team, when the UNDAF had in principle already started. The task of generating baseline data and of regularly monitoring progress towards 58 outcomes seems extremely daunting. Adequate expertise and capacity to succeed were not yet apparent during the field mission.

Finding 5: Some Delivering as One pilots are convinced of the added value of joint programming over joint programmes, while others are trying to refine the joint programme approach.

Summary of evidence

187. As most pilots were launched within an already prepared UNDAF cycle, the initial response to working more closely together was to devise a set of joint programmes. These often consisted of programmes that

74. "Delivering as One Country Led Evaluations – Synthesis Report," 2011.

75. Tanzania UNDAF 2011-2015.

had been separately prepared by individual organizations and were retrofitted under a common theme or over-arching objective into joint programmes, each of which had several stakeholders. These first joint programmes were the beginning of attempts to: scale up through larger, combined interventions; foster more coherence and transparency; reduce overlap and duplication; and provide a more comprehensive set of development interventions in priority thematic areas.

188. The original joint programmes faced or generated a number of challenges. Since most of the component projects had originally been planned by individual organizations, the new partnerships were not always coherent. In the rapid push to do more things jointly, many programmes had too many UN partners for effective management; this tendency was exacerbated by the involvement of a large number of government or other partners. In some cases, organizations took on responsibilities that overstretched their resources and/or managerial capacities. Within the programmes, each UN organization retained responsibility for its own outcomes, making it difficult to measure and aggregate progress.
189. The managerial difficulties encountered in joint programmes, particularly regarding the need to reconcile or streamline different organizations' implementation modalities, rules and procedures, provided valuable country-level evidence for inter-agency deliberations on the management of joint programmes and multi-donor trust funds, at the level of the UNDG.
190. As experience with Delivering as One increased, several countries moved towards joint programming with a focus on joint results, rather than the joint programme modality in which interventions were conceived and developed by groups of organizations (see Box 3.7 and Box 3.8). This process enabled an increased focus on country priorities, and on the assessment of where UN support could best fit national needs.

Box 3.7: In Albania, a focus on joint results instead of joint programmes

"The second generation DaO programme in Albania—called the Government of Albania and United Nations Programme of Cooperation 2012-2016—was signed by the Government of Albania and the United Nations on 24 October 2011 during the mission of the Independent Evaluation to Albania. The Programme of Cooperation supersedes the joint UN programmes and UN-supported initiatives, with a single, coherent plan for all UN agencies in Albania, in which each is responsible for delivery on a set of key actions that jointly contribute to shared results. The Results Framework defines the outcomes and outputs of the Programme of Cooperation. The management arrangements are organized around these results (outcomes and outputs). The Annual Work Plans combine the inputs of all UN agencies. Output Working Groups are the technical committees with roles and responsibilities directly related to the achievement of a specific output. Members of these groups are representatives from relevant implementing partners, contributing UN Agencies and other partners that implement (part of) the Annual Work Plans. The Output Working Groups are responsible for the joint coordination and design of relevant activities that are included in the joint Annual Work Plans and the monitoring and reporting of the respective Annual Work Plans."

Source: "Government of Albania and United Nations Programme of Cooperation 2012-2016."

Box 3.8: Collaborative programming more pragmatic and flexible in Mozambique

In Mozambique, the main driver of change was the One Programme—the major focus of the coherence agenda was that both the Government and UN country team had more control over programmatic alternatives. The One Programme served as a platform for demand-driven joint programmes in cross-sectoral areas such as gender, nutrition and social protection, as well as joint programming. Joint outcomes defined the scope and membership of joint programmes. Smaller joint programmes worked best given that operational systems were not designed to support multiple agency participation. In some areas, collaborative programming offered a more pragmatic and flexible approach than the more stringent joint programme modality. The One Programme was an opportunity to rationalize a strategic division of labour across the UN system.

Source: Information collected by the evaluation team in Mozambique.

191. The starting point for joint programming is the identification of a set of priorities with or by the government, which determine a range of programmes designed to meet these priorities. This approach may still include a number of joint programmes, but these are no longer a requirement, and have been jointly planned and designed from the start. Joint programming also includes individual organizations' projects, where these contribute to a larger development priority.
192. Pilot countries have found that joint programming provides a more pragmatic approach to avoiding or reducing duplication and overlap, and clearly defines the responsibilities and deliverables of all participating organizations and implementing partners.
193. Governments report improved transparency and coherence, as well as better coordination among UN organizations, including in relation to government processes. This leads to a better "fit" with their own priorities and programmes. Joint programming has also in many cases brought about an improved relationship with donor programmes and activities. An emerging approach is for joint programming to be incorporated into an UNDP rather than an UNDAF (see Box 3.9).

Box 3.9: Key differences between an UNDAF and UNDP: The case of the United Republic of Tanzania

UNDAF January 2007–June 2011

1. A framework for the UN agencies to operate within Tanzania
2. Echoes Tanzania's development priorities, to which the UN would contribute
3. Agencies developed individual plans using UNDAF as the overarching framework (out of these, 9 Joint Programmes developed)
4. Only Joint Programme reports reviewed annually (performance based fund allocations)

UNDP July 2011–June 2015

1. A business plan for the UN agencies in Tanzania
2. Articulates the contribution of the UN system to the national priorities
3. UNDP is the plan for all UN agencies in Tanzania
4. Entire UN Programme reviewed annually (performance based fund allocations)

Source: UNDP Tanzania, Figure 2, "UNDAF and UNDP: What is different?"

Finding 6: Many results have been reported in annual reports and evaluations of projects and programmes implemented under the first generation of One Programmes, in particular on cross-cutting issues. However, it is extremely difficult to establish an evidence-based argument that these results are significantly different from those of earlier non-Delivering as One programmes.

Summary of evidence

194. Assessing the development results to which Delivering as One has contributed in pilot countries is extremely challenging. Six of the eight country-led evaluations had no clear findings on the issue of results, as they very much focused on the operational effectiveness of Delivering as One (see Box 3.10). Only two evaluations had positive findings concerning the results of capacity building (Albania, United Republic of Tanzania), with six reporting mixed results or no clear finding (see Box 3.11). In terms of the contribution to national ownership and leadership, an important element of aid effectiveness under the Paris Declaration and later commitments, the assessment was clearer, with seven evaluations reporting positive results. Although the evaluations attributed the difficulty in assessing results to the relatively early stage of the pilots when they were conducted, it is clear that there are more fundamental challenges.

Box 3.10: The country-led evaluation in Viet Nam: A focus on operational effectiveness

"The information contained in the CLE report is more on the operational effectiveness of the 'One' and much less on DaO's contribution to development effectiveness. The CLE struggled with the question of development effectiveness (which is acknowledged in the report). There is limited evidence to demonstrate how DaO contributes, in terms of outcomes, to development effectiveness. Assessing progress towards development effectiveness was constrained by the fact that the period of time since the One UN Initiative started was very short and the performance reports available to the evaluation were limited in scope and coverage; and were dealing primarily with activities and outputs, rather than outcomes. The CLE states that there are examples of narratives linking the support by the UN to implementing partners with planned outcomes, such as improved performance of a service or introduction of new policies. The CLE goes on to stress that there are many weak performance statements, such as processes being described as 'enhanced' with no baseline or quantification against which the extent of achievement could be judged."

Source: "Inception Report of the Independent Evaluation of Lessons Learned from Delivering as One (DaO)," September 2011.

Box 3.11: Limited evaluative evidence on capacity development

"The UN has a track record and is uniquely placed to contribute to increased service delivery capacity for the Government. This issue was however not assessed in depth in the CLEs and hence it is not clear from the evaluations whether the UN has comprehensively occupied this strategic space. There are individual country examples such as in Rwanda, where the programme favoured capacity support to decentralised entities with assistance towards local budgeting and administration through support of progressive localisation of central budgets and institutionalisation of performance contracts in all districts."

Source: "Delivering as One Country Led Evaluations—Synthesis Report," 2011.

195. In all pilot countries, there have been many results in terms of raised capacity, progress in cross-cutting areas and development changes. However, many of the results are recorded at output level; their contribution towards higher level outcomes has not been assessed in detail.⁷⁶ Where outcomes are addressed, there is—with a few exceptions (see Box 3.12 and Box 3.13)—little evidence of the cause and effect chains catalysed by Delivering as One. For instance, the final evaluations of joint programmes largely produce an assessment of the results achieved by each component, sometimes with an "additive" approach to the results of the "jointness." Many evaluations devote attention to the "jointness" of the programmes in terms of the effectiveness of the processes involved, rather than of the specific contribution this made towards results (see Box 3.14).⁷⁷

76. According to the DAC glossary, outputs are: "The products, capital goods and services, which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes." Outcomes are: "The likely or achieved short-term and medium-term effects of an intervention's outputs" (p. 28).

77. See also Annex IX, Table 4 on attempts to explain its added value.

Box 3.12: Joint programme on gender equality in Albania creates synergies

"The Joint Programme on Gender Equality of the UN in Albania focuses on supporting implementation of the National Strategy on Gender Equality and the Eradication of Domestic Violence with particular focus on implementation of the country's first law on Domestic Violence and the Gender Equality Law. The Joint Programme is implemented under the One UN Programme and draws on the expertise of four agencies: UNDP, UNFPA, UNICEF and UN Women. The division of labor has resulted in an inclusive programme on gender, building on the strengths and assets of the participating agency. Working as one and the internal coordination of agency activities permits the four UN agencies involved to have greater synergetic combined effect. Stakeholders considered that the most important aspect of JPGE was the synergy created between implementing partner organizations."

Source: United Nations Albania, "Mid-term Evaluation of the UN Joint Programme on GE in Albania (July 2008-June 2011)," November/December 2009.

Box 3.13: An attempt to explain synergies in Uruguay

"This case study presents the lessons learned and achievements attained by the implementation of the CIVICUS Civil Society Index (CSI) as part of the United Nations "Delivering as One" (DaO) pilot experience in Uruguay....

"As part of the DaO experience in Uruguay, a joint project was implemented to strengthen the institutional capacity of CSOs from May 2009 to October 2010. It was implemented by UNDP, UNESCO and UNFPA, in partnership with ANONG and other civil society networks and with financial support from the Uruguay One UN Coherence fund....

"Because the CSI was implemented as part of a joint project financed through the One UN Coherence Fund through the DaO pilot experience, there was a limited timeframe for its implementation. To expedite the process, the implementation of key activities had to overlap. Among these activities were the CSI diagnosis phase (identifying CSO strengths, weaknesses, and needs), the organization of training workshops in the interior and an International Forum to discuss organizational structures, strengthening, and public policy advocacy. This overlap allowed ANONG (as the implementer of the CSI) and the Management Committee to combine the CSI diagnosis with training activities and gather CSOs from all over the country in four workshops held from September 2009 to March 2010 in the interior....

"Another innovative synergy brought about by the implementation of the CSI was the efficient use of resources through the creation of alliances. In 2009, the Ministry of Social Development, UNDP, and United Nations Volunteers agreed to carry out a national survey on volunteerism. The survey added a few volunteer-related questions to the original questionnaire used the ongoing data collection process of the CSI."

Source: "Uruguay—The many synergies of implementing the CSI in a UN 'Delivering as One' pilot country."

Box 3.14: Only a few "real" joint programmes

"JPs that are actively joint in all possible ways—design, governance, implementation, monitoring, reporting, co-operation with government actors, resource mobilization and advocacy—appear to be rare....

"There is little analysis (in JP evaluations and reviews) on how the 'jointness' may have added value to the results. Would, for instance, five agencies that programmed separately have led to similar results? "

Source: "Analytical Overview of Joint UN Gender Programme Portfolio: Final Report," UN Women Evaluation Office, 2011.

196. Cross-cutting issues, particularly gender equality and women's empowerment and human rights, have received particular attention under the pilots, with many results, although the country-led assessments found that there is a need to better report on outcomes (see Box 3.15). Cross-cutting issues seem to have received more attention under Delivering as One than in conventional UNDAFs, at times supported by

additional specialist expertise. This has contributed to specific outcomes (see Box 3.16 and Box 3.17). The environment is included as a cross-cutting issue in some pilot countries, but has received less attention than gender equality and human rights, which have become flagship issues of the reform, often strongly supported by the One Voice strategy.

Box 3.15: Progress on cross-cutting issues, need to better report on outcomes

"The formalised collaboration has led to positive synergies with systematic approaches to multidimensional and crosscutting issues and increased orientation towards outcomes. It is however, too early to assess the extent to which programme outcomes have been achieved. Significant more efforts need to be placed on developing UN and national M&E capacities and also better reporting on outcomes, measured against set targets."

Source: "Delivering as One Country Led Evaluations—Synthesis Report," 2011.

Box 3.16: Gender-related results in Viet Nam

The UN country team sees the results below as having been attained with the contribution of Delivering as One, although in the absence of independent evaluative evidence, it is difficult to verify this claim:

- The passage in 2007 of the Law on Domestic Violence Prevention and Control can be considered a historic milestone for Viet Nam, providing protection for women and their families to live a life free of violence.
- In 2010 the first national survey on domestic violence was conducted by the General Statistics Office with substantive UN support through the Joint Programme on Gender Equality.
- UN-supported programmes on Gender-Based Violence and Domestic Violence Prevention achieved significant progress at national as well as sub-national level. Gender-based violence was integrated into the "National Family Development Strategy 2011-2020 and Vision to 2030."
- A gender audit was conducted in December 2008 and provides an analysis of gender in the One Plan II. It led directly to the "Gender Mainstreaming Strategy 2009-2011."
- The UN system provided analysis and recommendations on how best to mainstream gender into the new Socio-Economic Development Plan (2011-2015).

Source: Information collected by the evaluation team in Viet Nam.

Box 3.17: Strengthened approaches to human rights under the UNDAF in the United Republic of Tanzania

A UN Tanzania Human Rights Committee existed before Delivering as One, but under the new system, the Human Rights Working Group concentrates on mainstreaming human rights into programming and on advising all organizations, since there are many related system-wide policy issues. The members do not represent their organizations, but bring their individual experiences to contribute to the overall development of UN country team approaches. The group has its own budget.

During the UNDAF preparations, the group was assigned a lead agency. Since the Office of the High Commissioner for Human Rights (OHCHR) is not resident in the United Republic of Tanzania, the resident coordinator office was asked to coordinate, drawing on a pool of UN country team experts. This leadership set-up has raised the profile of the country team's human rights activities and strengthened its ability to position itself as an instrument for human rights promotion and protection among key national stakeholders. Stakeholders encompass not only ministries, departments, institutions and NGOs engaged at the country level, but also the UN human rights treaty bodies and Human Rights Council. As a result, there is an increased interest among bilateral missions in the UN system's human rights advice. The country team has been able to use its new capacity to leverage funding. These gains are linked with improved channels of communication between OHCHR and the UN country team at a technical advisory level, taking advantage of the country team as the first point of contact on human rights issues and acknowledging the Delivering as One modality in OHCHR's engagement with national counterparts.

In preparing the national report for the Universal Periodic Review, the Government requested technical and financial assistance from the UN country team. The resident coordinator facilitated a cost-sharing arrangement between four agencies in support of multi-stakeholder consultations on the human rights situation. For technical assistance, OHCHR provided orientation material on the Universal Periodic Review modality to the Human Rights Working Group. Based on advice from the Communication Group, the UN country team assisted a consultation workshop between the Government and local media, which resulted in an increase in news stories and editorials. Following the intergovernmental dialogue at the review, a number of bilateral missions sought the UN country team's advice on funding national human rights institutions and processes.

Source: Information collected by the evaluation team in the United Republic of Tanzania.

197. A major challenge is to specify achievements to which Delivering as One contributed that might not have occurred under an UNDAF. This is because later generation UNDAFs also exhibit "reformed" approaches, including joint programmes and attempts to move programming upstream. Some of these approaches drew on the early experiences of Delivering as One, which have been widely circulated and discussed, and were absorbed into new guidance by the UNDG on programming modes.⁷⁸
198. The most fundamental difficulty concerns the nature of the One Programmes implemented to date. As discussed earlier, these mainly comprised activities planned before Delivering as One and reassembled into aggregations of joint and single agency programmes. They produced results in the same way as programmes would under any UNDAF, either singly or jointly. However, the first generation of One Programmes did not represent a fundamental change in the way the UN did its business. Rather, the UN country teams themselves identified these One Programmes as the necessary basis for the "real" change, which came about with the second generation One Programmes, often devised in the format of UNDAFs.
199. The expectation of the country-led evaluations and of the terms of reference for the independent evaluation that the development results of the first generation One Programmes would form a sound basis for evaluation of the pilots is not supported by the evidence.
200. In summary, the emerging consensus among the pilot countries is that the first joint programme approach was a learning process, which generated understanding that joint programming, with government

⁷⁸. Such as, for example, the UNDAF Guidance and Support Package, 2010.

leadership (or at least strong inputs), is a more effective approach than joint programmes. This lesson is captured on the UNDG website: "While joint programmes can be useful mechanisms for UN agencies to implement together, the main point of One Program is joint programming as a process of planning and thinking together, and possibly also implementing together. The issue of 'joint programming' has been one of the key gains that emerged from the Pilots. The UNCTs are truly exploring how the UN system can respond to national priorities by joint analysis, joint thinking, joint prioritization, and joint budgeting. Joint programming is enabling greater responsiveness to national priorities. Through joint programming, UN Country Teams are looking at the UN system-wide and, more inclusively, drawing on the mandate, experience and expertise of all UN agencies to address the national priorities."⁷⁹ This being the case, a focus on the results of the joint programmes can only form part of any evaluation of the reforms set in motion by Delivering as One.

Finding 7: As pilot countries have progressed towards development of joint programming documents, their efforts have been obstructed by requirements of executive boards of funds and programmes to approve country programme documents. It was hence necessary to prepare separate common country programme documents covering only the activities of the funds and programmes, i.e. a subset of the UNDAPs that include activities of all UN organizations involved, including specialized agencies. UNDAPs do not require approval by governing bodies, as operational activities of specialized agencies do not have to be approved at the inter-governmental level.

Summary of evidence

201. Some donors who have actively backed joint programming at the country level and in system-wide events have been less explicitly supportive in the boards of funds and programmes, thereby sending mixed signals concerning their positions and preferences. At the headquarters level, direct accountability of individual funds and programmes to their respective boards remains the preference, requiring individual agency country programme documents. Only if the governance structures of UN funds and programmes are reformed will the pilot experience with joint programming fully yield its intended benefits in terms of simplified reporting and programme implementation. In the meantime, interim solutions might be possible, such as inter-agency agreements to accept UNDAPs without the need for details of organization-specific contributions.
202. In support of such change, a delegation representing the executive boards of UNDP and UNFPA, UNICEF and WFP undertook a joint field visit to Rwanda in March 2010. It made recommendations to the boards to help strengthen joint programming and harmonization of business practices (see Box 3.18).

Box 3.18: Joint field visit to Rwanda to strengthen harmonization

"The Delivering as One model in Rwanda seems to support and facilitate a healthy division of labour, avoiding duplication and building on individual strengths. The delegation recommends that Executive Board review of strategic plans emphasize a clear focus on comparative advantages, avoiding 'mission creep' and internal competition among country team members.... The delegation noted the added value of joint programming while recognizing the challenges faced by the UNCT. The delegation therefore recommends that the UNDP/UNFPA, UNICEF and WFP Executive Boards request the heads of agencies to make additional efforts through the Chief Executives' Board or bilateral inter-agency coordination to strengthen harmonization of their business practices. This would be especially productive in information technology, human resource management policies and communication guidelines in support of joint programming at country level."

Source: Report of the joint field visit to Rwanda of the Executive Boards of UNDP/UNFPA, UNICEF and WFP, 20-30 March 2010, 5 May 2010 (DP-FPA/2010/CRP.1—E/ICEF/2010/CRP.12).

79. www.undg.org (Delivering as One/Programmes).

Finding 8: The One Budgetary Framework is a major innovation. It allows the UN country team to present all planned and costed programme activities in one place, together with the available and expected funding sources, including the One Fund. However, it has not been applied in a consistent way across the pilot countries.

Summary of evidence

203. The role of Delivering as One in catalysing additional, more predictable and more flexible funding is an important aspect of its attempt to help raise UN delivery of development assistance towards its potential. The One Budgetary Framework has applied particularly to the development of the One Programme, aiming at a consolidated, costed presentation of the financial needs of the UN system in the country concerned. The One Fund has proved extremely important in providing unearmarked, or loosely earmarked, predictable funding. It has helped to fill funding gaps in the One Programme, after calculating the secured and semi-secured core and non-core funding. In most countries, this gap corresponds in particular to those agreed priorities requiring joint action. Cross-cutting issues, in particular, are unlikely to receive core or non-core funding from UN organizations, but may be high on the list of government priorities.
204. However, in practice, the One Budgetary Framework has not been applied in a uniform way across the pilots. There have been substantial variations. In some countries, the framework has aimed to cover the entire funding gap across the lifetime of the One Programme, while in others it has been updated on an annual basis and become a sort of rolling budget.⁸⁰ It covered the whole One Programme in some pilots, including the core and non-core resources of organization-specific programmes, but in others it addressed only incremental portions added to the UNDAF through the One Programme.

Finding 9: The additional financial resources coming from the One Fund have proved a crucial incentive for more organizations to work together. However, there are doubts about the sustainability of these new funding arrangements, since there are already drops in donor commitments, with no clearly stated plans to replace them.

Summary of evidence

205. Normally, the organizations of the UN country team have specific programmes with their national counterparts. Resource mobilization focuses on these programmes, with little incentive for joint activities with other organizations, even though exceptions exist. The One Programme, with its broader mandate, and the One Fund, created the conditions for working together on common priorities, and led to a dramatic increase in the number of joint programmes. In Mozambique, Pakistan and Uruguay, joint programmes were a condition for accessing the One Fund. In Rwanda, 80 percent of One Fund resources go into joint interventions and 20 percent into stand-alone projects. There are over 40 joint interventions according to the 2011-2012 Consolidated Action Plan in Rwanda.
206. Joint programmes are intended to result in improved efficiencies by eliminating duplication of programme elements or support services. However, this is not confirmed in the findings. While there have been savings in some dimensions of project/programme operation, there were also cost increases in other dimensions, particularly due to increased coordination. Consequently, some pilots emphasize joint programming rather than joint operation and implementation through joint programmes.
207. Many agencies reported increased levels of funding due to the One Budgetary Framework and/or the One Fund. A large One Fund has been found to promote a significant improvement in the quality and coverage of programmes. In some countries, the One Fund has also been used to finance some of the costs of reform processes.
208. The country-led evaluations had relatively positive findings concerning additional access to funds, with five countries positively assessed, two receiving a critical review and one a mixed review.⁸¹ However, the Expanded Funding Window, MDG-F and One Fund as models for unearmarked and predictable fund-

⁸⁰. This issue is explored in detail in Annex X on reforms of funding and business processes.

⁸¹. See Annex IX, Table 2 on findings from the country-led evaluations.

ing are not perceived by UN country teams as sustainable, with drops in donor commitments noted by 2009/2010.

209. Overall, the new funding modalities have a supplementary (although sometimes substantial) function in relation to the overall programme budget, which continues to remain largely dependent on non-core funding raised through the normal organizational channels. Since non-core funding is tied to donor-specified activities, the possibilities for Delivering as One to reduce programme fragmentation through more predictable, unearmarked funding remain limited. The One Programmes are still fragmented into many small-scale activities.⁸²
210. If the One Fund is weak, the One Programme has to fall back largely on organizations' own funds. In some countries, however, the joint fundraising strategy limited some country-level fundraising by individual organizations (e.g., Viet Nam, Rwanda and United Republic of Tanzania). At times, some organizations have faced constraints on resource mobilization for their individual programmes because of a country-level agreement that resource mobilization to meet funding gaps should be carried out by the resident coordinator. UNICEF most consistently reports limitations imposed by Delivering as One financing strategies.

Finding 10: Several donor countries have actively supported Delivering as One.⁸³ Apart from contributing to the One UN Fund, donors have provided country-level assistance to resident coordinator offices through funding or staff secondments. Donors have also supported coordination structures at the global or regional level, including DOCO and the UNDG regional teams.

Summary of evidence

211. An important factor in the performance of Delivering as One at country level is the extent to which it has been able to leverage additional funds, particularly unearmarked resources, and support from donors. Donor countries have played a variety of roles with regard to the reform. In-country donors with a history of active support to the UN system all reported initial intentions to strongly support implementation at the country level. Most Delivering as One donors are advocates of UN reform in general, and place it within their broader commitment to aid coordination under the Paris Declaration and later agreements. They show varying degrees of actual engagement, however, depending on a wide range of factors, such as national policy changes in their home countries and shifts in their own funding circumstances. Many of these are not related to the performance of Delivering as One.
212. UN country teams and programme country governments widely view donor funding as unpredictable. They are also aware that support for Delivering as One may have come partly through the reallocation of existing resources, rather than additional funding. These perceptions are based on broad experience of working with donors and are not derived from Delivering as One to date. An analysis of funding strategies by five donors (Canada, Netherlands, Norway, Spain and the United Kingdom) covering 84 percent of all "non-traditional"⁸⁴ funding to the pilots indicates that the contributions of these donors to UN multi-donor trust funds has grown faster since 2007 than their broader ODA and support to UN activities. Assistance to Delivering as One has not affected donor support for earmarked non-core funding targeted at specific issues. However, such a short period does not provide a sound basis for predicting longer term trends.
213. Donor country-level offices where Delivering as One is seen as successful strongly support continuation. However, in the changing global economic climate, even the most enthusiastic donor offices are unable to guarantee that their parent bodies will sustain high levels of support. This depends on the interplay of complex processes, such as the directions of the development assistance policies of donor governments and the degree of decentralizing funding decisions to the country level.
214. Some donors have supported Delivering as One through annual contributions, and others through multi-year commitments. At present, five donors have committed resources beyond 2012.⁸⁵ By making resources

82. See Figure 3.2 on resource mapping by volume of activities in Rwanda.

83. Annex X, on reforming funding and business processes, provides detailed evidence on all financial aspects covered in Chapter 3.

84. Excluding core and non-core resources, which formed the bulk of all programming funds.

85. Canada, Luxembourg, Norway, Spain and Switzerland.

available, both through unearmarked, pooled funding mechanisms, and through light earmarking (e.g., for a particular sector or major programme component of the One Programme), these donors have made it possible for the pilots to move closer to the ideal, where non-core funds are unearmarked. This enables the closest matching of resources with programmatic needs agreed with governments in the One Programme. Different channels used for this purpose include the multi-donor trust funds established in each country as part of the One Fund, as well as innovative pooled funding mechanisms, such as the Expanded Funding Window, which could fill gaps in the One Programme not otherwise covered by traditional and organization-specific core and non-core resources.

215. Innovative funding tools allowing more predictable, unearmarked funding under the control of the government, and the resident coordinator and UN country team have been a positive dimension of the pilot exercise. They have allowed it to move closer to the objective, articulated in repeated calls from UN organizations, for more predictable, long-term and unearmarked funding. They have also enhanced the authority of the resident coordinator, who has responsibility for resource mobilization on behalf of the UN country team to cover any funding gaps, as well as the management of the One Programme as a whole. In this new role, resident coordinators have mitigated resource mobilization difficulties for some organizations, and reduced pressures for competitive resource mobilization among members of the UN country team.
216. The One Fund has functioned as a powerful financial incentive—and facilitating mechanism—to involve organizations in Delivering as One. These include both “small” non-resident agencies and larger specialized agencies that might not otherwise have been engaged in the One Programme due to resource constraints.
217. In-country donors have participated in some of the steering committees of the One Fund, as members or as observers. Four donors that have jointly contributed 76 percent of all resources for the One Fund, including the Expanded Funding Window, are also members of the latter’s Advisory Board. They have taken a very active interest in tracking the progress and implementation of Delivering as One as part of making funding decisions.
218. Several donors have financed the strengthening of resident coordinator offices and change management processes in pilot countries, in some cases on a considerable scale.⁸⁶ Some have also supported DOCO and the UNDG regional teams.
219. Delivering as One has required time and resources from UN country teams and resident coordinators, in order to support the drive towards innovative processes and tools, harmonization and rationalization of business processes, and new and sustained ways for teams to work together. Substantial human and financial resources have been dedicated to UN internal change management processes, to coordination, and to interaction with governments through steering and coordination committees at many levels (see Box 3.19).

Box 3.19: A change management plan in Mozambique

“The development and implementation of a Change Management Plan is a good practice: In order to better coordinate and implement the DaO agenda in Mozambique in a timely fashion, the UNCT decided to increase its capacity to manage the change process. As a result, a Change Management Officer was recruited in the Resident Coordinator Office and a Change Management Plan was developed, integrating all aspects of the reform process in Mozambique and outlining an inter-agency strategy until the end of 2010. The added value of a comprehensive Change Management Plan lies in the integration of all aspects of the DaO concept into one project document, which takes into account the interdependencies of the change process and establishes a concrete work plan for the UNCT that is carried and supported by all agencies.”

Source: “Stocktaking Report 2008: Delivering as One,” UN system and the Government of Mozambique, 2009.

86. Including a US\$6 million programme on common services and an US\$800,000 joint programme on communication in the United Republic of Tanzania, a US\$1.2 million change management project in Mozambique, and funding or secondments for several staff positions in Viet Nam.

220. Efforts to set up and maintain these structures, and to manage all aspects of Delivering as One, have been very substantial for all organizations, teams and individuals. But their sustainability is in question, since funding was the result of historically unique decisions by a small group of donors. Sustainability is critical from the perspective of deriving lessons and possibly applying Delivering as One on a broader scale.

Finding 11: The pilot countries have sought to achieve an enhanced leadership role for the resident coordinator, and increased mutual accountability between the resident coordinator and members of the UN country team. The latter aim has not yet been achieved.

Summary of evidence

221. UN offices have attempted to produce a more coordinated and coherent approach to assisting governments under the banner of One Leader and one team. UN resident coordinators have no formal authority over the heads of other organizations within the UN country team. The system relies on “consensus-based management,” with each member immediately accountable to a supervisor in his / her organization’s hierarchy and ultimately to its executive head (see Box 3.20). The success of One Leader has largely depended on the ability of resident coordinators to rally support around a strong strategic vision, and on the perspective of UN country team members. Much effort from the UNDG has gone into defining the competency profile for resident coordinators in Delivering as One countries, and to a tailored selection process, combined with an enhanced induction programme.

Box 3.20: One Leader concept based on consensus and inclusive management in Uruguay

“The sustainability of the RC’s leadership is dependent upon his or her capacity to maintain an inclusive and transparent leadership style, to generate guarantees as representative of the UN (system) in Uruguay by fostering the involvement of a larger number of national partners in the process of definition of programmatic lines, and to promote a more effective communication of the UN (system) cooperation results.”

Source: “Country-led Evaluation of Delivering as One—UN Pilot Initiative in Uruguay,” 2010.

222. Delivering as One has required a considerable increase in staff time for the resident coordinator office and UN country team members, including among mid-level, in-country staff and teams engaged in reform at headquarters and the inter-agency level. Resident coordinator offices have grown to support Delivering as One, going beyond the global norm of one national professional allocated through DOCO to resident coordinators in all countries.
223. The expansion of resident coordinator offices, sometimes on a considerable scale (as for example in Tanzania and Viet Nam) has required substantial finance. This has usually come by the resident coordinator requesting inputs from UN country team members on a cost-sharing basis, although this has often proved difficult given the limitations on their respective budgets, and/or special resources from interested donors. The approach of the pilot countries to some extent runs counter to the UNDG-agreed understanding that resident coordinators should draw first and foremost on the technical resources within organizations on the country team, to which the resident coordinator should have unfettered access. The approach seems difficult to sustain in financial terms if applied on a larger scale, even if current reviews of the financing requirements and modalities, including of broader burden-sharing among UN organizations, lead to decisions at the systemic level to change the current system of financing through a budget line in UNDP’s core budget.
224. The situation with regard to resident coordinator offices in the pilots has proved a delicate issue. If an office is seen to have established too strong a position, some other organizations perceive this as something akin to a new “agency,” and a threat to coherence and unity of action. Furthermore, a very strong office poses the danger of overburdening organizations that have fewer in-country resources. They have sometimes found it hard to keep up with the pace set by the office, and to contribute to the many reform elements and expansive coordination structures initiated and managed by it.
225. In the Delivering as One pilots and wider system-wide coherence process, expectations of the resident coordinator function have been raised, with added responsibilities and accountabilities, without fundamentally increasing formal authority. Furthermore, there is a significant imbalance in reciprocal account-

ability arrangements between the resident coordinator and UN country team members. Currently, the resident coordinator is to some extent held accountable by UN country team members and to the entire UN system through a feedback system with direct impact on performance appraisal. As yet, there is no formal accountability in the opposite direction. The UN country team simply makes a self-appraisal of its performance as a team against the agreed planned common results. The resident coordinator can make an input into this self-appraisal, but not into the appraisal reports on individual UN country teams.

226. Much has been done at the inter-agency level through UNDG to clarify and strengthen accountabilities and reporting lines between the resident coordinator and the UN country team, and to begin to reconcile the possible conflict arising from “horizontal” mutual accountabilities, and the “vertical” accountabilities to respective organizations.⁸⁷ This centres on the Management and Accountability System adopted by the UNDG and rolled out to all countries in 2008. As a further step, the leadership of the resident coordinator is now institutionalized and reflected in General Assembly resolutions, including the last two triennial comprehensive policy reviews, and internalized and implemented through the system. Parameters have been set for leadership, taking into account set accountability lines, such as management and oversight of multi-donor trust funds. Key accountability principles, including the differences between institutional and individual accountability, have been clarified. Specifically, the institutional responsibility of an organization to a third party such as the resident coordinator does not imply individual accountability from a staff member to this third party. Instead, the staff member remains accountable to the head of the organization for fulfilling responsibilities that help the organization meet its institutional accountability.
227. The Management Accountability System has been accompanied by new tools and procedures for accountability and performance appraisal of the resident coordinator and UN country teams by the new UNDG regional teams, a new and revised resident coordinator job description and terms of reference, the One80 System for resident coordinator and UN country team performance appraisal, and dispute resolution mechanisms (see Box 3.21). The UNDG principals have committed to the full application of all elements of the system. However, important gaps remain. These include the formalization of a 360-degree appraisal system, which will allow the resident coordinator to make inputs into the performance appraisal of individual members of the UN country team, making the appraisal system more reciprocal; the explicit recognition of the contributions of UN country team members in organizations’ performance appraisal and job descriptions; and appropriate changes in human resources policies in all agencies to reward and recognize the performance of resident coordinators and UN country team members.

87. See Figure 3.3, on dual accountability.

Box 3.21: List of main outputs produced by inter-agency mechanisms in support of system-wide coherence

UNDG Strategic Priorities

- UNDG Strategic Priorities, 2010-2011, 2010-2011 extended to 2012
- Work Plan for the UNDG Strategic Priorities, 2010

UN development and resident coordinator system

- Management and Accountability System, 2008
- Management Accountability System Implementation Plan, 2008
- Dispute resolution mechanism for UN country teams, 2009

"Guidance Note on RC and UNCT Working Relations," 2009

- Guidelines for resident coordinator selection and appointment, 2009
- Resident coordinator competencies, 2010
- Resident coordinator job description, 2009
- Resident coordinator terms of reference, 2009

"Assessment Report on RC/HC/DO Talent Management and Implementation Plan," 2009

- Explanatory note for the UN RC/HC/DO and UNCT performance appraisal process, 2011, revised 2012
- Explanatory note for establishing RC/HC/DO and UNCT key planned results, 2011
- Reporting format for the 2011 RC/HC/DO and UN country team appraisal process
- One80 tool with competencies/key attributes/behavioral indicators, 2009

Common country programming

- CCA/UNDAF guidelines, 2009 (update of 2007 guidelines)
- CCA/UNDAF support package (extensive package of guidance notes, formats and tools, on various steps and aspects of the CCA/UNDAF process, "The UNDG Reference Guide"), 2010

Joint programmes

- Standard administrative arrangement for multi-donor trust funds and joint programmes, 2008
- Standard memorandum of understanding for multi-donor trust funds and joint programmes using the pass-through modality, 2008

Common services and business practices

Guidance is available through a web-based toolkit that outlines a step-by step approach to harmonization and simplification of business practices, linked to strategic and substantive programmatic objectives. Each step is accompanied by relevant resource materials and detailed guidance. The toolkit is available on www.undg.com.

228. UN country teams consider it vital to select resident coordinators with the right characteristics, and that induction and leadership training prepare them to lead the teams. This concern is being addressed through a revised resident coordinator competency profile used for the competency assessment process, and ultimate selection of resident coordinators.

Finding 12: Although there have been advances in strengthening common ownership of the resident coordinator system in the pilot countries, assisted by the introduction of UNDP country directors, reservations are still expressed among UN country team members about the effectiveness of the “firewall.”

Summary of evidence

229. The Management and Accountability System, with its accompanying monitoring and appraisal tools and procedures, marks a significant step forward in terms of a common understanding of basic principles, and clarification of roles and responsibilities between the resident coordinator and UN country team members.
230. Aside from further work underway to introduce a more balanced system of accountability and performance appraisal, the chair of the undg has circulated numerous letters⁸⁸ to undg colleagues, other heads of UN organizations, and resident coordinators and UN country teams in all countries, calling for the full and effective implementation of the Management and Accountability System. This would include the systematic revision of job descriptions, and reporting and accountability arrangements to assess and, where appropriate, reward the performance and contribution to team results of each representative of various UN organizations.
231. Under present arrangements, the resident coordinator function is usually combined with that of the UNDP resident representative. The UNDP Administrator chairs the undg, and proposes UN resident coordinator appointments to the Secretary-General. An inter-agency advisory panel oversees the applications, competency assessments and selections of resident coordinator candidates from a system-wide pool of interested candidates proposed by each organization. UNDP regional directors also chair the undg regional teams now charged with the appraisal of resident coordinators and UN country teams. UNDP manages the personnel policy actions at all steps of this process.
232. While the resident coordinator system has evolved over time, there has been continuous debate among UN organizations, fuelled by concerns over conflict of interest issues, over how UNDP’s function as a programme implementing agency can be balanced against its mandate to provide support to the UN system as a whole. This is particularly challenging since the substantive areas of expertise at UNDP have evolved to overlap with the mandates and competencies of other UN organizations.
233. UNDP for its part counters these concerns by pointing to the fact that other organizations need to be concerned about their own conflicts of interest between pursuing their specific interests—including competing for visibility, funding and influence—and collaborating in common UN efforts. The “firewall” should be considered across all organizations.
234. The expansion of the UNDP country director appointments to more than 50 countries is seen as a critical element in creating a stronger “firewall” and enabling the resident coordinator to free up time for the all-important coordination function. The country director oversees day-to-day management of UNDP and represents it in UN country team meetings chaired by the resident coordinator.
235. Other organizations have welcomed the UNDP country directors as a step that has alleviated some conflict of interest concerns, although many remain. A recent study of the implementation of the Management and Accountability System was commissioned by the undg.⁸⁹ Based on extensive questionnaires and interviews with country and headquarters staff across the UN system, it produced an extensive set of observations and recommendations pointing to persistent discrepancies and lingering mistrust in the functioning of the accountability system. This was apparent in all agencies, including UNDP itself. A undg management response to the study recognized the validity of many of the findings and observations, while emphasizing that most recommendations were being or would be addressed. However, while the management response was prepared by an inter-agency team and endorsed at the highest level, in private interviews with the independent evaluation team, a great many organizations dissociated themselves from it,

88. Six letters of UNDP Administrator Helen Clark from 6 November 2008 to 25 May 2010.

89. Associates for International Management Services, “Review of the Management and Accountability System for the UN Development and RC System, including the Functional Firewall for the RC System,” 2011.

maintaining that it was mainly reflective of the views of UNDP as the manager and funder of the resident coordinator system.

236. UNDP's administrative responsibility for the resident coordinator system has so far coincided with its high representation in appointments. Efforts have been made to broaden ownership by opening recruitment and appointment to candidates from other agencies. While this has resulted in a gradually increasing number and percentage of staff seconded from other agencies for single assignments, it has not achieved the intended objective of broadening ownership of and commitment to the resident coordinator system across the UN system. A number of reasons for this have been advanced. Some organizations are reluctant to put forward their most qualified candidates. Individual candidates from outside UNDP have perceived service as a resident coordinator as a risk to their careers, as they are supported neither by UNDP as their new managing organization, nor by their original organization, which may feel that the candidate is demonstrating a lack of loyalty. Further, it is broadly perceived that the increasing demands on and accountabilities required of the resident coordinator, without commensurate rewards and recognition, make the position increasingly less attractive for UNDP and non-UNDP staff alike. The resident coordinator pool of qualified and competency-assessed candidates is diminishing. It is becoming increasingly difficult for the UN system to identify candidates willing to take up these challenging assignments.

Finding 13: An underlying challenge to the full realization of Delivering as One is the predominance of the organization-specific accountabilities of UN staff at country, regional and headquarters levels.

Summary of evidence

237. A fundamental challenge to working together is the dual accountabilities of organizations. While there is subsidiary accountability among organizations at the country, regional and headquarters levels, the principal accountability is within organizations.⁹⁰ This fosters organization-specific mindsets that pose a barrier to full collaboration (see Box 3.22). However, in the pilot countries, a discernible shift has taken place. There is a greater willingness and ability to deliver against shared objectives, and look for solutions based on consensus, recognizing that the results of Delivering as One depend on finding the right balance between the interests of the UN system and individual organizations.

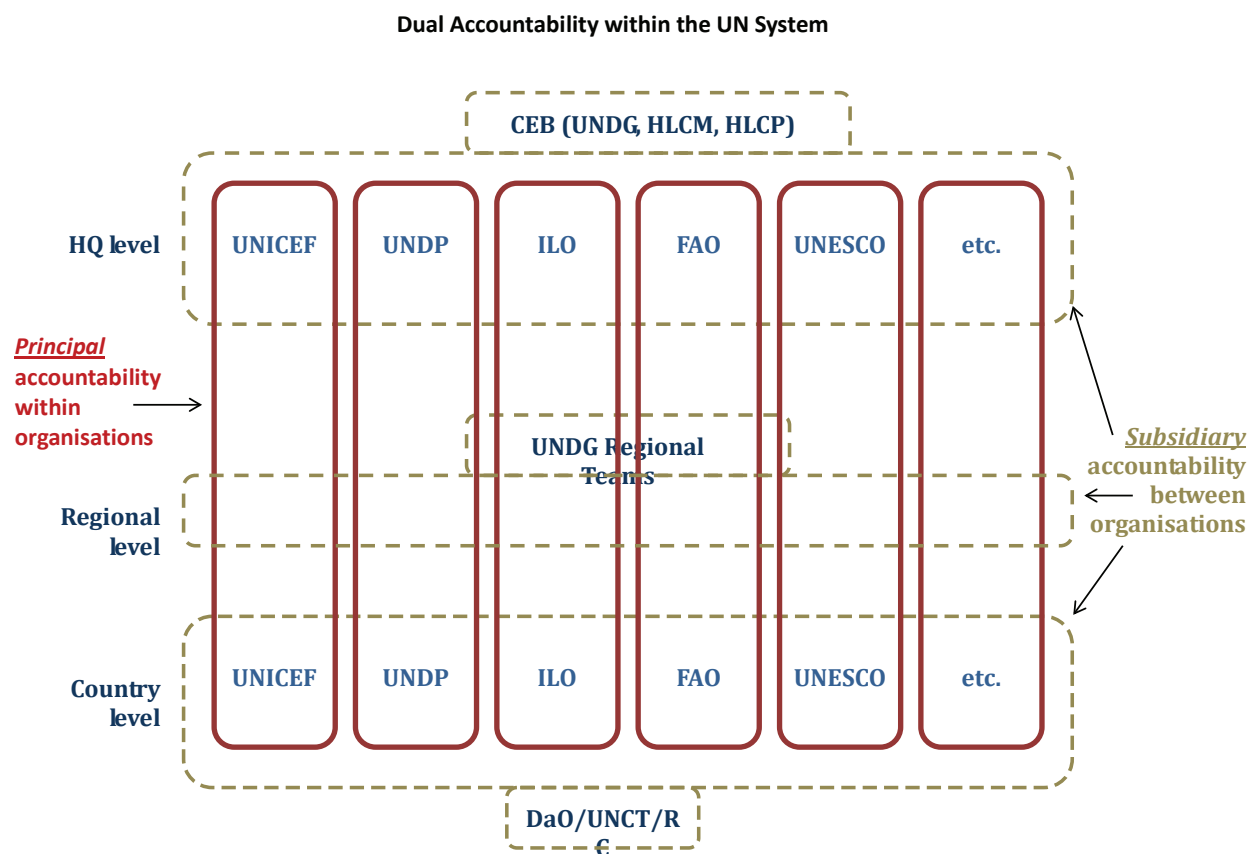
Box 3.22: Silo cultures obstruct horizontal collaboration in Mozambique

"For historical reasons, each agency has its own policies, systems and business processes. We have used the term 'silo culture' several times in this report, suggesting an element of historical reluctance to accept joint/shared business and operating practices. The organizations are legally separate entities and as such have their own infrastructure, systems, ERP platforms, processes, reporting mechanisms, administrative support, financial statements, etc. Over the years these separate systems have grown, with the real cost to manage the operations also increasing. More pertinently, they contradict and obstruct the shift to a more responsive horizontal axis of collaboration and management in Mozambique. In addition to vertical duplication between the agencies, horizontal duplication between the various UN agencies at country level exists as well. For example, the Human Resource management issue for which there is evidence, of different systems for national staff, hiring, contracts, benefits etc.."

Source: "Country-led Evaluation of Delivering as One—UN Pilot Initiative in Mozambique," 2010.

90. See Figure 3.3 on dual accountability.

Figure 3.3: Dual accountability within the UN system



Source: Evaluation Team

Finding 14: One Voice has proven an important dimension of Delivering as One in several pilot countries, providing greater coherence in advocacy and policy dialogue, increasing visibility, and helping to foster a UN identity and culture among staff.

Summary of evidence

238. One Voice has been critical in informing UN country team members, government stakeholders, donors and civil society about what has been promoted and achieved under Delivering as One. Some pilot countries used resources from the One Fund for a common communication component housed in the resident coordinator office, while in a few others, the office established a communication team with staff seconded from organizations on a part-time basis. The country team in Pakistan did not operationalize One Voice through a joint communication team. Rwanda's team developed a joint website that was being updated at the time of the evaluation field mission. The UN system in Viet Nam brought together a team of communication specialists from different agencies in one office (see Box 3.23).

Box 3.23: One UN Communications in Viet Nam: An integrated team

In response to calls for a stronger and more coherent UN voice on key development challenges in Viet Nam, the One UN Communications Team was established in late 2006. This reform initiative brings together a team of communication specialists from UNDP, UNFPA, UNICEF, the Joint United Nations Programme on AIDS (UNAIDS) and UN Volunteers (UNV), as well as externally funded communications staff. It supports the UN-wide advocacy and communication agenda and the specific communication needs of the five organizations. It aims at contributing to more effective UN advocacy by promoting unified and comprehensive UN messages on issues of common concern, such as climate change, human rights, health, and disparities and inequalities. Working together as a joint team can reduce competition among UN agencies for media space, and strengthen national and international media relations. The team operates under a single manager, follows a common work-plan and sits together in the same office. The same performance assessment system, adopted from UNFPA, applies to all members irrespective of their contracting agency.

Source: Information collected by the evaluation team from the UN system in Viet Nam.

239. Initially, some agencies had concerns that a strong UN corporate communication platform might reduce the visibility of their specific “brand,” with negative consequences for their reputation and associated funding. However, these concerns have been largely mitigated by the positive effects of a stronger communication platform and coherent strategy. One Voice increased the prominence of common UN concerns, especially cross-cutting issues such as gender equality and human rights, and of the specific concerns of individual organizations, which were given more leverage by being associated with the broader UN effort. One Voice aims to support organizations’ messages and enable each to assume leadership in its areas of comparative advantage, under the umbrella of a coherent UN identity and message.
240. An important aspect is a common visual identity. Several UN country teams have made extra efforts to harmonize the use of logos. The country team in Rwanda has produced comprehensive guidelines on graphics for business cards, letterheads, reports, press releases and T-shirts (see Box 3.24). Rwanda and Viet Nam have used a combination of the One UN logo and UN organizations’ logos. However, implementation of these practices remains a challenge and seems to run against strong organization-specific mindsets.

Box 3.24: Graphic guidelines in Rwanda: Combining identities



Source: UN system in Rwanda.

Finding 15: National and international mid-level staff have played a critical role in many programming and operational innovations.

Summary of evidence

241. Many improvements and innovations in day-to-day business processes, in such areas as procurement, ICT and recruitment, have occurred through major efforts by staff across organizations. While leadership and continuous engagement from the top has been a critical factor, these change processes have been carried out largely by mid-level staff cadres, which in many UN country offices consist largely of national professionals. In the process, they have been empowered and infused with a strong commitment to deliver efficiently and effectively. Surveys of staff attitudes and expectations towards Delivering as One indicate a shift in perspectives for the majority of staff members who are mid-level and national professionals. Initially, Delivering as One was perceived as a headquarters, top-down initiative associated with efficiency gains, which triggered concerns that it could have implications for job security. Over time, the engagement of staff in change processes has instead engendered a strong sense of achievement and encouraged a new UN-wide identity, in addition to the previous organization-specific identity. Staff learned more of what other agencies were doing and how they worked, and developed a stronger sense of the broader objectives of the UN system as a whole.
242. While mid-level staff members were key drivers of change, the inter-agency task forces or committees consisting of these staff have limited authority. Decisions affirmed by consensus in most cases have to be referred back to organizational heads and finally to the UN country team, a very cumbersome process.
243. There is no evidence that Delivering as One has resulted in major redundancies in staff positions as a result of streamlining business practices and expanding common services. Any cuts that have been made have been handled transparently, with due regard for established principles and concerns of staff. Delivering as One has provided many new opportunities for staff to develop competencies and skills, and to move into new areas or levels of responsibility. It has led to greater versatility and inter-agency mobility.
244. Gains have been achieved at some cost to UN country offices and individuals. All pilots reported that workloads have greatly increased, counter to earlier expectations that the opposite would be true after the initial phases of Delivering as One. One issue in terms of the sustainability of changes is whether these additional efforts are incorporated into staff performance assessments, incentives and career prospects. The extent of integration currently varies across organizations, but most staff must still give top priority to their organization-specific goals, with contributions to Delivering as One a secondary consideration.

Finding 16. Most UN organizations have intensified their engagement in UN system-wide coherence efforts at the inter-agency level during Delivering as One. It has been one testing ground for innovation in a much larger UN reform process.

Summary of evidence

245. At headquarters level, some UN organizations have instituted strengthened departments or units responsible for UN and inter-agency affairs. This trend began in the wake of the World Summit and calls for enhanced system-wide coherence. During the same period, the inter-agency Chief Executives Board machinery was reformed, and membership of the undg expanded from the original four UN funds and programmes to almost all UN entities engaged in development cooperation activities. A 2007 reform made the undg the third main pillar of the Chief Executives Board, alongside the High-Level Committee on Programmes and the High-Level Committee on Management. This facilitated buy-in and common ownership among the specialized agencies at the senior executive level. Strong and repeated messages supporting reform have been issued by the Chief Executives Board, the undg and executive heads of organizations.
246. The work programmes and working methods of inter-agency machinery have been rationalized and intensified. Multi-year and annualized output-based work-plans have been introduced, along with streamlined structures that require fewer face-to-face meetings and rely more on interaction via the Internet and video-conferencing. There have also been several flexible, time-bound, output-based inter-agency task teams.⁹¹

91. See Annex IX, Table 1 for an organigramme of inter-agency machinery.

247. Many organizations are engaged in major internal structural and policy reforms, and are attempting to manage a reconfiguration of their relationship with the rest of the UN system. Some common elements are: increased decentralization, with reinforcement of service delivery capacity at the regional, sub-regional and country levels; introduction of results-based management, budgeting, reporting and performance appraisal systems; and substantive refocusing of programmes through medium-term strategic plans.
248. The Delivering as One pilot countries have received particular attention, with many organizations reinforcing their presence there. Many previously non-resident agencies have established staff or offices in the countries, and provided technical and financial resources to participate fully in Delivering as One. As a result, there has been a significant expansion of representation and staff in the pilot countries. Some agencies have sought to engage through frequent missions from headquarters or regional offices, although both governments and UN country teams have noted that missions of this type have partially offset savings in transaction costs from reduced duplication. The non-resident agencies have brought some new issues into programmes.
249. The pilots have been an important testing ground for innovative approaches to streamlining, simplifying and harmonizing rules and procedures at the inter-agency level. This has begun to have an important cascading effect, as new tools and practices are applied more widely across the UN system.
250. Delivering as One has already had impacts beyond the eight pilot countries. An additional 21 countries have adopted the approach, of which 11 are eligible for funding from the Expanded Funding Window.
251. As noted above, Delivering as One is not the only focus of the reform agenda, either for individual organizations or for work at the inter-agency level. Attention is also being given to the large number of new UNDAF roll-out countries; to countries emerging from conflict; and to the need to differentiate support to countries based on their specific needs and typologies, such as in middle-income countries, and in relation to emerging economic powers and donors.
252. Further evidence of the intensified engagement in inter-agency processes is provided by the numerous attempts of individual or groups of organizations to achieve additional country-level impacts through initiatives at the level of the Chief Executive Board, UNDG and high-level committees. These have included adoption by the board of a toolkit on integrating the Decent Work Agenda in UN country programming (ILO), guidelines on integrating food security in UNDAF preparation (FAO); a cluster approach on trade issues (led by UNCTAD and incorporating several other organizations); gender mainstreaming (UN Development Fund for Women or UNIFEM, subsequently UN Women); and the rights-based approach to programming (OHCHR).

Finding 17. Most UN organizations have made special efforts to support Delivering as One.

Summary of evidence

253. Many organizations adopted and widely communicated an official policy in support of Delivering as One, often accompanied by plans for priority actions, with specific responsibilities assigned to technical and operational divisions, as well as to regional and country offices. Generally, the action plans covered a wider target than just Delivering as One. They included UNDAF roll-out countries and other UN reform-related activities.
254. In many cases, organizations took special structural measures in support of UN reform generally and Delivering as One in particular. These included inter-departmental task teams to provide on-demand support, coordinate actions and allocate special resources. Some donors have allocated funds to the headquarters of individual organizations to support engagement in system-wide coherence and Delivering as One. These include Italy and Spain for FAO, and the United Kingdom for the ILO. Support has also come from the MDG-F.
255. There are many examples of headquarters demonstrating flexibility and approving waivers from regular procedures. For example, all members of the One Voice team in Vietnam follow the UNFPA appraisal system. Some organizations have made special assessments of Delivering as One from their own perspectives (e.g., the UN Industrial Development Organization or UNIDO, the UN Educational Scientific and Cultural Organization or UNESCO, and UNICEF).

Finding 18: UNDG and other high-level bodies have provided significant support to the pilots as well as to broader system-wide coherence initiatives. At the same time, the pilots have provided major inputs into system-wide reform.

Summary of evidence

256. UNDG strategic priorities and subsidiary networks and working groups were structured to deal with the particular challenges of the pilots.⁹² Feedback and reporting from them became an important source of information on the constraints to inter-agency collaboration at field level.
257. The UNDG advisory group of senior officials was formed in 2007 as a collegial forum to deal with urgent issues as they arose, provide quick solutions and create consensus on key policy issues. Stakeholders indicated that the group has performed these functions effectively, and has served to build common trust and ownership among senior level executives. The UNDG has produced a number of tools and other outputs during the pilot phase of Delivering as One. These have been rolled out for wider application in support of country level coordination and cooperation.
258. With regard to the resident coordinator system as the managerial basis for UN system coordination, some of the major milestones adopted by the UNDG include the Management and Accountability System of 2008, with the related “Guidance Note on RC and UNCT Working Relations” in 2007 as well as a series of guidance materials for dispute resolution, resident coordinator job descriptions, selection, support and appraisal.
259. Together, these tools and guidelines have galvanized momentum towards establishing a more robust system of management, which clarifies and balances the mutual accountabilities of the resident coordinators and UN country team members for agreed results, in the context of the direct lines of reporting and accountability to their respective organizations. At the same time, the basic principles underlying the Management Accountability System need consistent and continuous support from the highest levels before the system can become fully effective across all organizations and country teams.
260. There have been significant advances in the area of programme preparation. In particular, the revised UNDAF guidelines have incorporated much of the experience and approach of the One Programme. The Multi-Partner Trust Fund Office has gained considerable experience by acting as the administrative agent for the One Funds and for multi-partner trust funds generally in other countries, and in facilitating financial processes and accountabilities for multi-partner trust funds for all organizations.
261. Substantial attention has been given to training and capacity building support for resident coordinators and UN country teams, notably through the preparation of guidelines and tools for change management. The UN System Staff College has provided an expanded programme of training support, including revised and expanded induction programmes for resident coordinators, support for UNDAF strategic planning retreats and training in leadership skills for senior managers.

Finding 19: Support to the pilot countries by regional offices and the UNDG regional teams did not go significantly beyond that provided to other countries.

Summary of evidence

262. The UNDG regional teams represent a significant new resource for coherent policy-making, oversight and accountability, and can be seen as a step towards establishing regional management and oversight based on Delivering as One principles. They provide a basis for a collegial system-wide appraisal of the performance of resident coordinators and UN country teams, which for the resident coordinator directly impacts performance appraisal and mechanisms for conflict resolution. Their functions and capacities are still evolving, with some hubs having greater operational and technical support structures than others, but all will require additional time and resources, and consistent engagement by all organizations to become effective. The different geographical locations of organizations’ regional offices and the UNDG regional teams has posed challenges to coordinated and coherent regional support for the pilots, as well as for programme countries in general.
263. As the UNDG regional teams have developed, their role and function in relation to the UN regional commissions have needed clarification to ensure effective complementarities and synergies. The commissions

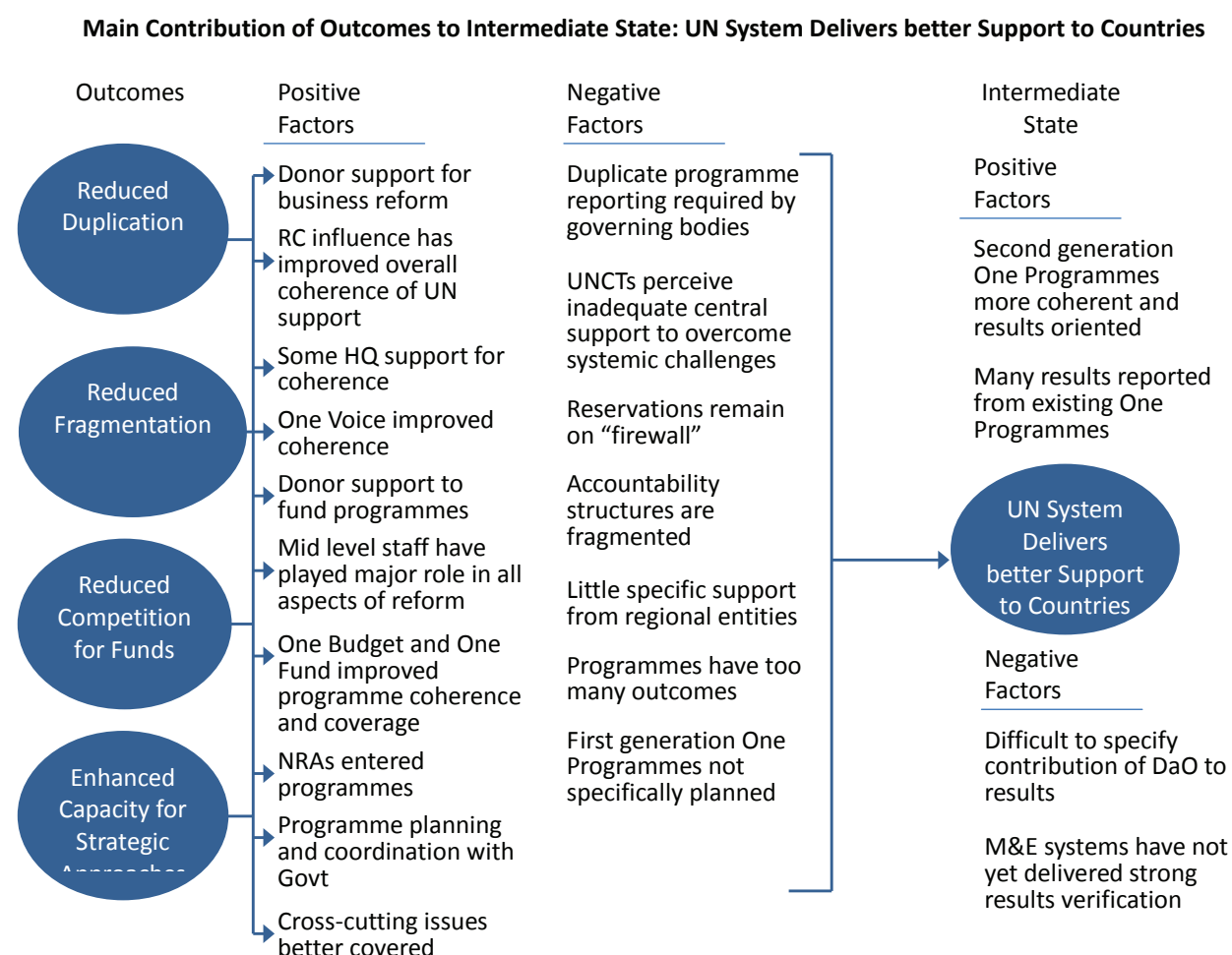
92. See Annex IX, Table 1 and Box 3.21 on the outputs of inter-agency mechanisms in support of system-wide coherence.

are both intergovernmental fora for regional policy-making and standard-setting, and carry out technical cooperation programmes as requested on regional issues, as well as some limited country-level support on regional and cross-border issues. As such, their position and concerns are similar to those of non-resident agencies; they were actively engaged in a special undg working group on the greater involvement of non-resident agencies in country programmes. The structures and functions of the regional commissions, with the participation of governments, and regional governmental and non-governmental bodies in the regional coordination mechanisms, have been seen as complementing those of the undg regional teams, which are mainly structures for internal management, oversight and support for UN organizations in countries. The commissions have undertaken a study⁹³ of their role in the UN development system that clarifies how they can work constructively with the undp teams; its findings are now being put in place. Both the commissions and teams have provided technical support to the pilots; but, according to the former, not at a level significantly different from that provided to other countries.

Summary of progress towards better delivery of support to countries by the UN system

264. Movement along the results chain outlined in the theory of change, from the outcome level towards the intermediate state of better delivery of support to countries by the UN system, is summarized in Figure 3.4.

Figure 3.4: Progress towards better delivery of support to countries by the UN system



93. "The Regional Dimension and the UN Development System," 2011.

3.4 Progress towards reduced transaction costs

Finding 20: The pilot countries have shown that it is possible to achieve efficiency gains through the expansion of common services and simplification of business practices. Common UN premises and harmonization of business practices have proved more difficult to deliver.

Summary of evidence

265. Common UN premises have been achieved in many countries, predating Delivering as One. They were given added impetus in the first wave of UN reform launched by the former Secretary-General in 1997, which called for UN organizations to be co-located in a UN house. Fifty UN houses were established, usually due to favourable local conditions, such as the host government offering suitable accommodation or land and economically feasible terms. However, the pilots that pursued this approach faced numerous obstacles in obtaining clearances and proportionate cost-shared financing through the participating organizations.
266. The concept of One Office as a building ran up against issues of cost, since historically, many organizations have occupied low-cost or free office⁹⁴ space for many years. Other obstacles were security threats from concentration, unless very costly security is provided; the preference of some organizations for co-location with government partners, who share that view; or simply perceptions of the advantages of current locations compared with proposed One UN sites. Among the pilots, the One House was achieved only in Cape Verde and Zanzibar in the United Republic of Tanzania. It has been seen in these places as delivering some benefits, both by UN country teams and governments. In Cape Verde, the joint office was realized before Delivering as One; it contributed to reduced transaction costs (see Box 3.25). In Viet Nam, the “Green One UN House” is at an advanced stage of planning and goes beyond the co-location of UN organizations (see Box 3.26).

Box 3.25: A joint office helped reduce transaction costs in Cape Verde

“Before DaO, Cape Verde went through another reform which led to the Joint Office. A reform in which the four exCom agencies (UNDP, UNFPA, UNICEF and WFP) merged into one organization: with One representative. This led to significant transaction costs reduction and harmonization of services of these four agencies. Cape Verde has not yet focused on further integration and harmonization of business practices, but an important gain is the One Office housing all UN agencies (Note that FAO moved into the One UN House in 2010 as a direct result of DaO and not before DaO).

“This context is of great importance to the implementation of the DaO approach in Cape Verde because it lessened the importance of the One Office/One Management system pillar for the UN in (Cape Verde). The (joint office) experience was a prelude to DaO. Significant cost reductions had already taken place by decreasing the number of representatives from four to one and by joining the operations into a single operation: HR, finance, procurement, fleet management, cleaning services, security services are all shared by the agencies comprising the Joint Office. The UN claimed a reduction of 12% in total operating costs between 2005 and 2008. The focus for the DaO pilot was therefore on programmatic integration.”

Source: “Country-led Evaluation of Delivering as One—UN Pilot Initiative in Cape Verde,” 2010.

94. The agreement by the host government to provide free office space is often an essential condition for some UN organizations to open country offices.

Box 3.26: Green One UN House in Viet Nam: Going beyond co-location

The concept of the Green One UN House in Viet Nam goes beyond the co-location of organizations. Work-space will be organized around programmatic and operational clusters, rather than by organization. This will facilitate new ways to interact and work on common thematic priorities, joint programmes and activities.

The project is in an advanced stage. Renovations of the building provided by the Government of Viet Nam will begin in 2012; the UN country team will likely move there in 2013. More than 60 percent of the project budget is coming from the donor community. The One UN House should bring estimated annual savings in operational costs of nearly US\$1.3 million. Particular attention is being given to energy efficiency and the use of eco-friendly materials.

Source: Information collected by the evaluation team from the UN system in Viet Nam.

267. More generally, all pilot countries have sought to move towards the One Office concept by focusing on maximizing cost efficiencies through new or expanded common services arrangements. In this respect, the country-led evaluations reported relatively modest progress, with one positive rating, four mixed and three with no clear finding.⁹⁵
268. Attempts to reduce transaction costs and produce efficiency gains have been important in such areas as procurement, ICT systems and recruitment (see Box 3.27). There has been an enormous amount of hard work, with high staff costs. Many results have been delivered, with more in process. Compared with the size of programmes and even with the amount of staff time expended, the savings are modest, however. They do not meet the apparent expectations of some earlier predictions that efficiency gains would release substantial funds for use in programmes, even if there were financial mechanisms that might permit such transfers.

95. See Annex IX, Table 2 summarizing findings from the country-led evaluations.

Box 3.27: Measures to create common services in the United Republic of Tanzania

What were the challenges to efficiency?

The current business process frameworks for individual UN organizations (procurement, finance, human resources and ICT) have similarities as well as differences. Examples of operational differences are: levels of procurement thresholds and authorization, multiple contract committees, organization-specific financial management systems and contractual conditions for staff. Externally, the UN system's operational engagement with the Government for funds transfers and procurement sometimes add to transaction costs because it does not fully utilize government procurement and financial management systems.

What has changed?

There is a shared work plan to move towards common services and resources from the One Fund to drive the necessary changes. Five technical teams have been formed with clear terms of reference: in procurement, finance, One UN House, human resources and ICT. The procurement team meets once a week, while the other groups meet once a month. The groups receive significant technical, coordination and administrative support from the resident coordinator's operational adviser, and report to the Operations Management Team.

Common procurement

Forty-five long-term agreements are in place, resulting in the reduction of time expended on procurement. Estimated cost saving since 2008 is up to US\$500,000. Data and tools support preparation of procurement plans, and there is a long-term agreement to support UNDP implementation.

Financial management

All UN organizations are committed to using a common arrangement to conduct annual audits and micro-assessments of key partners, resulting in lower transaction costs and less duplication.

Information management and technology

There is a common ICT platform for sharing information among all organizations, and supporting team work and cohesion.

Human resources

A human resources web-based system supports change management programme planning. Common staff induction documents and orientation have been introduced to help new staff settle into their role. As a result of a comprehensive capacity assessment in 2008, the Country Management Team supported the recruitment of three cluster advisers in the resident coordinator's office to enhance upstream policy assistance. There is also a detailed report and recommendations on harmonization of host country agreements for all organizations.

Source: UN Operations Management Team in the United Republic of Tanzania.

269. The possibility of specifying achievements in terms of transaction costs is undermined by differences in corporate financing and accounting terminologies and definitions, which make consolidation of organization-specific financial reports impossible. For this reason, discussions on cost savings have been largely limited to assessing perceptions of stakeholders and/or changes in transaction costs related to specific business practices (see Box 3.28).

Box 3.28: Identification and measurement of transaction costs in Albania

The Operations Management Team in Albania measured the actual cost reduction resulting from decreases in staff time due to joint procurement. Savings were calculated for the selected procurement activity where common long-term agreements were established. For example, bidding steps for fuel consumption would only be done once every three years, rather than several times a year. Long-term agreements were flexible, so not all UN agencies adhered systematically to this schedule, but the transaction could take place quarterly. The evaluation team estimates that with seven agencies in the country, total annual time saved by having a common long-term agreement could be as much as 446 hours, or an 80 percent savings per process (955 minutes saved x 4 months x 7 agencies=26,740 minutes/446 hours). The UN country team stated, “We do find common (long-term agreements) a good practice—a practice that is not introduced by DaO, [but] which DaO itself contributes to.”

Source: Information collected by the evaluation team in Albania.

270. In addition to money saved, the new processes have enabled the UN system to become a larger player in national or regional markets through consolidation of service provision, which is often seen to have contributed to better quality services. The reforms have important symbolic value in showing that the UN system can act in a coherent and transparent manner, and in promoting pride and a sense of achievement among staff, who grappled with many difficult issues before reform could be achieved. Overall, the country-led evaluations tended towards a positive assessment of results with regard to new business practices, with three countries assessed positively, four giving mixed findings and one with no clear finding.⁹⁶
271. The simplification of business processes has been most successful in areas considered relatively simple and straightforward. Harmonisation has run into more complex issues, many of which cannot be resolved at country level. The country-led evaluations reported relatively slight results in terms of simplification and harmonisation, with one report critical of progress, six reporting mixed results and one with no clear finding.⁹⁷ Business process harmonization remains high on the agenda of all UN country teams in pilot countries.

Finding 21: Attempts to innovate in terms of efficiency and transaction costs have faced substantial implementation challenges.

Summary of evidence

272. All pilot UN country teams tried to assess the reduction of transaction cost resulting from Delivering as One. They also differentiated between one-time start-up costs required to develop new methodologies, tools and instruments, and recurrent transaction costs. Given the barrier of differences in corporate financing and accounting terminologies and definitions, however, assessment of actual savings for the entire UN country team remained elusive. In several countries, the country team performed perception surveys of stakeholders about changes in transaction costs related to specific business practices as a result of Delivering as One. Overall, the feedback has been that transaction costs for donors and national partners are lower.
273. From government perspectives, particularly those of central government ministries, transaction costs have been reduced. This is due especially to the consolidation of missions from headquarters and regional offices, and the One Leader and One Voice, which have reduced duplicated meetings and planning processes. In-country donors also sometimes reported reduced transaction costs.
274. All UN country teams reported savings as a result of Delivering as One and harmonization of business practices, but in relation to overall costs and programme values, these are relatively modest, particularly given the major staff time required to generate them.

⁹⁶. See Annex IX, Table 2 on findings from the country-led evaluations.

⁹⁷. See Annex IX, Table 2 on findings from the country-led evaluations.

275. In order to maintain and update common approaches, additional staff inputs will be needed for the foreseeable future, although at a lower level than in the early years. DOCO has issued guidance on how to approach business practice harmonization.
276. The changes in business practices and expansion of common services may not appear dramatic, and have not yet produced massive and/or easily measurable financial savings. However, there are reports and studies of important efficiency gains that point to significant longer term returns on these investments, particularly when scaled up or applied in a larger number of countries, notably in such areas as joint procurement and common ICT platforms (see Box 3.29). The major short-term benefits may be in the impacts on staff morale, dedication and institutional culture.

Box 3.29: A common ICT platform in Mozambique is a sound basis for further integration

"Building a common ICT platform had the effect of building a virtual bridge between UN agencies. Crossing this bridge is an important landmark in UN integration and can lead to a whole new road consisting of common applications and systems. Although implementation was slow, the ICT platform went live in February 2010 and created a sound basis for further integration of the agencies' ICT services, including a virtual office. In the short term it offers services such as Internet access, and a common supplier database. In the long term, other applications are in the realm of the possible, such as document management and common financial and (enterprise resource planning) systems. In addition to integration, the other benefits of the ICT project are the deferral of investment costs for each agency to update and modernize its individual ICT infrastructure in order to be compliant with business continuity rules, and a basis for future cost savings in Internet connectivity, telecommunications and a common ICT helpdesk for all UN agencies.

- "Total investment in Common ICT platform: ca. 400,000 USD.
- "Possible savings by common ICT platform:
- Internet 147,051 USD (per annum)
- Upgrade ICT equipment 156,734.55 USD."

Source: "Country-led Evaluation of Delivering as One—UN Pilot Initiative in Mozambique," 2010.

Finding 22: Resident coordinators and UN country teams in the pilots perceive support from headquarters and the inter-agency system as insufficient, and not timely in addressing issues on which they must make decisions. High-level stakeholders, on the other hand, cite the large numbers of Delivering as One-related guidelines issued, often on the basis of specific missions to pilot countries, as well as substantial training programmes supporting the reform.

Summary of evidence

277. The overall perception among UN staff at country level is of limited or uneven support to Delivering as One from their respective headquarters, and a lack of incentives and recognition. This view has some support from donors (see Box 3.30). Resident coordinators and UN country teams gave specific examples of contradictions between guidance received from the UNDG/DOCO as having been endorsed by all agencies, and messages they received from their own organizations. This is evidence that corporate agreements at senior levels have not been fully mainstreamed across organizations. The main complaints from the pilot countries focus on business practices and common services. Here the pilots had to struggle with differences in operational and administrative rules and procedures, and in levels of delegated authority to country representatives. Progress has been particularly slow and obstacles more difficult to overcome where the issues have concerned corporate systems designed not just for country level operations, essentially to manage development cooperation programmes, but also for global programmes. This domain includes legal issues, ICT and enterprise resource planning platforms, financial reporting and accounting, and human resources policies. Some issues cannot be resolved in the UNDG alone, but involve the High-Level Committee on Management, which is responsible for corporate policy. Issues stemming from decisions made by governing bodies require decision-making at the political level.

Box 3.30: Donors' perspectives in Viet Nam: More systemic attention required

"Donors in Viet Nam recognise the need to review and improve the overall donor funding to UN agencies and the UN system to ensure coherence, leverage and effectiveness worldwide. Recognising that the funding of the next One Plan goes beyond the challenges of raising funds at the local level—Viet Nam—the donors want to raise their concern at a higher—international—level. The DaO process will require more attention from the system and from donors in the coming years, in particular to identify and respond to the expected shift from the pilot phase to the following phase, where DaO is mainstreamed by the UN System on a voluntary basis."

Source: "The Impact of Donor Financing Mechanisms and the One Plan Fund on UN Reform in Viet Nam," commissioned by the One UN Informal Donor Group, November 2011.

278. Since many changes required support from the headquarters or regional levels, UN country team members gained an impression of the extent to which they will back reform. They view the progress achieved at the country level as far less than they would like to see, in large part because they are constrained by organization-specific rules and procedures that have not been amended, and to which auditors must adhere. They maintain that necessary reforms are too slow at the headquarters level, across the specialized agencies, and at funds and programmes. The overall impression is that headquarters and regional players have generally not been proactive in their support of Delivering as One.
279. A very specific challenge faced by some UN country teams concerned UN House projects that were hampered by slow organizational decision-making processes. These threatened the viability of the whole project for other organizations that had already decided on it. The perception was that decision-makers took a narrow view, based on short-term cost only, and were unwilling to undertake an overall cost-benefit analysis (see Box 3.31).

Box 3.31: The One UN House in Albania encounters perceived lack of headquarters support

In August 2009, the Government of Albania designated a building to house all UN organizations. A structural assessment and security risk assessment concluded it would be suitable as a One UN House. Subsequently, letters of interest were signed by the participating UN organizations. Based on a cost-benefit analysis, the UN country team recommended the option to the UN Development Group Task Team on Common Premises in New York in July 2010. One year later, in July 2011, the team informed the resident coordinator in Albania that it was not in a position to endorse the proposal for the UN House, because UNICEF had decided to continue with its current premises arrangements due to financial constraints. It took the UN system two years to decline the offer made by the Government.

Source: UN system in Albania.

280. The negative perceptions from country offices contrast with the views expressed at the corporate level in most organizations. Stakeholders at corporate level said that they have given strong support to Delivering as One. For example, some key officers at headquarters level pointed out that they initially allowed the Delivering as One pilots the space and delegated authority to experiment and devise their own solutions, and sought to refrain from providing top-down guidance or instructions. This reflected an understanding reached between the UNDG and Member States that the pilots would not become a short-cut towards policy changes that went beyond existing legislative mandates of the triennial comprehensive policy review and resolutions on system-wide coherence. Headquarters-level stakeholders cited many studies and missions undertaken, and the resulting guidance. It appears that there is substantial under-communication or miscommunication between the headquarters and country levels.
281. At the inter-agency level, the pilot experience has been an important source of inspiration, which has resulted in the new guidelines, tools and instruments referred to elsewhere in this report. A significant and very concrete example of engagement was the joint High-Level Committee on Management and UNDG

high-level mission on business operations.⁹⁸ This found that many of the changes desired by UN country teams could actually be done within existing guidance. Mission findings were integrated into the work-plans of the committee and UNDG machinery, with output-based deliverables that have either been met or are under implementation. These outputs, influenced by the pilot experience, but applicable across all programme countries, have now been made available in a user-friendly format on the UNDG web-site,⁹⁹ organized in an integrated toolkit covering coordination and management, programming, financial management, common services, business practices and so on. The perspective voiced by the committee to the evaluation is that some responsibility for changes that have not occurred must rest with the country teams. It noted that operations management teams have been mandated for all country offices for over a decade, but have not been always put in place and supported by resident coordinators and country teams. Further, common procurement and long-term agreements have also been supported by system-wide guidance for that long and have been encouraged. The UNDG Common Services initiative active in the early 2000s was “virtually ignored” by country teams, even though guidance existed and staff in approximately half the countries in the world received training in this area.

282. Contrasting perceptions from country and headquarters/inter-agency levels of the adequacy, responsiveness and timeliness of support and guidance appear to have been influenced by specific incidents of key importance for achieving specific outcomes at the pilot country level, where support was lacking, uneven or delayed, rather than to the overall level of support and guidance. In fact, towards the end of the pilot phase, UN country teams in the pilots and elsewhere began to complain of excessive numbers of complex guidelines and tools. As a result, UNDG introduced a moratorium on new guidance and moved in 2011 to provide on-demand support. This was an illustration of the learning processes taking place as part of Delivering as One.

Finding 23: To date, the Delivering as One pilot process has led to substantial increases in one area of transaction costs within UN country offices, namely in the investment of scarce human and financial resources. These costs are gradually declining but remain a major operational cost of Delivering as One.

Summary of evidence

283. The country-led evaluations reported modest progress towards the reduction of transaction costs, with mixed results in five pilots and no clear finding in the other three (see Box 3.32).¹⁰⁰ Commonly, operations management teams or working groups have made great efforts to advance efficiency and generate cost savings, and many positive results have been achieved, but the real savings remain modest compared to overall UN country operating costs. This is inevitable, since staff costs represent by far the largest element of operating costs, and Delivering as One has not generated substantial savings in this area. In fact, processes so far have involved substantial staff inputs, which should be offset against savings in any calculation of overall efficiency. The resident coordinators and UN country teams have assumed substantial new management tasks, for example, through elaborate internal coordination arrangements involving complex committee and working group structures (see Box 3.33). Resident coordinator offices have required additional staff positions, only some of which have been “free” of charge through secondments from donors or other organizations.

98. “Addressing Country-Level Bottlenecks in Business Practices, High-Level UNDG-HLCM Mission Report,” CEB/2010/HLCM-UNDG/1 of 28 April 2010.

99. www.undg.org.

100. See also Annex IX, Table 2 on the findings of the country-led evaluations.

Box 3.32: Delivering as One increased transaction costs in Uruguay

"As a result of the learning processes required for the design and implementation of the One UN Programme and related joint programmes, there has been an increase in transaction costs derived from the additional workload generated by additional reporting mechanisms, coordination efforts, and (to the extent possible) implementation of newly agreed procedures. These are potentially transitory increases and are dependent upon future progress in the harmonization of the UN Agencies' programmatic cycles, the continuation of efforts to generate a joint evaluation and monitoring framework, and finally, upon a more comprehensive transfer of project formulation and execution responsibilities and capacities to national partners."

Source: "Country-led Evaluation of Delivering as One—UN Pilot Initiative in Uruguay," 2010.

Box 3.33: Delivering as One added additional layers of coordination in Cape Verde

"The additional workload due to coordination (especially with agencies that have no in-country presence) and the layer DaO is adding, needs to be addressed as well. Initially it seemed DaO does not exist outside of Cape Verde and the silos of regional offices and HQs continue to prevail, evidenced for example by the various reporting requirements."

Source: "Country-led Evaluation of Delivering as One—UN Pilot Initiative in Cape Verde," 2010.

284. In some cases, UN country teams have financed substantial feasibility studies to promote change, for example in ICT or procurement. Teams anticipate that the benefits will over time outweigh the costs.
285. One of the most important achievements in terms of transaction costs in all pilots comes from bundling contracts with local suppliers, which has reduced costs and resulted in better quality services.

Finding 24: Delivering as One has not resulted in consolidated management information. Key data still need to be compiled manually on an ad hoc basis from a variety of sources. This presents major challenges in terms of the accountability of the pilots to the UN system.

Summary of evidence

286. UN country teams do not have the tools and instruments to manage and report within the UN country team "as One," mainly because each organization uses its own systems and instruments to manage its programme activities, which are part of its corporate financial accountability structure.
287. The enterprise resource planning systems, and terminology and budget classifications of the different UN organizations have not yet been harmonized, and do not support presentation of consolidated expenditure reports (see Box 3.34). At the country level, the joint efforts of Delivering as One have therefore required considerable manual efforts. In those cases where the resident coordinator office and UN country team have agreed to implement joint programme monitoring systems, these are often not consistent with corporate systems. For consolidated reporting at least on the One Programme, many country teams and resident coordinator offices use the Multi-Partner Trust Fund platform. Consolidated reporting on the entire efforts of the UN country team, covering the UNDAF and the One Programme, does not exist as standard practice. While each UN country team was given the authority to pilot and experiment, and while this has resulted in consistent approaches within each country, a comparison of results across countries is very difficult given the many variations in approaches to the Ones.

Box 3.34: Reporting systems are still complex in Cape Verde

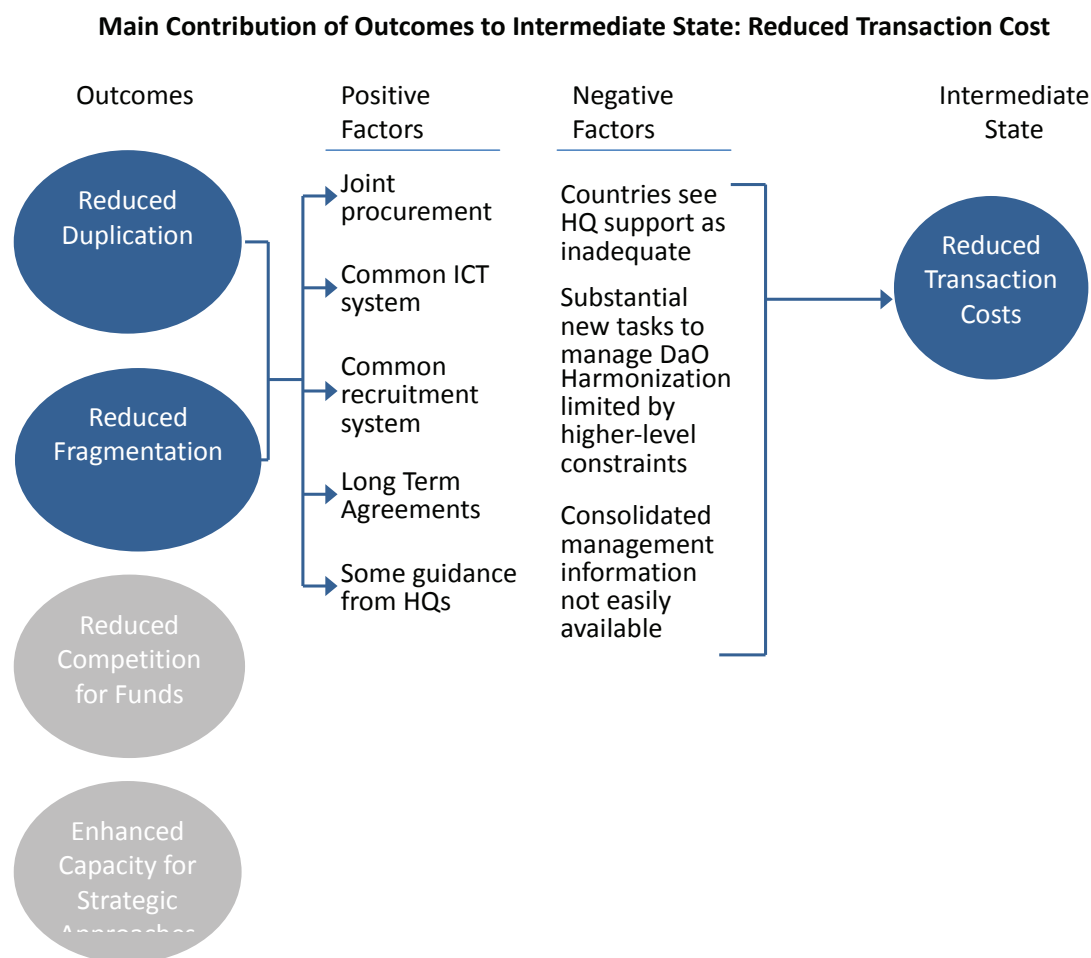
"The evaluation noted furthermore that Implementation partners perceive the UN reporting as complex and not very insisting, National partners indicated that accountability and reporting requirements vary per agency, for example on financial reporting some agencies are noted to ask for cost codes, but not all, these codes do not match codes used by the IP, which complicates their reporting task and creates an obstacle to providing their input to the UN financing agency."

Source: "Country-led Evaluation of Delivering as One—UN Pilot Initiative in Cape Verde," 2010.

Summary of progress towards reduced transaction costs¹⁰¹

288. Movement along the results chain outlined in the theory of change, from the outcome level towards the intermediate state of reduced transaction costs, is summarized in Figure 3.5.

Figure 3.5: Main contribution of outcomes to the intermediate state of reduced transaction costs



101. The UNDG defines internal transaction costs as those are internal to the UN system, and external transaction costs as those incurred by partners of the UN system as a result of the UN system's actions or from their interaction with the UN system, at country and headquarters levels. See UNDG, "Definition, Identification and Measurement of In-country Transaction Costs in the Context of 'Delivering as One' Pilot Countries," October 2010.

4. CONCLUSIONS

4.1 Introduction

289. Building on the preceding findings, evaluative conclusions concerning Delivering as One can be drawn against the theory of change model described in Chapter 1. This assessment refers to the different levels of progress in terms of the strategies (the Ones), outcomes, the intermediate states and the objective of Delivering as One. A final assessment considers evaluation criteria (relevance, effectiveness, efficiency and sustainability).
290. Conclusions related to each of the levels of progress seek to identify strengths and weaknesses, consider the relative importance of different elements and the relationships between them, and present a systematic analysis. Each element is rated on a five-point scale presented in Table 1.1. All rating scales require evaluators' judgements, based on evidence and findings. Each rating was triangulated in a number of ways, including: comparison of findings on each element to assess relative progress; assessment of each element according to an overall set of criteria; and comparison of assessments by different members of the evaluation team.
291. The ratings endeavour to present a fair and transparent assessment of the outcomes of Delivering as One processes at different levels. These processes are largely internal to the UN system and its efforts to better support programme countries in their pursuit of national development goals. Ratings do not imply any judgment on the performance of pilot countries as a whole or individually. At the same time, the tremendous commitment and hard work of UN staff to make Delivering as One work are fully recognized. It should also be acknowledged that in some cases, Delivering as One had to deal with adverse external conditions, e.g., humanitarian crises, the need for fiscal austerity among development partners and political changes that negatively affected continuity.

4.2. Conclusions on the strategies

292. Table 4.1 gives an overview of progress made by the Four Ones and the two additional strategies of One Voice and One Fund, placed in the context of the challenges the pilots sought to address.
293. Based on the evidence of the evaluation, it is concluded that One Programme, One Leader, One Budget and One Fund all achieved moderate levels of progress. They have a number of strengths, but they were challenged by countervailing weaknesses. The One Voice strategy achieved a strong level of progress, with several strengths and few weaknesses.
294. The One Office strategy made little progress. Despite major efforts by UN country teams and staff, and some notable achievements, the countervailing weaknesses were substantial. They showed the limits of reforms at the country level without necessary reforms at the UN system level.

TABLE 4.1: LEVEL OF PROGRESS OF THE STRATEGIES (SIX ONES)

Strategy	Achievements	Challenges	Assessment of progress
One Programme	<p>Coverage of cross-cutting issues improved.</p> <p>Programmes have delivered results.</p> <p>More coherent programmes.</p> <p>Larger assistance programmes.</p> <p>Non-resident agencies able to participate at higher level according to country need.</p> <p>Learning experience; second-generation One Programmes better designed.</p> <p>Trend from joint programmes to joint programming.</p> <p>Lowered transaction costs for governments.</p>	<p>First One Programmes largely retrofitted from existing programmes.</p> <p>Some joint programmes have too many partners and outcomes to manage.</p> <p>High number of small-scale activities.</p> <p>High transaction costs for UN country team.</p> <p>Monitoring and evaluation not yet able to capture additional development results from "jointness" or participation in Delivering as One.</p>	<p>Moderate.</p> <p>The shift to joint programming has been a promising learning experience resulting in One Programmes that effectively address cross-cutting issues. Challenges remain in finding a balance between focus and inclusiveness and in monitoring and evaluation of results.</p>
One Leader	<p>Increased coherence among organizations.</p> <p>Helped UN country teams coordinate One Programme.</p> <p>Strengthened collaboration with governments.</p> <p>Resident coordinator offices provided human and other resources to assist resident and non-resident agencies.</p> <p>Better delineation of functions of resident coordinator and UNDP resident representative (firewall).</p>	<p>Organizations remain accountable to own governing bodies.</p> <p>Little horizontal accountability in UN country team.</p> <p>Unequal accountability between resident coordinator and UN country team.</p>	<p>Moderate</p> <p>Resident coordinator function has been strengthened, but still lacks authority, as vertical accountability prevails over horizontal accountability.</p> <p>The firewall does not completely resolve the issue of a potential conflict of interest between the two functions.</p>
One Voice	<p>One Voice improved coherence of communications within and outside the UN country team, especially with governments.</p> <p>Organizations gained external profile through critical mass.</p> <p>Helped internal "buy-in" to Delivering as One.</p> <p>Supported advocacy on normative issues.</p>	<p>Insufficient human and financial resources in some pilots.</p>	<p>Strong</p> <p>Concerted communication on issues of concern based on mandates and expertise of UN organizations is widely seen as a major step forward.</p>

TABLE 4.1: LEVEL OF PROGRESS OF THE STRATEGIES (SIX ONES)			
Strategy	Achievements	Challenges	Assessment of progress
One Budget (Budgetary Framework)	Increased transparency of resource requirements for entire UN system at country level, including resources to be channelled through One Fund.	Use of Budgetary Framework across pilot countries still uneven	Moderate Budgetary Framework offers the possibility of fully costing all planned development activities of the UN system. Uneven use in different countries poses challenges to aggregation of data and reporting.
One Fund	Increased flexibility for government and UN country team, since funds were “lightly” or unearmarked. Enabled non-resident agencies and agencies with limited presence to participate. Increased government flexibility to use UN assistance in innovative areas, through financial support for participation of non-resident agencies and agencies with limited presence. In some countries, fund has financed some costs of UN reform processes.	Overall, One Programme still heavily reliant on non-core funds. Proportion of One Programmes funded varies widely among pilot countries, especially for second-generation One Programmes. Size of the One Fund varies between countries, with significant effects on extent to which One Programme can be innovative. Sustainability of One Fund levels in question, since some major funders have indicated withdrawal.	Moderate Innovative funding instrument with potential to complement traditional core and non-core funding. Still not used to its potential, as funding still partially earmarked. Highly dependent on support from very few donors.
One Office	Progress in common services Economies of scale Improved services	No harmonized rules and regulations Common measures of transaction costs not used. No consolidated cost data for assessment of savings. Operational costs remain high Staff time to generate savings very high Only few common premises	Little A few business practices have been simplified, but more ambitious reforms aiming at harmonization of management systems have not advanced much.

4.3 Progress towards the immediate outcomes

295. Table 4.2 gives an overview of progress towards the four immediate outcomes mentioned in Figure 1.2.
296. Progress towards reduced competition for funds and enhanced capacity for strategic approaches has been moderate, with notable achievements challenged by weaknesses. There has been relatively little progress towards reduced fragmentation and duplication.

TABLE 4.2: LEVEL OF PROGRESS OF THE (IMMEDIATE) OUTCOMES

Outcome	Achievements	Challenges	Assessment of progress
Reduced duplication	<p>Joint procurement procedures</p> <p>Common information, communication and technology systems</p> <p>Common recruitment systems</p> <p>Joint programming introduced to reduce duplication</p>	<p>Inadequate headquarters support</p> <p>Incompatible regulations and procedures prevent some desired reforms</p> <p>Duplicate reporting required by governing bodies and boards</p> <p>Overall gains to date modest compared with scale of UN operations in countries</p>	<p>Little</p> <p>Measures that have produced efficiency gains have remained relatively limited due to the continued existence of management and reporting requirements in organizations.</p>
Reduced fragmentation	<p>Long-term supplier agreements.</p> <p>More coherent programmes.</p> <p>Joint programming introduced to reduce fragmentation</p>	<p>Slow decisions from headquarters.</p> <p>Some joint programmes fragmented by excessive number of organizations and partners.</p> <p>Programmes fragmented by excessive number of outputs or outcomes.</p> <p>Accountability structures fragmented</p>	<p>Little</p> <p>Joint activities remain relatively marginal as compared to activities of multiple individual organizations, each of which have their own mandates and programming and management practices.</p>
Reduced competition for funds	<p>Improved programme coherence has reduced competition for funds</p> <p>One Fund has helped non-resident and smaller agencies compete for place in programmes</p> <p>Governments report less “lobbying” for projects of individual organizations</p>	<p>Reservations remain, whether “firewall” sufficiently protects against potential conflict on interest of One Leader in resource mobilization</p> <p>Most programmes still highly dependent on organizational non-core funding</p>	<p>Moderate</p> <p>Resource mobilization is better coordinated, but smaller organizations still find it difficult to have access to funding.</p>
Enhanced capacity for strategic approaches	<p>Inclusion of broader range of organizations enables more strategic approach related to stated country needs.</p> <p>First-generation One Programmes coordinated with governments</p> <p>Second-generation One Programmes jointly planned by organizations and governments</p> <p>One Voice ensures better communication among agencies and with governments, assisting more strategic approaches</p>	<p>First-generation One Programmes largely retrofitted projects, not originally planned on Delivering as One principles.</p> <p>Desire to maximize inclusion of agencies and partners sometimes reduced strategic dimensions</p>	<p>Moderate</p> <p>Second generation joint programming allows for strategic and inclusive contribution of the UN system notably on cross-cutting issues. Finding the right balance between focus and inclusiveness is still a challenge.</p>

4.4. Progress towards the intermediate states

297. Progress towards the three intermediate states—enhanced national ownership, better delivery of UN system support to countries and reduced transaction costs—is analysed in Table 4.3.
298. Enhanced national ownership is an area of strong progress, evident from procedures to involve governments in programming, planning and management, and from the perceptions of government stakeholders.
299. With regard to the UN system delivering better support to countries, it is clear that there have been many achievements, particularly through lessons learned in the first One Programmes and incorporated into the second One Programmes. Improvements in programming processes are not proof that programmes will deliver stronger results, however. This can only be evaluated as the programmes are delivered. To date, strengths in support under Delivering as One have been sufficient to strike an even balance with the many weaknesses also noted at this level. This indicates a moderate level of progress.
300. There has been little progress in reducing transaction costs, where substantial weaknesses have offset gains. While national partners and donors reported that Delivering as One in their perception had reduced their cost in dealing with the UN system, staff noted that Delivering as One was time-consuming and costly. There are also considerable challenges to measure transaction cost. Some of the transaction cost of Delivering as One may, however, have to be considered as investment with benefits to be accrued over a longer period of time and for the UN system as a whole.

TABLE 4.3: LEVEL OF PROGRESS TOWARDS THE INTERMEDIATE STATES

Intermediate state	Achievements	Challenges	Assessment of progress
Enhanced national ownership	<p>Governments report stronger ownership of their UN programme.</p> <p>Governments were more widely consulted under the first One Programmes than before Delivering as One.</p> <p>In second-generation One Programmes, governments have been closely involved in planning processes and will play a major role in management.</p> <p>Central coordinating ministries are chief government drivers and beneficiaries of Delivering as One.</p> <p>Some line ministries made new partners, particularly through the catalysing effects of the One Fund on non-resident agencies.</p> <p>Delivering as One has been built on a strong tripartite alliance between governments, the UN system and donors.</p>	<p>The tripartite alliance between governments, the UN system and donors needs to be strongly maintained if Delivering as One is to progress, but it is not clear that all key donors or other countries will be able to maintain or increase current funding</p>	<p>Strong</p> <p>Pilot countries have expressed strong commitment to Delivering as One and demonstrated increased national ownership and leadership.</p>

TABLE 4.3: LEVEL OF PROGRESS TOWARDS THE INTERMEDIATE STATES

Intermediate state	Achievements	Challenges	Assessment of progress
Better delivery of UN system support to countries	<p>First-generation One Programmes responded to country priorities largely by retrofitting planned activities into a modified framework. One Programmes produced results, particularly on cross-cutting issues.</p> <p>Second-generation One Programmes conceived and planned with governments have aimed for strong strategic focus, often with little or no emphasis on joint programmes.</p> <p>Some countries have concluded, based on the first One Programme, that it will be more strategic and effective to have joint programming rather than joint programmes. The One Budgetary Framework has been an important innovation, allowing UN country teams to present all planned and costed programme activities in one place, together with available and expected funding resources, including from the One Fund.</p> <p>Additional resources from the One Fund have enabled a broader range of organizations to collaborate.</p> <p>Several donor countries have supported pilots through the One Fund, as well as by directly funding the resident coordinator's office, by seconding staff, or by supporting the DOCO and UNDG regional teams.</p> <p>Pilot countries have sought to enhance leadership of the resident coordinator and mutual accountability with UN country teams, such as through codes of conduct.</p> <p>Common ownership of the resident coordinator system has been strengthened, assisted in particular by appointment of UNDP country directors.</p> <p>One Voice, implemented in most pilots, has provided greater coherence in advocacy and policy dialogue, as well as increased visibility and a stronger UN identity and culture among staffs.</p> <p>National and international mid-level staffs have played a critical role in innovations in programming and operations.</p> <p>Most UN organizations have become more active in system-wide coherence efforts during Delivering as One, usually as one element of engagement in wider UN reform processes.</p> <p>Most UN organizations have made special efforts to support the country pilots and broader Delivering as One processes.</p>	<p>First-generation One Programmes faced challenges in balancing inclusiveness with strategic focus, particularly with regard to joint programmes. Joint programmes and One Programmes as a whole had numerous and complex outcomes difficult for monitoring and evaluation systems to address.</p> <p>Little firm evidence of the difference between Delivering as One results based on One Programme and "normal" UN business approaches.</p> <p>Although second-generation One Programmes have more developed monitoring and evaluation systems, it is not clear that there will be enough monitoring and evaluation specialists and field monitoring to make them effective.</p> <p>Although governments and UN country teams have been able to rationalize their programming processes with the funds and programmes through the preparation of common country programme documents, executive boards have approved these separately.</p> <p>Accountabilities between resident coordinators and UN country teams not yet reciprocal; resident coordinators are assessed by the United Nations country team, but not the reverse.</p> <p>Reservations remain concerning effectiveness of the resident coordinator/ resident representative firewall</p> <p>Realization of the Delivering as One concept is challenged by the predominance</p>	<p>Moderate</p> <p>Delivering as One particularly useful as an integrated package of reform strategies, many parts of which require deeper reform at the systemic level.</p>

TABLE 4.3: LEVEL OF PROGRESS TOWARDS THE INTERMEDIATE STATES			
Intermediate state	Achievements	Challenges	Assessment of progress
	The UNDG and other high-level bodies have provided significant support to Delivering as One and broader system-wide coherence efforts, with the pilots providing important inputs into system-wide reform	of organization-specific accountability at all levels. Support to pilot countries by organizational regional offices and UNDG regional teams was little more than that provided to other countries.	
Reduced transaction costs	Some efficiency gains for UN country teams through expansion of common business practices. Governments note reduced transaction costs, reduced mission duplication and fewer in-country meetings. Some donors report reduced transaction costs through fewer in-country meetings. Headquarters of organizations and the UN system have issued substantial guidance	Processes to generate reduced transaction costs among UN organizations have been time consuming and costly. Resident coordinators and UN country teams report insufficient support from headquarters to meet their needs in a timely fashion. Delivering as One has not resulted in consolidated management information; it is difficult to gain an accurate aggregate picture of the effects on finances and business practices.	Little During the pilot phase, transaction costs in the UN were not reduced and even increased. Benefits of Delivering as One may accrue in the future and for the UN system as a whole.

4.5 Progress towards the overall objective of Delivering as One

301. The long-term objective or impact to which Delivering as One is expected to contribute is that countries should be better able to achieve their national development goals, including commitments to the MDGs and other internationally agreed development goals. There has been little progress towards this objective for the following reasons.
302. The expectation of the evaluability assessments of the UNEG in 2008 and the country-led evaluations in 2010 that development results would be evident by the time of the independent evaluation has proved unrealistic, since complex development changes can easily take decades. This is particularly true when considering that the total UN development system is one player among many in the countries concerned.
303. The pilots had to discover and respond to challenges restricting development. In this context, the One Programme, a critical element of the results chain, was a substantial and difficult learning exercise in all pilot countries.
304. It is claimed that the second-generation One Programmes in preparation or recently started will be far better than the first. Their contributions to countries' abilities to achieve their national development goals may only become evident some years in the future.

4.6. Conclusions on the performance of Delivering as One against evaluation criteria: relevance, effectiveness, efficiency and sustainability

305. The dimension of relevance relates to the extent to which pilot country governments have been able, through enhanced ownership, to ensure that their own needs and priorities are driving UN programming,

as well as to the coherence of their dealings with the UN system. In both regards, performance has been strong.

306. The effectiveness of Delivering as One relates primarily to the contribution made to the delivery of better support to countries and development processes and results, including on cross-cutting issues, e.g., gender equality. Effectiveness corresponds closely to the intermediate state of the UN system delivering better support to countries. Progress has been moderate.
307. Efficiency corresponds closely to the intermediate state of reduced transaction costs. Despite some achievements in specific areas, progress has lagged due to the limited mandates of country offices to change procedures and incompatible systems across organizations. Time-consuming processes were required to achieve any change, while support from higher levels of the system was often considered inadequate by UN country teams. Coherent and consolidated management information systems were largely absent. In short, the efficiency of Delivering as One has been weak.
308. The framework terms of reference for the independent evaluation indicate that the sustainability of Delivering as One should be assessed in terms of the probability of it continuing over time and the likelihood of long-term benefits, both for pilot countries and the UN system. Sustainability is a combination of the extent to which Delivering as One is relevant, efficient and effective, and has gained support at all levels in all relevant systems to continue its promotion, along with its continuing financial viability.
309. The level of support for Delivering as One within the pilot countries, the UN system and among certain Member States is assessed as strong. A growing number of countries have volunteered to become self-starters. Many other programme countries have not yet volunteered to take this step, however; others remain opposed to Delivering as One. At the end of December 2011, the cut-off point for evaluation findings, the financial sustainability of Delivering as One was in considerable doubt, since key donors had indicated their intention to reduce or discontinue funding for it. On balance, the likelihood of sustaining Delivering as One is moderate.

5. RECOMMENDATIONS

5.1 Enhancing national ownership and leadership

Recommendation 1: The basic principle of voluntary adoption of Delivering as One should be maintained. Since the beginning, this principle has guided initiatives in the pilot countries as well as the self-starters. Stakeholders acknowledge beneficial effects on national ownership and leadership. Individual programme countries should be free to choose an approach to partnership with the UN system that most suits their national needs, priorities and planning modalities as well as the achievement of the MDGs and other internationally agreed development goals.

Recommendation 2: Strong national coordination mechanisms need to be consolidated and links between individual UN organizations and line ministries should be strengthened and expanded. The Delivering as One experiences provide good practices that other programme countries could use to ensure national ownership and leadership, and make programming as focused as possible, notably on cross-cutting issues such as human rights, gender equality and HIV/AIDS. At the same time, there could be new opportunities for cooperation in other areas with broad sectoral and thematic dimensions, e.g., economic development and the environment.

5.2 UN system to deliver better support to programme countries

Recommendation 3: The UNDG should consider consolidation of functions under the UNDG at headquarters level required to address different dimensions of Delivering as One and strengthening of the functional firewall and mutual accountability across the UNDG. These dimensions are part of an inter-linked package: programme guidance, monitoring and evaluation, and reporting; innovative funding mechanisms (Expanded Funding Window, One Funds); administration and oversight of the resident coordinator system; and simplification and harmonization of business practices. Consolidation of these functions would greatly enhance system-wide coherence and ensure that horizontal accountabilities at country and regional levels are matched at the systemic level.

Recommendation 4: The UNDG should provide further guidance on joint planning and monitoring and evaluation systems that are part of the One Programme at country level. Both national and UN system planning and monitoring and evaluation capacities at country level should be further strengthened. Results achieved with the One Programmes especially on cross-cutting issues, e.g., human rights, gender equality and HIV/AIDS could then be more robustly monitored and evaluated, including through joint and country-led evaluations in order to assess the contribution of the UN system to development effectiveness. This will also contribute to more consistent reporting on programme results and use of funding, including across countries. Common programme and monitoring and evaluation formats would favour more consistent and transparent reporting, strengthening UN system accountability.

Recommendation 5: Mechanisms tasked with independent system-wide evaluation should periodically assess the performance of system-wide approaches such as Delivering as One. There is also a need for strengthening system-wide monitoring and evaluation capacities in programme countries and among UN field staff.

Recommendation 6: The UNDG should support the use of a common One Budgetary Framework. It costs all planned interventions of the UN system in a country (in principle as a One Programme) and reflects available and expected funding resources, including under the One Fund. It would be useful for the One Programme and UNDAF. One format for planning favours one format for financial reporting, which allows for better comparability and aggregation of financial information for the UN development system.

Recommendation 7: Member States contributing to the non-core funding of the UN development system may wish to consider the One Fund and Expanded Funding Window mechanisms as attractive complements to traditional core and non-core funding for individual organizations. One Fund and Expanded Funding Window resources should in principle not be earmarked. In the interest of ensuring the sustainability of existing pilots and potentially wider promotion of Delivering as One, there should be more stable, multi-year

commitments from a larger number of Member States with the capacity to contribute. Intergovernmental oversight of these mechanisms may need to be strengthened.

Recommendation 8: UN organizations, notably funds and programmes, may wish to increasingly make contributions to the One Funds from their existing core and non-core contributions. This would demonstrate their commitment to Delivering as One and have a positive effect on donor support to the Delivering as One funding mechanisms.

Recommendation 9: The UNDG should further strengthen the horizontal accountability of resident coordinators and UN country teams. This may involve strengthening the coordination function over resource mobilization and allocation mechanisms for the One Fund either through the resident coordinator or through a co-chairing arrangement between the resident coordinator and the government. Resident coordinators should also, on behalf of the UN country team, directly report to the inter-organizational setup in Recommendation 3 on results achieved under the One Programme.

Recommendation 10: The UNDG should further clarify the role and added value of its regional teams concerning Delivering as One. UN organizations need to harmonize their respective policies and procedures concerning decentralization; agree on co-location of regional offices, as appropriate; and define horizontal accountability at this level.

5.3 Simplification and harmonization of business practices to reduce transaction costs

Recommendation 11: Member States may wish to strongly reiterate their calls for harmonizing business practices through different boards and governing bodies. This should happen for human resources management, financial management and common support services, and will require concerted action among the headquarters of UN organizations. Enterprise resource planning systems should be compatible.

Recommendation 12: The High-Level Committee on Management and the UNDG should further strengthen cooperation on Delivering as One. More far-reaching harmonization of business practices, notably in financial management, accounting standards, and human resources rules and regulations, should result in efficiency gains and reduced transaction costs. Particular attention should be given to harmonizing management information systems to be used by UN country teams. This would enhance UN system accountability and transparency in achieving results and efficiently using resources. It may involve further harmonization of the definition and classification of costs within the UN system.

6. LESSONS LEARNED

6.1 Lessons from the performance of Delivering as One at country and systemic levels

Lesson 1: Voluntary adoption of Delivering as One by national governments of pilot countries has greatly contributed to their ownership and leadership of the reform process. National ownership is not only a matter of principle. It has proven to be a practical precondition to success of the initiatives,

Lesson 2: The Delivering as One pilot process has shown that the UN system can respond to the specific contexts of very different countries, including least developed and middle-income countries.

Lesson 3: Delivering as One has helped pilot countries gain greater access to the range of development expertise and resources in the UN system.

Lesson 4: Delivering as One could be more accurately described as Delivering as if One, given the fact that each UN organization has its own governance structure, mandate and culture. Individual organizations remain the primary units of account for performance and management. There are limits to what can be achieved with voluntary coordination at country level through very diverse existing systems.

Lesson 5: The One Programme strategy allows the UN system to more adequately address cross-cutting issues (such as human rights, gender equality, HIV/AIDS) and also support governments on multi-disciplinary development concerns such as economic development and the environment.

Lesson 6: The Delivering as One experience has shown that effectively promoting gender equality and women's empowerment requires full management commitment, adequate staff incentives and monitoring of results.

Lesson 7: While other UN reform initiatives have focused on specific aspects of programming, funding, management and accountability, Delivering as One is unique in considering all these aspects in the interlinked original four Ones along with the One Voice and One Fund.

Lesson 8: The One Budgetary Framework approach has fostered government leadership, and close interaction among governments, donors and UN organizations throughout the resource management cycle.

Lesson 9: The One Fund modality has ensured better alignment with and more flexible responses to national priorities. There is some potential to reduce donors' preference for earmarked funding.

Lesson 10: UN country teams in pilot countries, with the support of resident coordinators, are approaching the limits of what can be achieved by country level innovations to reduce transaction costs and increase efficiency. Since so many high-level systemic elements have not been changed for Delivering as One, the marginal cost of enhanced country level coordination is increasing.

6.2 Lessons of interest to senior management of the UN system within existing intergovernmental mandates

Lesson 11: There is a lack of clarity and shared vision among UN organizations and stakeholders concerning the desirable extent of integration and how it can best be achieved, including on how coordination is perceived and approaches to enhance it.

Lesson 12: The UN staff currently lacks incentives in performance appraisal and career development for maintaining sufficient motivation around Delivering as One. Challenges also remain in the development of shared monitoring and evaluation systems. The horizontal accountability of resident coordinators and UN

country teams for results achieved under the One Programme has remained weak. This has implications for the measurement of performance, which remains primarily vertical, i.e., within organizations.

Lesson 13: While ensuring better alignment to programme country systems, new approaches to planning, budgeting and reporting to management have often posed challenges at the corporate level, where efficiency is characteristically achieved through standardization. The emergence of so many localized solutions is an unintentional and undesirable side effect of the notion that “one size does not fit all.”

Lesson 14: It has been demonstrated in the pilot countries that transferring resources and authority for managing and allocating some unearmarked funds to the country level has allowed for a better and more flexible response to programme country needs and priorities.

Lesson 15: Delivering as One introduced many innovations that required additional staff and financial resources. It was observed that during the pilot phase transaction costs were not reduced, but rather tended to increase. The cost increase may need to be considered as inevitable investment in reform that needs to be offset against valuable benefits in the future and also for the UN system as a whole.

6.3 Lessons to be addressed through intergovernmental decision-making, e.g. the new quadrennial comprehensive policy review resolution

Lesson 16: The need to draft common country programme documents for funds and programmes, as distinct from UNDAP documents, and to have them approved by different executive boards is a cumbersome process. Joint board meetings of the funds and programmes could be endowed with the authority to approve common country programme documents.

Lesson 17: Mandates, policies, regulations and practices among vertically organized UN system organizations are diverse. Strengthening horizontal accountability at all levels within existing legislation may require a review of intergovernmental guidance and oversight of all aspects of Delivering as One. This process might include assessing the relationships between the UN Economic and Social Council (ECOSOC) and executive boards of the funds and programmes, as well as between the Council and specialized and non-resident agencies not reporting to the General Assembly.

Lesson 18: The current resident coordinator system poses serious limitations to resident coordinators’ abilities to oversee and exercise line authority over activities under Delivering as One, and to ensure overall transparency and accountability. Governing bodies of UN system organizations would need to considerably modify current accountability frameworks to allow resident coordinators to take full responsibility for resources under One Funds and to be accountable for One Programme results.

Lesson 19: Funding is a major driver of organizational change. The One Fund has proven to be an important incentive for organizations to work together. It is not limited to mandates of UN organizations, less earmarked and more predictable than other forms of non-core funding. These characteristics make it a valuable addition to traditional core and non-core funding. However, there is currently no intergovernmental oversight over the One Fund.

Lesson 20: Despite comprehensive guidance through triennial comprehensive policy review resolutions, simplification and harmonization of business practices at the UN system level has been relatively slow. It is urgent for intergovernmental leadership and decision-making to insist more vigorously on further reform in this area. This should encompass human resource rules and procedures, financial management and reporting, procurement and information technology.

7. FINAL REMARKS

- a. Delivering as One has shown in practical ways how national ownership and leadership in the operational activities of the UN system can be strengthened. The initiatives consisted of an integrated package of reforms expressed through the six Ones, which demonstrated the ability of the system to help produce strategic results, especially on cross-cutting issues such as human rights, gender equality and HIV/AIDS. The reform package responded to needs and priorities of individual programme countries in meeting their national development results.
- b. However, challenges remain in planning, monitoring and evaluation, and reporting concerning the One Programme. There is room for improvement in strengthening the horizontal accountability and transparency of the UN system at country level for the achievement of results as well as for the efficient use of resources. One Funds have proven to be innovative mechanisms representing useful complements to existing organization-specific funding. They also increase the quality of non-core funding. During the pilot phase, Delivering as One has not met the expectation that transaction costs would be lowered. Challenges also remain in the area of simplification and harmonization of business practices. These require more vigorous systemic changes at headquarters levels.
- c. Delivering as One has been a real-world testing ground for an ambitious agenda for a more coherent and effective UN system at the country level, the principles of which were announced in the 2005 World Summit Outcome document. However, while its efforts at reform are mostly positively assessed, bolder measures may be required to put the UN system on a more comprehensive track of reform, including: rationalization of the number of UN organizations, reform of mandates and governance structures and funding modalities, and a new definition of the range of development expertise expected from the UN system. Lessons learned from Delivering as One will greatly enrich debates in this direction, notably through a concerted vision of reform emanating from Member States.

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

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

Modality

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

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

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

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

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

Members of the evaluation team should have outstanding evaluation expertise and experience, including on evaluation design, data collection and analysis and report writing. The composition of the evaluation team should include nationals of both developing and developed countries. None of the members of the EMG or evaluation team should have been directly involved in the day to day conduct of the country-led evaluations of the DaO pilot initiative.

Accountability

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

Administrative, logistical and technical support

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

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

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

Evaluation Management Group

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

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

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

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

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

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

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

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

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

International Evaluation Team

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

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

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

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

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

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

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

National Consultants

Mr. Leopoldo Font Echarte (Uruguay)

Mr. Ngila Mwase (Tanzania)

Ms. Ines Raimundo (Mozambique)

Ms. Tran Thi Hanh (Viet Nam)

Mr. Rezart Xhelo (Albania)

Mr. Syed Akbar Zaidi (Pakistan)

Quality Assurance Panel

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

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

Evaluation Secretariat

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

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

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

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

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

Evaluation Management Group
7 October 2011

INTRODUCTION

1. In accordance with General Assembly resolution 64/289 of 2 July 2010 on system-wide coherence, an independent evaluation of lessons learned from Delivering as One (DaO) is being undertaken.
2. The original mandate of the independent evaluation was contained in General Assembly resolution 62/208 adopted on 19 December 2007 containing the Triennial Comprehensive Policy Review (TCPR) of operational activities for development of the United Nations system. The General Assembly noted that *the voluntary efforts to improve coherence, coordination and harmonization in the United Nations development system, including at the request of some "programme country pilot", encouraged the Secretary-General to support "programme country pilot" countries to evaluate and exchange their experiences, with the support of the United Nations Evaluation Group; and emphasized, in addition, the need for an independent evaluation of lessons learned from such efforts, for consideration by Member States, without prejudice to a future intergovernmental decision* (OP 139).
3. The evaluation is being conducted in accordance with the Note of the Office of the Deputy-Secretary-General of 21 May 2010 on the ad-hoc arrangements for the Independent Evaluation of the Delivering as One (DaO) pilot initiative, to which reference is made in General Assembly resolution 64/289 (OP 21).
4. Under the auspices of the Evaluation Management Group (EMG) appointed by the Secretary-General (Note A/65/737 of 15 February 2011 and Note A/65/737/Add.1 of 10 May 2011), the United Nations Department of Economic and Social Affairs (UN-DESA) has been mandated to provide administrative, logistical and technical support to the EMG.
5. The evaluation is conducted in three phases: (a) an Inception Phase (from July to September 2011); (b) an Implementation Phase (from October 2011 to March 2012); and (c) a finalization phase for the EMG (April–September 2012).
6. The Implementation Phase will be undertaken by a Core Evaluation Team composed of: (a) a team leader (coordinator), (b) a deputy team leader (deputy coordinator), and (c) two programme evaluation specialists. During the implementation phase, the core team will be assisted by additional international specialists and national consultants recruited in each of the pilot countries.
7. The evaluation as a whole benefits from advice provided by a two-person Quality Assurance Panel composed of (a) an expert on the role and contribution of the UN system to development policies and development effectiveness in developing countries; and (b) an expert in the design and implementation of complex and strategic evaluations.
8. The present Framework Terms of Reference (FTOR) describes the overall tasks and requirements for the consultants, who will be appointed as members of the Core Evaluation Team, additional international specialists and the national consultants. Separate individual TOR describes tasks and deliverables of each team member as per administrative requirements of DESA.
9. These FTOR only cover the work that will be undertaken during the Implementation Phase of the evaluation (in principle October 2011–March 2012). The outcome of the implementation phase will feed into the drafting of a summary report under the responsibility of the EMG that will eventually be presented to the President of the General Assembly before the end of the sixty-sixth session.

HISTORY OF DELIVERING OF ONE AND THE INTERGOVERNMENTAL PROCESS

10. Delivering as One is institutionally located within a complex process of intergovernmental decision-making concerning operational activities for development of the UN system, as expressed through the 2001, 2004 and 2007 TCPR resolutions¹. Operational activities for development are implemented by 36 UN organizations², which comprise funds, programmes, specialized agencies and entities of the UN Secretariat. Not all of these organizations consider development as their primary mandate or purpose, which may in fact be political, humanitarian or related to the environment. To be considered as part of the UN development system, they should, however, at least have a role in development, i.e. the ability to respond to the development needs of programme countries, more specifically by contributing to the enhancement of programme countries' capacity to pursue poverty eradication, sustained economic growth and sustainable development as well as meeting Millennium Development Goals (MDGs) and other internationally agreed development goals (IADGs).
11. The United Nations Department of Economic and Social Affairs (UN-DESA) supports the TCPR/QCPR process in the General Assembly and ECOSOC by providing analytical reports related to the implementation of globally agreed policies and priorities at the country-level and promotes coherence of operational activities. It has produced a number of key substantive reports with analyses and evaluations of the implementation of globally agreed policies and priorities mostly at the country level; and also reports on an annual basis on the funding of the development role of the UN system.

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

12. The agenda to make the United Nations development system more coherent, effective and relevant was announced in the 2005 World Summit Outcome Document³. Member States recognized the importance of the unique experience and resources that the UN system brings to global issues and recommended implementation of current reforms of operational activities for development aimed at a more effective, efficient, coherent, coordinated and better performing UN country presence with a strengthened role of the senior resident official and a common management, programming and monitoring framework. The General Assembly invited the Secretary General to launch work to further strengthen the management and coordination of the United Nations operational activities and to make proposals for consideration of Member States for more tightly managed entities in the field of development, humanitarian assistance and the environment.
13. In response to the request of Member States expressed in the 2005 World Summit Outcome Document, the Secretary General appointed the High-Level Panel on UN System-Wide Coherence in the Areas of Development, Humanitarian Assistance and the Environment⁴, which finalized its report in November 2006. The out-going Secretary General presented the recommendations of the Panel to

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

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

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

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

the General Assembly in a Note in November 2006⁵ and the in-coming Secretary General analysed the main recommendations in a formal report in April 2007⁶.

14. One of the key recommendations of the Panel was that the UN system should “Deliver as One” at country level, with one leader, one programme, one budget and, where appropriate, one office. The proposal was conceptualized within the framework of progress towards the MDGs and other internationally agreed development goals. The report also recommended that UN country teams should have an integrated capacity to provide a coherent approach to cross-cutting issues, including sustainable development, gender equality and human rights. At headquarters level, One UN development was to be achieved through the creation of a Sustainable Development Board to oversee the One UN Country Programmes and the establishment of a MDG funding mechanism to provide multi-year funding for the One UN Country Programmes.
15. The report was a visionary statement reflecting the views of eminent political leaders from both developed and developing countries. It triggered an intense debate among Member States on system-wide coherence between 2007 and 2010. The process resulted in the adoption of resolutions on system-wide coherence in 2008, 2009 and 2010⁷ that in fact enriched inter-governmental guidance to operational activities for development already covered by the 2007 TCPR resolution. A key element of the 2009 resolution was that it renewed the request to the Secretary-General, originally made in the 2007 TCPR resolution, to urgently undertake arrangements for the independent evaluation of lessons learned from the DaO efforts. The 2010 resolution encouraged the Secretary-General to proceed with the modality for the independent evaluation, as outlined in the Note of the Secretary-General of 21 May 2010 (OP 21).
16. The 2009 resolution on system-wide coherence (SWC) contained various requests to the Secretary General, which were responded to in two reports presented to the General Assembly in December 2009 and January 2010, one on the establishment of the gender entity⁸ and one on other dimensions of the follow-up to the 2009 SWC resolution⁹. The latter report contained various proposals and options for the consideration of Member States concerning the governance of operational activities for development, modalities for submission and approval of common country programmes, principles for establishing an independent system-wide evaluation mechanism, strengthening financial reporting on operational activities and options for the conduct of the independent evaluation of lessons learned from DaO programme country pilots.

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

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

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

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

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

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

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

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

chairman of the undg informed the Joint Boards of UNDP/UNFPA, UNICEF and WFP¹¹ and ECO-SOC¹² that the eight countries had formally requested to become One UN pilot countries.

18. The purpose of these pilots as expressed in these documents was to allow the UN system, in cooperation with pilot country governments, to develop approaches that would enhance the coherence, efficiency and effectiveness of the UN at country level and reduce transaction costs for host countries. The exercise was to provide an opportunity to test different approaches to see what works best in various country situations. It was also emphasized that the basic concept of the One UN pilots broadly reflected guidance from Member States provided through the 2001 and 2004 TCPR resolutions as well as the 2005 World Summit.
19. Experiences and lessons learned in DaO pilot countries have been extensively monitored and documented both in the individual countries and by the UN Development Operations Coordination Office (DOCO) of the undg¹³. Major stocktaking exercises took place in 2007¹⁴ and 2008¹⁵. These reports reflect the evolution of the DaO initiatives between 2007 and 2008.
20. Representatives of the governments of the eight pilot countries as well as representatives of other countries having also voluntarily adopted the DaO approach met in Maputo (Mozambique) in 2008, in Kigali (Rwanda) in 2009 and in Ha Noi (Viet Nam) in 2010 for exchanges of experiences and lessons learned and discussion of the way forward. The intention was to communicate progress and critical issues of the Delivering as One initiative to concerned parties, so as to mobilize support of programme and donor countries as well as the UN system in view to strengthen reforms.

UNEG evaluability assessments of DaO

21. In 2007, the United Nations Evaluation Group (UNEG) conducted evaluability assessments of the DaO pilots, which described and analysed the parameters that would make it possible to fully evaluate at a later stage both the results of the DaO pilot initiatives and the processes that led to the results. UNEG's evaluability assessments thus contain useful methodological information for any future evaluation of the pilot experiences, including the independent evaluation of lessons learned requested by the General Assembly¹⁶.
22. The evaluability assessment studies also contained some evaluative feedback especially on key process indicators reflecting the situation in mid-2008, that is, in most cases one and a half years after the DaO approaches had been initiated. They therefore represent useful additional information on the evolution of the DaO initiatives in the pilot countries.

Review and critical assessment of country-led evaluations conducted in 2010

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

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

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

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

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

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

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

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

ness for the independent evaluation were assessed by the Core Evaluation Team during the inception phase.

Documentation available on DaO in Pakistan

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

Review and critical assessment of systemic issues related to Delivering as One

Management and Accountability System of UNDG, and UNDG strategic priorities (2010-2011)

25. In addition to the documents that emanated from the UNDG at the start of the DaO process, there are several key documents on the Management and Accountability System (M&A System) for the UN Development and Resident Coordinator system including the “functional firewall” of the Resident Coordinator System, which was adopted by the UNDG in August 2008¹⁸. A detailed Implementation Plan was agreed in January 2009 to operationalise the M&A System, including an outline of the responsibilities of the key stakeholders, of expected outcomes and outputs related to these responsibilities, with timelines. A review of the M&A has been undertaken under UNDG management, but is not yet available.¹⁹
26. In October 2009, the UNDG adopted its strategic priorities for 2010-2011. Effective implementation of the UNDG strategic priorities will be driven at all levels, i.e. country, regional and headquarters levels with regional and headquarters levels of the UNDG primarily responding to requests from the countries for support. The new UNDG strategic priorities 2010-2011 introduce a paradigm shift from “top-down” direction and guidance primarily developed at headquarters level and implemented in the field to a more demand-driven approach that seeks to respond to needs and priorities of programme countries.

DaO Expanded Funding Window (EFW)

27. DaO also triggered innovations to the funding architecture of the UN development system. A funding modality that is complementary to un-earmarked core contributions and mostly earmarked non-core contributions is the establishment of thematic trust funds, multi-donor trust funds and other voluntary non-earmarked funding mechanisms linked to organization-specific funding frameworks and strategies established by the respective governing bodies as funding modalities complementary to regular budgets.
28. One of these modalities is the Expanded Delivering as One Funding Window for Achievement of the Millennium Development Goals (EFW)²⁰. The EFW was launched in September 2008 (with initial support notably from Spain, the UK and Norway) as a multi-donor funding mechanism that provides resources to support nationally-led and owned programming processes to help UN country teams to Deliver as One. Specifically, the EFW is designed to: a) respond to the need for additional, unearmarked, more predictable funding; b) provide a channel for additional resources to fill funding gaps for UN country programmes; c) allow donors to support integrated UN Programmes in countries

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

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

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

where they may not have a bilateral presence or country-level funding mechanisms; and d) reduce the transaction costs associated with the separate and multiple financing agreements required to manage earmarked resources.

Process of simplification and harmonization of business practices

29. The Delivering as One initiatives have also given new impetus to efforts to simplify and harmonize business practices of the UN development system. Experiences related to simplification and harmonization of business practices in two of the eight pilot countries (Mozambique and Viet Nam) as well as in Malawi were assessed by a joint UNDG—HLCM high-level mission, which took place in March and April 2010. The mission noted that, in all countries visited, the UN country teams had taken a number of steps for improvement and harmonization of business practices to increase efficiency and effectiveness in their operations, including actions that could be taken by the country team on its own, and others with headquarters support. It was, however, also concluded that significant challenges remain.
30. The Chief Executives Board for Coordination (CEB) and its other pillars, the High Level Committee on Programmes (HLCP) and the High Level Committee on Management (HLCM) addressed issues related to Delivering as One between 2007 and 2010. The Core Evaluation Team should review the technical documents prepared for the various meetings as well as the reports in view to assess, whether they contain innovative proposals for programming and/or simplification and harmonization of business practices.

Relationship of the DaO approach with the process of humanitarian assistance

31. The mandate of the independent evaluation of DaO originated in the 2007 TCPR resolution on operational activities for development of the UN system (General Assembly resolution 62/208 OP 139). The UN role in development is generally understood to be related to, yet distinct from, the role the system plays in the context of humanitarian assistance.
32. The quest for coherence and coordination of humanitarian assistance involves key UN and non-UN humanitarian partners, the latter being, for example, the Red Cross Movement and Non-Governmental Organizations, who work together in the Inter-Agency Standing Committee (IASC), a unique inter-agency forum for coordination, policy development and decision-making. The IASC was established in June 1992 in response to United Nations General Assembly resolution 46/182 on the strengthening of humanitarian assistance. General Assembly resolution 48/57 affirmed its role as the primary mechanism for inter-agency coordination of humanitarian assistance.
33. During the inception phase, the Core Evaluation Team assessed the extent to which and in what ways the DaO initiatives at country, regional and headquarters levels are reported to have affected the role of the UN system in the IASC context and/or in relation to other coordination mechanisms, e.g., the accumulation of roles of resident coordinator and humanitarian coordinator. On the basis of work conducted by the Country Led Evaluations, it has been concluded that the relationship of DaO with the humanitarian role of the UN was not a fundamental issue in the pilot countries. However, the CET should remain open to the need to conduct assessment and evaluation of this dimension in specific countries, should this prove to be an “emerging issue” on the basis of the country field missions.

PURPOSE AND OBJECTIVE OF THE INDEPENDENT EVALUATION

34. The ultimate purpose of the independent evaluation is to inform the Quadrennial Comprehensive Policy Review on Operational Activities for Development of the United Nations system (QCPR) in late 2012, as well as other inter-governmental processes concerning system-wide coherence.
35. Its overall objective is to assess the contribution and value added of the Delivering as One approach and to draw lessons learned in this context that are significant for the UN system as a whole, including in terms of :

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

SCOPE OF THE EVALUATION

36. Specifically, as part of the process of evaluating lessons learned from the DaO pilots, the evaluation covers the *period* from 2006 (the year before DaO started) to 2011 and has the scope to assess:
- *The voluntary DaO initiatives* in the eight pilot countries (Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay and Viet Nam);
 - *Progress, processes and context, as well as lessons learned* from pilot experiences; and remaining challenges to use the DaO approach;
 - *Systemic issues* of UN reform related to or triggered by the DaO approach at headquarters, regional and country levels;
 - The evaluation does not cover the so called "self-starters"; other countries that have adopted the DaO approach or elements thereof on a voluntary basis; and
 - The evaluation does not assess overall performance of the UN development system in the pilot countries.

KEY EVALUATION QUESTIONS (and Sub-Questions)

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

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

- 1a: What problems or challenges did DaO intend to address at country and systemic levels?
- 1b: How were these identified and were they formally agreed?
- 1c: At what level(s) were these problems and challenges occurring?
- 1d: What were the original objectives of DaO?

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

- 2a: What were the key aspects of the country context, to which DaO was expected to make a contribution?
- 2b: What were countries' objectives in volunteering and were these objectives formally defined?
- 2c: How did countries' objectives related to DaO evolve over time?
- 2d: How responsive was DaO to evolving countries' objectives and circumstances?

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

Country Level

- 3a: Which of the “Ones” were implemented and which were not and why?
- 3b: To what extent were “the Ones” innovative approaches to joint Government/UN programming in the country?
- 3c: What UN and national institutions, systems and processes were used to help “Deliver as One”? What institutions, systems and processes were not conducive to “Deliver as One”?
- 3d: Which stakeholders (including government institutions, civil society and private sector bodies, UN agencies, donors, foundations, global funds) participated in DaO, in what way, and were any of these new to the UN programme in the country?
- 3e: What has been the relationship between the DaO and the UNDAF over time, in terms of stakeholders, activities and resources at country level? What has been the relationship between joint programmes and the DaO initiative?
- 3f: Did the DaO initiative lead to any change in national ownership of activities promoted by the UN? Did it enable the UN to respond to and support Government policies and initiatives more effectively? Did national institutions gain enhanced capacity to deliver against their mandates as a result of DaO and if so, how and to what extent?

Regional Level

- 3g: What institutions, systems and processes were used to help “Deliver as One”? What institutions, systems and processes were not conducive to “Deliver as One”?
- 3h: Which stakeholders participated in DaO, in what way: and were any of these new to the UN programme in the region?

Global Level

- 3i: What institutions, systems and processes were used to help “Deliver as One”? What institutions, systems and processes were not conducive to “Deliver as One”?
- 3j: Which stakeholders participated in DaO, in what way: and were any new collaborations formed to assist the initiative?

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

- 4a: What were the main programme activities of DaO? How were they funded, who were their stakeholders, what were their objectives and how were they implemented?
- 4b: What results, intended or unintended, have been achieved in terms of countries’ capacity to meet national development goals and objectives as well as MDGs and other internationally agreed development goals?
- 4c: What systems were put in place by DaO and what results have been achieved in terms of cross-cutting issues, e.g. human rights, gender equality and women’s empowerment?
- 4d: How well did DaO deliver on the country’s objectives in piloting the initiative? What evidence exists on DaO’s contribution to development results overall? What evidence exists on DaO’s contribution to gender equality and women’s empowerment specifically? How did the country’s objectives evolve as a result of DaO?

- 4e: How well did the UN and national institutions, systems and processes actually and/or potentially reduce the transaction cost related to UN development activities? Which institutions, systems and processes were not conducive to the reduction of transaction cost?
- 4f: What were the key contextual factors which influenced how DaO was implemented and what it has been able to achieve?
- 4g: To what extent were innovative approaches introduced as part of the DaO pilot?

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

Country Level

- 5a: In view of the results to which DaO contributed, what changes (and/or unintended consequences) have been recorded or perceived by national stakeholders?
- 5b: What were the specific aspects of DaO contributing to these changes (or consequences)?
- 5c: Why did these changes (or consequences) occur?
- 5d: What is perceived by different country level stakeholders as the main “added value” of the DaO initiative?

Regional Level

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

Global Level

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

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

- 6a: Which aspects of UN System support were effective and which were ineffective?
- 6b: What were the consequences of those aspects of support, which were effective or ineffective?
- 6c: How do stakeholders at different levels (inside and outside the UN) perceive the consequences of UN system support, particularly from headquarters of UN organizations, on the implementation and performance of the DaO initiative?

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

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

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

TABLE 1: COVERAGE OF DAO STAGES AND EVALUATION CRITERIA BY KEY QUESTIONS.				
	Relevance	Efficiency	Effectiveness	Sustainability
Design	Q1,2,3			
Implementation		Q4,5,6	Q4,5,6	Q5,6
Results		Q4,5,6,7	Q4,5,6,7	Q5,6,7

METHODOLOGY

Overview and Evaluation Matrix

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

TABLE 2: EVALUATION MATRIX FOR LESSONS LEARNED FROM DAO PILOT INITIATIVES.			
Key Question	Data Sources	Methodology	Analysis
1: What were DaO's original intentions?	UN institutional documents: HLP report, GA, SWC and TCPR Resolutions.	Desk Review.	Problem tree analysis, assessment of relationship between intentions stated in documents and resolutions and IE evaluation criteria of efficiency, effectiveness, relevance and sustainability.
2: Why did countries volunteer and how can their intentions be related to their country circumstances?	CLEs, web sites, documents, country field missions.	Desk review, national consultation meetings; and follow up interviews and discussions.	Assessment of stated national objectives in piloting DaO, in relation to key contextual factors; such as the prior role of UN in the country and the importance of external technical and financial assistance.
3: What processes and resources have been put in place to operationalise the DaO at country, regional and global level?	UNEG Evaluability Assessments, CLEs, other DaO-related documents, country level web sites, UN systemic and regional documents and web sites, country field missions.	Desk Review, national consultation meetings; and follow up interviews and discussions.	Financial analysis of resource allocation and sources, institutional analysis, case studies, comparison of key processes and resources across pilot countries, assessment of relationship between changes of institutional processes at HQ and regional level to DaO.

TABLE 2: EVALUATION MATRIX FOR LESSONS LEARNED FROM DAO PILOT INITIATIVES.

Key Question	Data Sources	Methodology	Analysis
4: What happened at country level and how did the context influence how DaO was implemented?	CLEs, web sites, documents, country field missions.	Desk review (including reviews of evaluations and assessments of joint programmes—if available—and existing evaluations of DaO—or components thereof—from individual agencies), national consultation meetings; and follow-up interviews and discussions.	Country portfolio analysis of DaO, assessment of role and programme of UN per country before and after introduction of DaO. On the basis of desk review and national consultation meetings, develop country specific Theory of Change outlining intended causal pathways of change, assumptions upon which these were based, and potential impact drivers; assess actual progress and results compared with those predicted on basis of ToC, on the basis of analysis of relationship between key aspects of development context per country and performance and contribution of DaO. To the extent possible, DaO's contributions to development results, and specifically regarding results related to gender equality and women's empowerment, will be examined specifically.
5: What were the most significant changes (at country, regional and global levels) to which DaO contributed, including with regard to human rights and gender, recognising intended objectives; and were there any unintended consequences of DaO? How and why did these changes and consequences come about?	CLEs, web sites, documents, country field missions, visits to UN HQ and regional offices.	Desk review, national consultation meetings; and national level follow up interviews and discussions. Interviews and discussions at regional and HQ level.	Assessment of most significant changes perceived by stakeholders at each level, in comparison with those DaO contributions, which can be substantiated by documentary sources. Analysis of complementarity and divergence between perceptions and recorded changes among and between different levels and functions of stakeholder.

TABLE 2: EVALUATION MATRIX FOR LESSONS LEARNED FROM DAO PILOT INITIATIVES.

Key Question	Data Sources	Methodology	Analysis
6: In what ways has the UN system (particularly Agency HQs) supported and/or constrained DaO implementation and results—or led to unintended consequences?	CLEs, web sites, documents, country field missions, visits to UN regional and HQ level offices.	Desk review, national consultation meetings; and national level follow up interviews and discussions. Interviews and discussions at regional and HQ level.	Assessment of system response (particularly at HQ level) in relation to needs identified at country level; in order to overcome systemic constraints to innovation and maximise contribution to development outcomes.
7: What are the key lessons, based on positive contribution or challenges faced by the DaO initiatives, that can be carried forward into the future work of the UN?	CLEs, web sites, documents, country field missions, visits to UN regional and HQ level offices.	Desk review, national consultation meetings; and national level follow up interviews and discussions. Interviews and discussions at regional and HQ level.	On basis of Questions 1 to 7, assessment and presentation of main factors which have contributed to or hindered progress towards objectives at pilot country level; based on the frequency and strength with which they have emerged in the eight countries; and the extent to which they are within the control of the UN system, rather than contextual. Assessment of efficiency, effectiveness, relevance and sustainability of results and institutional processes of DaO. Derivation of lessons, which build on strengths and address challenges raised by pilot implementation of DaO, in order to maximise performance of UN system at country level in the light of the four evaluation criteria.

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

Box 1: Methods for Country Studies*

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

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

Preparation of Field Missions

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

Overall Analysis and Deriving Lessons

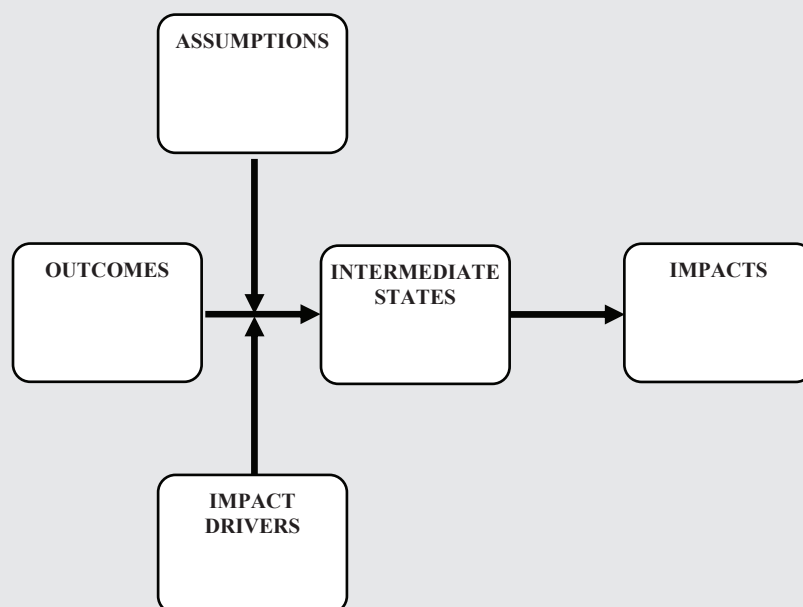
41. The overall analysis of the results of DaO and the process of deriving lessons for the UN system (including at country level) will draw upon the building blocks of analysis conducted at country, regional and global level. This interim analysis will draw upon a set of tools designed to assist in ensuring the coverage and comparability of analysis undertaken across the eight countries and between the different levels of the system. These tools will include:
 1. Country analysis template
 2. Headquarters (and regional) analysis template
 3. Financial analysis template.
42. The main directions of analysis at the different systemic levels are presented below; it is important that these should not preclude detailed analysis of additional issues, which may emerge from field missions, since the latter may also be significant to an overall evaluation of lessons learned.

Country analysis

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

²¹ See Box 1 and Box 2.

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



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

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

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

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

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

44. The following activities are part of the approach:

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

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

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

Headquarters and regional analysis

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

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

49. At regional level, the extent to which new structures and procedures have been introduced in response to the needs and requirements of the different DaO pilots will be assessed. Perceptions of the results and

challenges of DaO held by regional Management Teams will be analysed and compared to see to what extent common views and responses are emerging at this level. Additional comparative analysis will be made to assess the similarities and differences between perspectives on DaO experience looking from the country “up” the systemic ladder towards the region and vice versa.

Financial analysis

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

Overall analysis

51. On the basis of the individual country level case studies, analysis will first be made of the similarities and differences between the experiences of the eight pilots. This comparative analysis will be conducted on such aspects as:
 - the configuration of the “ones” applied
 - main results areas across the pilots
 - challenges encountered
 - stakeholder perceptions of achievements
 - other issues emerging.
52. The findings and conclusions from this work will enable an overall assessment to be made of the relevance, efficiency, effectiveness and sustainability of the pilots as a whole (including key areas of variation among them).
53. This comparative analysis will also assess the extent to which the pilots were designed to address the UN “problem tree” derived from official documentation relevant to DaO; and the manner in which they intended to do so. This in turn will enable identification of the extent to which a clearly defined “core approach” emerges from the pilots; around which optional additional elements have been developed, in order to respond to the specific context of each country.
54. On the basis of this overall analysis an understanding will be developed of the needs felt by country level stakeholders, within and outside the UN, for support from different components of the “UN system.” Furthermore, perceptions from this perspective will be assembled and assessed concerning the extent to which the “higher” institutions of the system, at regional and headquarters levels were effective and efficient in meeting these needs.
55. In parallel with this strand of the analysis, the CET will assemble and assess information and perceptions concerning the views from regional and HQ levels of any measures that they have taken both to meet the needs expressed from the pilot countries and to take their own “top down” initiatives, which might assist the pilot countries (among others).
56. Once these analytical processes have been completed, a comparison will be made of the “bottom up” and “top down” perspectives; to evaluate to what extent they coincide with or complement each other and to what extent they appear contradictory. This will provide an essential analytical approach to issues concerning how far the UN system is able to encourage and support decentralised initiatives, what are the boundaries of such initiatives in terms of management practices and, even more fundamentally, of UN governance systems.
57. On the basis of the analysis, lessons learned from the DaO initiatives and recommendations will be formulated. In accordance with the purpose of the Independent Evaluation, i.e., to inform the QCPR in late 2012, recommendations will be addressed to Member States in a manner that they are useful in the context of the negotiation among Member States on a new QCPR resolution that will provide policy guidance to operational activities for development system as from 2013.

MAIN ACTIVITIES AND IMPLEMENTATION

58. **The main set of activities of the Implementation Phase consists of a set of field missions to the eight pilot countries**, to consult with stakeholders concerning their perceptions of the processes, achievements and challenges of DaO and to finalise an understanding of what happened under DaO in each country.
59. In addition to the country-level mission, follow-up will be conducted to finalise the understanding of the systemic issues, which have been found to relate to the DaO pilots. This will take the form of additional documentary analysis, interviews in selected UN development and specialised agencies, in particular Non-resident Agencies, and pursuit of any new evaluative resources identified during the course of the study. Visits to regional offices supporting the pilot countries will be undertaken as well.
60. Moreover, additional specialist work will be undertaken to assess key dimensions of the UN financing architecture, which may be related to the implementation of the DaO pilots. This may include any changes in financing patterns in the pilot countries, notably in terms of the availability of unearmarked financial resources for development..
61. A further limited body of work will consist of contacts with UN Member States (both developed and developing countries). This will seek to obtain an understanding of perceptions among these bodies concerning the results and future of the DaO initiative and of related changes in UN practices, which may be considered related in some way to this.
62. The EMG, with support provided by the Quality Assurance Panel (QAP) and the Secretariat, will provide guidance to the CET throughout the evaluation process, e.g. through the review of instruments and protocols for data collection and analysis, the possible revision of the conceptual framework and evaluation questions following the first country visits, the formulation of emerging findings, conclusions and lessons learned and different stages of drafting the Evaluation Report.
63. The final major task of the CET during the Implementation Phase will be analysis of the evidence collected and drawing out key findings and lessons learned on the basis of this. Findings, conclusions and lessons learned will be shared with stakeholders for validation and feedback. The Evaluation Report prepared by the CET will eventually be submitted to the EMG for review and approval. The EMG will also draw on this document as part of the process of preparing its Summary Report on the evaluation to the Secretary General.
64. Detailed planning for the Implementation Phase has been initiated during the Inception Phase and will be continued during the early period of implementation, once consultancy contracts have been issued; and may be revised in the light of early field mission experiences. The indicative workplan for the Implementation Phase is shown in Annex Four.

Personnel and resources

65. Under the auspices of the Evaluation Management Group (EMG) appointed by the Secretary-General (Note A/65/737 of 15 February 2011 and Note A/65/737/Add.1 of 10 May 2011), the United Nations Department of Economic and Social Affairs (UN-DESA), mandated to provide administrative, logistical and technical support to the EMG, has contracted the services of individual consultants for
 - a four-person Core Evaluation Team composed of a) a coordinator, b) a deputy coordinator, and c) two programme evaluation specialists
 - a support team consisting of two experts in the workings of the UN system
 - an additional consultant, to undertake work with regard to UN financial trends in the context of the DaO initiatives. Separate terms of reference for this assignment will be agreed between the UNDESA and the CET and submitted to the EMG for approval
 - one or more national consultants for each pilot country, to be recruited by UNDESA on the basis of specific Terms of Reference for each national-level assignment

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

Reporting and deliverables

67. The overall analysis outlined earlier in this FTOR will be conducted by the CET members in mid to late January, largely through electronic communication. This will lead to production of a “zero draft” report for consideration of the QAP and the EMG.
68. At the same time, a succinct separate document outlining emerging findings, conclusions and lessons learned will be produced, which will benefit from substantive and managerial inputs from members of the EMG and the Secretariat. This document will be presented to a Stakeholder Meeting, which will be held with UN Agencies in New York (with video links to other centres), in principle during the second half of the month of February 2012.
69. On the basis of feedback to the zero draft and the emerging findings document, the CET will then develop a First Draft Report in New York. This period of face-to face drafting will enable the varied mission experiences and perspectives of team members to be fully reflected in discussions. This draft will be reviewed by the QAP and the EMG, feeding into which a full meeting of the EMG with the CET and the QAP, at which issues and concerns can be raised, discussed and resolved.
70. This will lead to production of a Final Draft, which will be circulated to stakeholders in the pilot countries, as well as at regional and HQ level of UN stakeholder agencies, for comments by mid-March 2012. The CET will then respond as appropriate to comments received in the production of a Final Report by the end of March 2012.

ANNOTATED OUTLINE OF FINAL REPORT

Draft, 7 October 2011

Executive Summary

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

1. Introduction

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

2. Methodology

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

3. The Delivering as One Initiative (Background)

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

3.1. The Origins of the Delivering as One Initiative

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

3.2. The Eight DaO Pilot Countries

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

3.3. Headquarters and regional level

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

4. Analysis and Findings

4.1. Design of DaO

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

4.2. Implementation of DaO

- provides part of the responses to the *key evaluation questions* no. 4 (*what happened*) and no. 6 (UN system support and constraints)
- assesses the implementation of the DaO initiative, including the four/five Ones
- explains *why* and *how* things happen/not happen (enabling and constraining factors)
- features the expected assumptions to address links within the “theory of change”
- assessment of systemic processes (e.g. Management and Accountability System)

4.3. Results of DaO

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

How the findings will be presented:

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

5. Conclusions

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

6. Lessons Learned

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

7. Recommendations (To be confirmed)

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

Annexes

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

Format of the report

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

APPENDIX ONE: PREPARATION OF FIELD MISSIONS

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

Preparation of country missions

Tasks	Responsibility
Request pilot country offices (RCOs) to send key documents prepared since the CLEs were conducted (see list of documents below)	Secretariat
Request document from Government in pilot countries: Possible Assessment of the DaO since the CLE (2010) and documents the Government finds relevant in informing the team about particularly successful and/or challenging aspects of DaO experience in the country.	Secretariat
TOR for national consultant and recruitment	Secretariat
Desk review of additional key documents produced since 2010 (after the CLE was conducted), e.g. the annual reports	CET
Based on the desk review, begin with completing the country analysis template (Country Study Report) thereby using the CLEs, and other documents, including country-specific Theory of Change.	CET
Prepare an interview plan (who should be interviewed) to be set to UNCT in the countries	CET
Prepare stakeholder consultation meeting, i.e. format, agenda, etc	CET
Prepare list of participants, book meeting room (drinks & projector), and send invitation to stakeholder meetings	CET, National Consultant & RCO
Brief national consultants	CET
Prepare a conversation guide for interviews	CET
Send conversation guide to informants	RCO
Schedule individual & group meetings	National Consultant & RCO
Logistics during mission, including possible updating meeting schedule, cars, hotel reservations, SIM card	National Consultant & RCO

Preparation for visits to Regional Offices

Tasks	Responsibility
Request regional offices (RCOs) to send key documents (see list of documents below)	Secretariat
Desk review of documents sent	CET
Based on the desk review, add regional information to the country analysis template (Country Study Report).	CET
Prepare an interview plan (who should be interviewed) to be set to Regional Offices	CET together with Secretariat
Prepare a conversation guide for regional interviews	CET
Send conversation guide to informants	Secretariat
Schedule meetings	Secretariat
Logistics (hotel reservation)	RT

Preparation for visits to Agencies' HQs

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

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

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

Documents to be requested to the Regional Offices

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

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

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

APPENDIX TWO: COUNTRY STUDY REPORT FORMAT

Country Study Report Format

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1. DaO's Original Intentions

- Problem-Solution Tree/Theory of Change from the final stakeholders' workshop inserted here. If Government and UNCT's ToCs differ, please attach both, followed by description of key areas of divergence and an analysis of differences.
- Original (Global) vs. Country Problem-Solution Tree ToC: Description and then analysis of the deviations and commonalities, if any, between Global and country ToC.

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

- UN & Other Stakeholders Describe by stakeholder group.
- UN at Regional level
- Analysis (Consider coherence between problem tree/logical framework and perceived reasons to volunteer)

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

At country level

- The Ones: Describe main features of the Ones in operationalising DaO, which ones were implemented and not, and why.
- Description of systems, other processes and resources.

At regional level

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

At global level

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

4. What happened at country level

- Data and evidence on the results of DaO activities
- Stakeholders Perception of Results of DaO (achievements, changes, unintended consequences, added-value)
 - Government perspectives
 - Other Stakeholders at country level
 - Stakeholders at Regional level

Analysis:

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

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

Add case study(s) in a box.

Contribution of DaO to Development Effectiveness

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

Add case study(s) in a box.

Contribution of DaO to the Efficiency of the UN development system

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

Add case study(s) in a box.

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

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

Add case study(s) in a box.

5. UN system support and constrain to DaO implementation.

- Agency HQs contributions and constraints to DaO implementation

- Description. Perceptions by systemic level and stakeholder groups, if perceptions are different.
- How effective/ineffective was the UN system (particular HQs) support?
- Analysis (consequences, contextual factors)

6. Key lessons

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

7. Annexes

- List of Persons Met
- Documents Consulted
- Others (e.g. One Programme Results Matrix)

APPENDIX THREE: DRAFT WORK PLAN

Independent Evaluation of Lessons Learned from Delivering as One Updated timeline and work-plan for the secretariat (2011 -2012) 29 SEPTEMBER 2011

Dates / timeframe	Activities	Deliverables	Actors
Start-up phase (January – June 2011)			
1 January	Staffing of the Secretariat	Appointment of Chief of the Secretariat	UN-DESA
January–February	Resource mobilization with OECD/DAC and non-OECD/DAC contributors to the UN development system as well as from Funds, Programmes and Specialized Agencies of the UN system	Endowed CSA trust fund	Executive Office of DSG with UN-DESA support
January–February	Compilation of basic documentation and drafting of initial notes	Concept paper, tentative timeline, draft budget and background note for the EMG	Evaluation Secretariat provided by UN-DESA
15 February	Appointment of members of the EMG	Establishment of EMG (Note of the Secretary-General A/65/737)	Executive Office of DSG with UN-DESA support
7-10 March	Meeting of the EMG in New York	Approved concept paper, timeline, budget and background note	EMG with support from Evaluation Secretariat
March–May	Staffing of the Secretariat	Appointment of the Programme Officer as from 2 June 2011	UN-DESA
March	Drafting of document on communication and decision-making for the EMG	Document approved	EMG and Secretariat
March–May	Development of Framework Terms of Reference (FTOR) and individual TOR for Core Evaluation Team (CET) and Quality Assurance Panel (QAP)	FTOR and TOR for CET and QAP during the inception phase approved by EMG	EMG with support from Evaluation Secretariat
March–June	Creation of internal website of the DaO evaluation and uploading of key documents	Internal website	Evaluation Secretariat with EMG support
May	Consultancy announcements for CET and QAP, screening of applications and short-listing	Shortlist of candidates for CET and QAP	EMG Chair and Secretariat
June	Selection of consultants for CET and QAP	Recommendation to appoint consultants for CET and QAP	EMG
Inception phase (July–September 2011)			
1 July	Appointment of consultants for CET for the inception phase	Special Service Agreements for consultants	UN-DESA
15 July	Appointment of consultants for QAP for the inception phase	Special Service Agreements for consultants	UN-DESA

Dates / timeframe	Activities	Deliverables	Actors
1-19 July	Initial document review by CET (including review of country-led evaluation reports) and preparation of draft work-plan for the inception phase	Draft work-plan for the inception phase	CET
20-26 July	Briefing of the CET and review of the work-plan for the inception phase	Finalization work-plan for the inception phase	CET
End July	Review of the CET work-plan by QAP	Work-plan for the inception phase reviewed by QAP and approved by EMG Chair and Secretariat	QAP and EMG Chair and Secretariat
End August	Draft inception report (including full review of country-led evaluation reports) presented by CET	Draft inception report and FTOR for the implementation phase	CET
1-10 September	Review of inception report by EMG, QAP and Secretariat	Written comments by QAP and Secretariat	EMG, QAP and Secretariat
September	Creation of a public website on the independent evaluation	Public website	Secretariat with guidance from EMG
12-14 September	Combined EMG/CET/QAP and Secretariat meeting in Geneva	Decision-making by EMG	EMG, CET, QAP and Secretariat
End-September	Finalization of inception report and FTOR for implementation phase	FTOR and TOR for CET and QAP approved by EMG	EMG
Implementation phase (October 2011 – March 2012)			
October-January	Data collection and analysis as well as stakeholder consultations in pilot countries	Mission reports and summary of stakeholder consultations	CET with support from Evaluation Secretariat and overall guidance by EMG
October-January	Data collection and analysis as well as stakeholder consultations at headquarters (New York, Geneva, Rome, Vienna) and at regional levels (Bangkok, Johannesburg, Panama)	Mission reports	CET with support from Evaluation Secretariat and overall guidance by EMG
January–March	Drafting of the Main Evaluation Report by CET	Document with emerging findings and draft and final report of the implementation phase	CET with guidance from EMG and support from Evaluation Secretariat and overall guidance by EMG
February–March	Stakeholder consultation on factual evidence and analysis	Factual validation and comments by stakeholders	CET with support from EMG, QAP and Evaluation Secretariat
March	Review of draft Main Evaluation Report by EMG, QAP and Secretariat	Written comments by QAP and Secretariat	EMG, QAP and Secretariat
5-7 March	Combined EMG/CET/QAP and Secretariat meeting	Decision-making by EMG	EMG, CET, QAP and Secretariat
EMG REPORT-WRITING PHASE (APRIL – MAY 2012)			
April	Stakeholder consultation (pilot countries and UN organizations) on draft Main Evaluation Report	Written comments from stakeholders	Team coordinator with support from EMG and Evaluation Secretariat
May	Finalization of Main Evaluation Report by Team Coordinator	Draft Main Evaluation Report reviewed by EMG	Team coordinator with support from EMG and Evaluation Secretariat

Dates / timeframe	Activities	Deliverables	Actors
June	Editing of Main Evaluation Report prepared by consultants to publication standards	Final version main report	Evaluation Secretariat with EMG guidance
May	Drafting of Summary Report to President of the General Assembly	Draft EMG report	EMG with Evaluation Secretariat support
4-6 June	Final EMG Meeting	Approval of EMG report and Main Evaluation Report	EMG with Evaluation Secretariat support
May-June	Finalization of Summary Report to President of General Assembly	Final EMG report	EMG with Evaluation Secretariat support
wrap-up phase (JUNE-SEPTEMBER 2012)			
June	Slotting of EMG report and publication of Main Evaluation Report	Reports slotted/published	Evaluation Secretariat
June-September	Support to Management Response by Secretary-General	Management response by Secretary-General	Executive Office of DSG with UNDG support
June-September	Preparation of technical and financial reports on the use of the CSA Trust Fund	Technical and financial reports	UN-DESA
September	End of the sixty-sixth session of the General Assembly	Final report presented to the President of the General Assembly available for QCPR debates	President of the General Assembly

Abbreviations:

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

ANNEX IV: LIST OF PERSONS MET

Albania

Government of Albania

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

Civil Society Organizations

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

Development Partners

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

United Nations System

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

International Labour Organization (ILO)

Mr. Alfred Topi, National Coordinator

Joint United Nations Programme on HIV/AIDS

Ms. Bujana Hoti, UN Coordinator

United Nations Children's Fund (UNICEF)

Mr. Detlef Palm, Representative

Ms. Vera Gavrilova, Deputy Representative

Ms. Ermira Dulaj, Officer-in-Charge, Operations

Ms. Alketa Zazo, Programme Officer

Ms. Anila Miria, Communications Officer

Ms. Mirela Lika, Administrative/Finance Assistant

United Nations Development Programme (UNDP)

Mr. Norimasa Shimomura, Country Director

Ms. Alma Mustafaraj, Operations Manager

Ms. Entela Lako, Programme Analyst

Ms. Nora Kushti, Communications Manager

Ms. Yllka Parllaku, Communications Assistant

Ms. Emira Shkurti, Project Manager, UN Joint Programme on Gender Equality and Domestic Violence

United Nations Educational, Scientific and Cultural Organization (UNESCO)

Mr. Engelbert Ruoss, Director of the Office in Venice

United Nations High Commissioner for Refugees (UNHCR)

Mr. Hortenc Balla, Head of Office

United Nations Population Fund (UNFPA)

Ms. Manuela Bello, Assistant Representative

Ms. Flora Ismali, Programme Officer

UN-Women

Ms. Semia Solange Guermas de Tapia, Country Programme Manager

Ms. Estela Bulku, National Programme Coordinator

Ms. Fiorela Shalsi, National Programme Coordinator

World Health Organization (WHO)

Mr. Vasil Miho, Head of Country Office, acting interim

Ms. Gladiola Kashari, Administrative Assistant

Cape Verde**Government of Cape Verde**

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

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

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

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

Ms. Jessica Sousa, Mayor of Praia

Mr. Cesário Varela, Mayor of Santa Cruz

Ms. Elisabete Lima, Ministry of Health

Ms. Margarida Cardoso, Ministry of Health

Mr. René Charles Sylva, National Institute of Statistics
Ms. Lisete Neves, Attorney General of the Republic
Ms. Talina Silva, Cape Verdean Institute for Gender Equality and Equity
Ms. Fernanda Marques, Commission for the Coordination and Fight against Drugs, Ministry of Justice
Mr. Carlos Manuel Barreto dos Santos, State Reform Coordination Unit
Ms. Arlinda Ramos Lopes Andrade, Cape Verde's National Association of Municipalities

Civil Society Organizations

Ms. Marilena Baesa, Cape Verdean Institute of the Child and Adolescent
Mr. Carlos Barros, Cape Verdean Foundation of Scholarly Social Action
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Ms. Le Thuy Huong, Programme Officer/Development Adviser, Embassy of Norway

Ms. Mags Gaynor, Deputy Head of Development Irish Aid, Embassy of Ireland

Mr. Katavin Vizi, First Secretary, Office for Development Cooperation, Embassy of Hungary

Ms. Joanne Pindera, Senior Analyst/Counsellor, Canadian International Development Agency, Embassy of Canada

Mr. Gabriel Baptista, Attaché, Embassy of Luxembourg, Office for Development Cooperation

Ms. Ngo Thi Quynh Hoa, Development Effectiveness and Infrastructure Sector Manager, United Kingdom Department for International Development

Ms. Le Thi Phuong Thao, Programme Coordinator, Embassy of Finland

Mr. Michael Foster, Program Office Director, United States Agency for International Development

Ms. Alexa Hough, Coordinator, Like-Minded Donor Group

United Nations System

Ms. Pratibha Mehta, UN Resident Coordinator

Mr. Francois Reybet-Degat, Head, UN Resident Coordinator's Office; UN Reform Senior Adviser

Mr. Alwin Nijholt, Results-Based Management Adviser, UN Resident Coordinator's Office

Ms. Ingrid FitzGerald, Policy Specialist, UN Resident Coordinator's Office

Ms. Nguyen Thi Nhu Nguyet, UN Coordination Analyst, UN Resident Coordinator's Office

Food and Agriculture Organization (FAO)

Ms. Yuriko Shoji, Representative

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International Labour Organization (ILO)

Ms. Rie Vejs Kjeldgaard, former Country Director (2007-2011)

Joint United Nations Programme on HIV/AIDS

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

Ms. Vladanka Andreeva, Monitoring and Evaluation Adviser

Ms. Carmen Gonzalez, Programme Officer

United Nations Children's Fund (UNICEF)

Ms. Lotta Sylwander, Representative

Mr. Jesper Morch, current Representative in Mozambique; former Representative in Viet Nam (2005-2010)

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Ms. Michele Schmit, Monitoring and Evaluation Officer

United Nations Educational, Scientific and Cultural Organization (UNESCO)

Ms. Katherine Muller-Marin, Representative

Ms. Duong Bich Hanh, National Programme Officer

United Nations Development Programme (UNDP)

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Ms. Patricia Barandun, Assistant Country Director, Head of Governance and Participation Unit

Mr. Nguyen Tien Phong, Assistant Country Director, Head of Inclusive and Equitable Growth Unit

Mr. Koos Neefjes, Policy Specialist, Climate Change

Ms. Le Le Lan, Team Leader, Monitoring and Evaluation

Mr. Vaclav Prusa, Project Monitoring and Evaluation Officer

Mr. Carl de Leeuw, Project Manager, Green One UN House

United Nations Population Fund (UNFPA)

Mr. Bruce Campbell, Representative; UN Resident Coordinator, acting interim (June-July 2011)

Ms. Mandeep O'Brien, Deputy Representative

Ms. Do Thi Thu Ha, Operations Manager

Mr. Pham Nguyen Bang, HIV and Family Planning Programme Specialist

Mr. Nguyen Xuan Hong, Monitoring and Evaluation Manager

Ms. Karin Weber, Programme Analyst

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UN-Habitat

Mr. Nguyen Quang, Country Programme Manager

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United Nations Industrial Development Organization (UNIDO)

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United Nations Office on Drugs and Crime (UNODC)

Mr. Geoffrey Monaghan, Adviser, HIV and Drug Treatment Project

Ms. Daria Hagemann, Programme Officer

United Nations Volunteers

Ms. Ruby Banez, Programme Officer

UN-Women

Ms. Suzette Mitchell, Representative

Ms. Nguyen Thi Thuy, National Programme Officer

Mr. Le Van Son, Gender and Rights-Based Approach Programme Officer

Ms. Ha Thi Quynh Anh, Programme Officer

World Health Organization (WHO)

Mr. Graham Harrison, Representative, acting interim

Mr. Sylvain Denarie, Administrative Officer

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Regional Level

Bangkok

Food and Agriculture Organization (FAO)

Mr. Man Ho So, Deputy Regional Representative

International Labour Organization (ILO)

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Mr. Wolfgang Schiefer, Chief, Regional Partnerships Office

United Nations Children's Fund (UNICEF)

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United Nations Development Programme (UNDP)

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United Nations Economic and Social Commission for Asia and the Pacific (UN-ESCAP)

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United Nations Educational, Scientific and Cultural Organization (UNESCO)

Mr. Etienne Clément, Deputy Director

United Nations Environment Programme (UNEP)

Mr. Young-Woo Park, Regional Director

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UN-Habitat

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United Nations Office for Project Services (UNOPS)

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United Nations Population Fund (UNFPA)

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UN-Women

Ms. Shoko Ishikawa, Regional Programme Manager

World Health Organization (WHO)

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Mr. Khalilur Rahman, Co-Coordinator with ESCAP

Panama

Office of the United Nations High Commissioner for Human Rights (UN-HCHR)

Mr. Francesco Notti, Deputy Regional Director

United Nations Development Programme (UNDP)

Mr. Heraldo Muñoz, UNG Chair, Latin America and the Caribbean

United Nations Economic Commission for Latin America and the Caribbean (UN-ECLAC)

Ms. Alicia Bárcena, Executive Secretary

United Nations Educational, Scientific and Cultural Organization (UNESCO)

Mr. Jorge Sequeira, Regional Director

United Nations Environment Programme (UNEP)

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United Nations Population Fund (UNFPA)

Ms. Marcela Suazo, Regional Director

Geneva—Regional Level

United Nations Economic Commission for Europe (UN-ECE)

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Joint United Nations Programme on HIV/AIDS

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United Nations Conference on Trade and Development (UNCTAD)

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United Nations High Commissioner for Refugees (UNHCR)

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World Health Organization (WHO)

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United Nations Educational, Scientific and Cultural Organization (UNESCO)

Mr. Hans d'Orville, Assistant Director-General for Strategic Planning; undg Vice-Chair
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New York

Permanent Missions to the United Nations

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Mr. Larbi Djacta, Counsellor, Permanent Mission of Algeria

Australia

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Austria

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Belgium

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Mr. Pierre Charlier, Counsellor, Permanent Mission of Belgium

People's Republic of China

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New Zealand

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United Nations system

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Mr. Amr Nour, Director of Regional Commissions

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Mr. Babacar Cisse, Deputy Assistant Administrator and Deputy Regional Director, UNDP Regional Bureau for Africa
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Mr. Luyaku Loko Nsimpati, Country Programme Manager, West and Central Africa Division

Mr. Claus Reiner, Rwanda Country Office

Ms. Atsuko Toda, Viet Nam Country Office

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World Food Programme (WFP)

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International Atomic Energy Agency (IAEA)

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Mr. Kwaku Aning, Deputy Director General, Department of Technical Cooperation

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Mr. Oscar Acuña, Section Head, Division for Asia, Department of Technical Cooperation
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United Nations Office on Drugs and Crime (UNODC)

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Mr. Stefano Polacco, Chief, Programme Support and Oversight Unit, Division for Operations

United Nations Industrial Development Organization (UNIDO)

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Ms. Margareta de Goys, Director, Evaluation Group
Mr. Klaus Billand, Senior Coordinator for UN System Coherence
Mr. Victor C. Diwandja Djemba, International Consultant

ANNEX V: DOCUMENTS CONSULTED

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

Legislative

2005 World Summit and follow-up

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System-wide coherence

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E/2005/7 of 20 July 2005 on progress in the implementation of A/59/250 on the triennial comprehensive policy review of operational activities for development of the UN system.

E/2006/14 of 26 July 2006 on progress in the implementation of A/59/250 on the triennial comprehensive policy review of operational activities for development of the UN system.

E/2008/2 of 18 July 2008 on progress in the implementation of A/59/250 on the triennial comprehensive policy review of operational activities for development of the UN system.

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Other documents

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

Report of the Secretary-General on a comprehensive proposal for the composite entity for gender equality and the empowerment of women, 6 January 2010 (A/64/588).

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Note of the Secretary-General on the High-Level Panel report on Delivering as One, 20 November 2006 (A/61/583).

Report of the Secretary-General on recommendations of the High-level Panel in the areas of development, humanitarian assistance and the environment, 3 April 2007 (A/61/836).

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Annual overview report of the Chief Executives Board on coordination for 2005/06, 12 May 2006 (E/2006/66).

Annual overview report of the Chief Executives Board on coordination for 2006/07, 24 May 2007 (E/2007/69).

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Report of the High-Level Committee on Programmes, 15th session, 11 April 2008 (CEB/2008/4)

Joint Inspection Unit

"Oversight Lacunae in the United Nations System", 2006 (JIU/REP/2006/2).

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Substantive reports from UN-DESA

Intended to report on the implementation of the 2007 triennial comprehensive policy review

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Report of the Secretary-General on comprehensive statistical analysis of the financing of operational activities of the United Nations system: 2006 update, 7 September 2007 (A/62/326).

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Report of the Secretary-General on results achieved and measures and processes implemented in follow-up to General Assembly resolution 62/208 on the triennial comprehensive policy review of operational activities for development of the UN system, 19 May 2010 (E/2010/70).

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Report of the Secretary-General on analysis of funding for operational activities for development of the United Nations system for 2009, 6 May 2011 (E/2011/107).

Report of the Secretary-General on results achieved and measures and processes implemented in follow-up to General Assembly resolution 62/208 on the triennial comprehensive policy review of operational activities for development of the UN system, 9 May 2011 (E/2011/112).

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Documents that have been relevant for Delivering as One

United Nations Development Group (UNDG)

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

INDEPENDENT EVALUATION OF LESSONS LEARNED FROM DELIVERING AS ONE

Questionnaire Covering Issues Related to Funding and Business Practices

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

The questionnaire consists of the following five sections:

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

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

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

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

SECTION I

Funding of UN Programme Expenditures and New Funding Instruments

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

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

2. How did the new funding instruments (i.e., One Fund and Expanded Funding Window) perform in terms of funding allocations and replenishment of funding?
 - a) Did the criteria for fund allocation perform as expected?
 - b) Was there need for adjustment of criteria, procedures and processes (what kinds of adjustments were made, and what were the causes for these needed adjustments)?
 - c) Have there been unforeseen dynamics, results or effects from the new funding instruments and related resource allocation mechanisms?
3. Please comment on any operational issues encountered in relation to the management of the One Fund and the Expanded Funding Window:
 - a) Were programmes under One Fund and Expanded Funding Window approved as planned?
 - b) Was funding received and allocated to participating agencies in time to implement as planned?
 - c) Were there delays or difficulties in implementing agreed workplans of programmes under the One Fund and Expanded Funding Window, and what caused them?
 - d) Have there been delays or difficulties in submitting progress and expenditure reports?
 - e) Have there been any other difficulties or issues regarding funding of operations?
4. When the new UNDAF was prepared (UNDAF = One Programme and non-One Programme), how much of the One Programme and the non-One Programme were funded from core and non-core resources, respectively, when the UNDAF was officially approved/presented, and how is the actual funding situation by end 2010?

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

SECTION II

Statistical Information on Programme Delivery

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

- A. ODA flows to pilot countries (Excel attachment, row 1)
 5. Please refer to attachment 1 Section A and provide information on the ODA flows to your country of assignment, using official government data.
- B. Total annual UN programme expenditures in your country of assignment (Excel attachment rows 3-5)
 6. Please provide information on actual and officially reported UN programme expenditures provided to your country of assignment by the UN system, separately for development, humanitarian assistance and other (if other, it should be specified). This information should include expenditures by resident and non-resident agencies to the extent available.
- C. Total annual UN expenditures for development in your country of assignment by programme and funding source (UNDAF) (Excel attachment rows 6-23)
 7. Please provide information on UN annual expenditures for development separated by core and non-core funding. The assumption in this presentation is that the UNDAF equals the sum of non-One Programme and One Programme activities.

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

- D. Total annual UN expenditures for development in your country of assignment by execution modality, of which (Excel attachment rows 24-30)
 8. Please indicate the total UN expenditures for development that have been executed through and not through joint programmes within and outside the Delivering as One modality.

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

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

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

SECTION III

Coordination with Other Forms of External Funding

(e.g., aid provided by OECD/DAC, South-South cooperation, global funds, etc.)

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

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

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

SECTION IV

Business Process Harmonization and Transaction Costs

- A. Contribution of the new funding mechanism introduced within the framework of Delivering as One to streamlining and harmonization of business processes and reduction of transaction costs
 11. Please identify and describe briefly the business processes/practices relating to programming, budgeting, funding and reporting concerned (including the date of introduction of change) that were abolished, streamlined or harmonized as a result of the new funding mechanisms (One Fund, Expanded Funding Window).
 12. Which business processes/practices that prevailed prior to Delivering as One and that are still practiced are superfluous and redundant, and what impedes their abolishment?

13. Did all the workload and cost reductions that were envisaged as a result of the new funding mechanisms (please state the original expectations) materialize as envisaged, or did they increase or remain the same (please comment only for the period of full operation of these new funding mechanisms and not for the period when they were developed)?

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

14. What share of UNDAF-related expenditures is disbursed using national systems, and is there a difference between One Programme and Non-One Programme related expenditures?

- Which agencies are using harmonized approaches to cash transfers, and are there deviations from the UNDG prescribed model?
- How has your UN country team defined alignment with national systems, and have related negotiations been initiated or concluded?
- Which agencies have their business practices aligned with or are using national systems and in what areas?

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

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

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

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

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

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

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

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

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

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

Review of Business Process Mapping				
Business process mapped	Cost without change	Cost after change	Expected savings in US\$ or workload from introduction of revised business process	Total expected savings per year for UN country team programme expenditures

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

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

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

SECTION V

Statistical Information on Operational Support to UN Programme Delivery

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

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

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

19. Please provide for all organizations/agencies that are part of the UN country team the number of posts established in support of the UNDAF/UNDAP (One Programme and non-One Programme). Please include all posts that are funded from core/non-core and agency budgets or separate trust funds, and indicate, in case of a variety of funding sources, the nature of funding through footnotes for each year. Please distinguish between international and national professional positions as well as general service positions.²⁶

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

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

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

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

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

Please include in this figure the expenditures for all those posts that are funded from core/non-core and agency budgets or separate trust funds, and indicate, in case of a variety of funding sources, the nature of funding through footnotes for each year. Please distinguish between expenditures for international and national professional positions as well as general service positions, and provide the US\$ values (actual or estimates) or "other non-staff human resources"²⁷ and other "non-staff allocations"²⁸ (could be estimated or calculated as residual figures).

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

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

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

²⁶ In case posts were established only for fractions of a calendar year, please indicate the fraction (3 months, 3/12, etc.).

²⁷ Expenditures for consultants, Special (Personal) Service Agreements etc. that have been providing support but for whom no posts were established, and which therefore would not show up in the statistics on posts.

²⁸ Expenditures for petrol, communications, office materials, etc. can be estimated or calculated as residual.

APPENDIX : STATISTICAL SURVEY OF UN EXPENDITURE

INDEPENDENT EVALUATION OF LESSONS LEARNED FROM DELIVERING AS ONE (DaO)									
Statistical data related to SECTION II (see also questions 11-15 in Word Document)									
Please provide the following information on expenditures in your country (in USD 000)									
Type of information	No of Row	Calculated Rows	Source	2006	2007	2008	2009	2010	2011
A. Total ODA Flow to your country of assignment	1		RCO/ Government						
B. Total annual UN programme expenditures in your country of assignment	2	=2+3+4	RCO						
Development	3		RCO						
Humanitarian Assistance	4		RCO						
Other (please specify)	5		RCO						
C. Total annual UN expenditures for development in your country of assignment by programme and funding source (UNDAF)	6	=7+16							
Non-One Programme	7	=8+1							
Core Funding	8	=9+10+11							
Funds and Programme	9		RCO						
Resident Specialized Agencies including NRAs with local officers	10		RCO						
NRAs	11		RCO						
Non-Core Funding of Non-One Programme Activities	12	=13+14+15							
MDGF	13		RCO						
Other funding sources (e.g. IFIs, INGOs, Foundations, private sector, others, provided information is available. If not available please indicate)	14		RCO						
Self-supporting contributions (Funded by Government)	15		RCO						

INDEPENDENT EVALUATION OF LESSONS LEARNED FROM DELIVERING AS ONE (DaO)									
Statistical data related to SECTION II (see also questions 11-15 in Word Document)									
Please provide the following information on expenditures in your country (in USD 000)									
Type of information	No of Row	Calculated Rows	Source	2006	2007	2008	2009	2010	2011
One Programme	16	=17+20							
Core Funding	17	=18+19							
Funds and Programmes	18		RCO						
Specialized Agencies	19		RCO						
Non-Core Funding	20	=21+22+23							
One Fund mobilized through headquarters	21		RCO						
One Fund mobilized through RC	22		RCO						
One Fund supported by EFW	23		RCO						
D. Total annual UN expenditures for development in your country of assignment by execution modality, of which	24	=25+28							
Non-One Programme	25	=26+27							
Execution not through Joint Programme	26		RCO						
Execution through Joint Programmes Outside One Fund (=MDGF)	27		RCO						
One Programme	28	=29+30							
Execution through Joint Programmes Within One Fund	29		RCO						
Other execution modalities if any	30		RCO						
E. Total annual UN expenditures for development in your country of assignment by degree of earmarking, of which	31	=6+32+36							

INDEPENDENT EVALUATION OF LESSONS LEARNED FROM DELIVERING AS ONE (DaO)									
Statistical data related to SECTION II (see also questions 11-15 in Word Document)									
Please provide the following information on expenditures in your country (in USD 000)									
Type of information	No of Row	Calculated Rows	Source	2006	2007	2008	2009	2010	2011
Core Funding	32	=33+34							
Non One Programme (unearmarked)	33	=8							
One Programme (unearmarked)	34	=17							
	35								
Non-Core Funding	36	=37+40							
Non One Programme	37	=12=45+46							
Earmarked by donor	38		RCO						
Unearmarked	39		RCO						
One Programme	40	=16=41+42							
Earmarked by donor	41		RCO						
Unearmarked	42		RCO						
								0	
In case that the required data cannot be provided, please indicate in each case and provide the reasons for this (examples could be that the type of requested information has never been compiled, that compilation of data has been attempted but has been abandoned, that the data is only available as from a certain date, that the data exists but too time-consuming to compile, etc.)									

ANNEX VII: COUNTRY INFORMATION SHEETS

Country Information Sheets

Introduction

Albania

Cape Verde

Mozambique

Pakistan

Rwanda

United Republic of Tanzania

Uruguay

Viet Nam

Introduction

1. One part of the independent evaluation of Delivering as One was a written survey covering funding and business processes. This survey²⁹ was launched between December 2011 and January 2012. It was addressed to the resident coordinator offices to provide information on the activities of the entire UN country team in relation to the UNDAF and the new funding instruments introduced by Delivering as One. It covered:
 - Funding of UN programme expenditure and new funding instruments;
 - Statistical information on programme delivery;
 - Coordination with other forms of external funding (e.g., aid provided by OECD-DAC, South-South cooperation, global funds, etc.);
 - Business process harmonization and transaction costs; and
 - Statistical information on operational support to UN programme delivery.
2. The resident coordinator offices were invited to highlight differences in views between funds and programmes, specialized organizations and non-resident organizations, if they existed. In questions relating to national authorities, differences in views between central coordinating authorities and line ministries should be mentioned, if they exist and are relevant.
3. Responses from the resident coordinator offices were consolidated in the following country information sheets, and supplemented by information extracted from various documents prepared by the UN country teams and resident coordinators, such as One Programme documents, annual progress reports and the country-led evaluations. Funding information was extracted from the Multi-Partner Trust Fund Office GATEWAY, and aid information was derived from OECD-DAC statistics where appropriate. This information was further supported by information collected by the evaluation teams during field visits, without going into evaluative approaches. All resident coordinator offices were consulted on various drafts. They reviewed and endorsed the country information sheets.
4. Preparation of the sheets encountered the following limitations:

²⁹ The questionnaire is included in Annex VI

- a) Funding and expenditure information regarding the One Fund is consistently available to the resident coordinator offices and through the Multi-Partner Trust Fund Office GATEWAY. For funding and expenditure information on UN country team activities outside the One Fund framework, resident coordinator offices had to consult the members of the UN country team and compile the information manually. Judging from the feedback, this information was not provided in all cases. Further, as UN country team members' funding and expenditure information, outside the One Fund, would follow organization-specific standards, the information provided did not always coincide with what was available to the resident coordinator offices as information on UN assistance for the country concerned. Not all resident coordinator offices were therefore in a position to provide consolidated funding and expenditure information on UN assistance, and attempts to relate One Fund performance to overall UN country team performance under core and non-core funding therefore had to be abandoned as not feasible within the timeframe available. For this reason, Table 3 in the country information sheets is particularly incomplete and inconsistent, but reflects the information provided by the resident coordinator offices for the survey.
- b) Regarding information on staffing and the costs of human resources for UN country teams, a similar constraint was encountered. Most of the resident coordinator offices were not in a position to provide complete time-series for the period 2006-2010/11 on staffing in their offices, or UN organization country offices. In at least one case, organization-specific information was considered confidential. For this reason, any analysis of changing staffing patterns in the country offices to support the One Programme, and to assess whether the One Programme resulted in a change of staffing patterns and cost of human resources, had to be abandoned as not feasible. The results shown in Table 4 in each country information sheet are incomplete and inconsistent, reflecting information provided in response to the survey.
- c) Approaches to the preparation of common budgetary frameworks also differed. The main issue was that after the initial preparation of a One Budgetary Framework for the One Programme, several resident coordinator offices and UN country teams abandoned the initial presentation as a benchmark. Instead, they prepared annual budgetary frameworks along the model of the annual work plans prepared by funds and programmes for country programme action plans. The main progress was that these annual work plans were now prepared for the entire One Programme, rather than only for one organization. But as funding requirements were calculated every year, they could not be used to assess success in resource mobilization for the One Fund against an established funding gap. The use of annual frameworks made funding requirements and funding gaps a moving target, as organizations continued to mobilize core and non-core resources.
- d) Several of the resident coordinator offices that contributed to the completion of the survey had not been dealing with Delivering as One since its beginning. Their approach to information was in several cases driven more by their knowledge of the situation today than by a perspective of Delivering as One since its inception. This absence of institutional memory required several verification steps when there were inconsistencies between the information available in official reports and the current knowledge of the situation. This fact may also be responsible for some inconsistencies in presentation in the country information sheets.
- e) Information in the Multi-Partner Trust Fund Office GATEWAY is real-time for the funding situation, but information on expenditure relies on organizational contributions fed into the GATEWAY annually. This makes comparing funding with expenditure meaningful only when the expenditure information for the One Fund has been updated, i.e., around April every year. During the preparation of the country information sheets, funding information was available up to the time of preparing the report, February 2012. Expenditure information was only available up to 2010. Comparing February 2012 funding and end-2010 expenditure information for a programme that was truly operational only for two to three years did not seem to make sense, particularly be-

cause 2011 was a critical year for most UN country teams—they were preparing new UNDAFs that would in most cases follow the One Programme format.

5. All the resident coordinator office and UN country team staff who contributed to the survey and the subsequent dialogue did so with considerable dedication and a high sense of purpose, sometimes responding at midnight at their local time. Flaws and gaps in the information are therefore the result of systemic constraints, and in one case also due to adverse events. In one country, all relevant data were lost due to floods. In another country, the team was totally taken up by an audit.
6. Based on the experience with this survey, there clearly is a need to establish one common management information system at country level. Such a system would need to be based on commonly agreed standards and definitions, and consistent with corporate enterprise resource planning, so that retrieving and consolidating funding and expenditure information as well as other operational information relating to the activities of the members of the UN country team is feasible without major cost or delays. This would enable the resident coordinator and the team to know their past, current and future resource and expenditure situation, provide for required transparency within the team and for other stakeholders (e.g., governments and donors where appropriate) and foster conditions for better management and enhanced accountability.
7. The country information sheets all follow the same structure and have the same tables on funding and expenditure to allow some cross-country comparison (at the end of the country sections). As not all required information was available from all UN country teams at the desired level, there is some unevenness in presentation.

³⁰ In some pilot countries, it was not possible to obtain all the relevant information. One or more tables may therefore be missing in certain cases.

1. Implementation of the Ones
2. Overall management of Delivering as One
3. Funding modalities within the framework of Delivering as One
 - Common Budgetary Framework
 - One Fund
4. Programming and funding mechanisms—governance and resource allocation
 - Governance of the One Fund mechanism
 - Resource allocation criteria and fund performance
5. Highlights
 - Related to the One Programme, including joint programming
 - Related to the funding situation
6. Business process harmonization
7. Use of national systems by UN organizations within the framework of Delivering as One
8. Transaction costs for national partners, donors and the UN country team
9. Cost of coordination

Statistical tables relating to the funding situation (at the end of each country section)³⁰:

Table 1: Deposits by donors to the One Fund in US\$ (millions), 2007-2011

Table 2: Transfer of funds from the One Fund to UN organizations, and actual expenditure in US\$ (millions), end 2011

Table 3: Source of funding of UN development expenditure

Table 4: Source of funding of UN development expenditure and staffing, and cost of supporting the One Programme

Albania³¹

1. Implementation of the Ones

1. Albania's achievement of middle-income country status has made it a lower priority for development assistance. Its own priority to accede to the European Union drives the direction and nature of UN system support, which complements assistance provided by other multilateral and bilateral development partners. The country's ODA was US\$1,453 million for 2007-2010.³² Total UN assistance for the same period was US\$79 million. Annual UN assistance increased from US\$16.3 million in 2007 to US\$26.9 million in 2010, for an average of 5.5 per cent of ODA commitments. Humanitarian assistance was negligible, below US\$600,000 per year.³³

In US\$ (millions)			
	Total annual UN programme expenditure	ODA	Total annual UN programme expenditure/ODA, %

³¹ The analysis is based on statistical data provided by the UN resident coordinator office.

³² Source: ODA commitments as per official government sources on ODA 2006-2011 (provided by the Ministry of Plan Implementation in January 2012).

³³ Figures as reported by UNHCR in Albania.

2007	16.3	325	5
2008	15.9	378	4
2009	20.1	378	5
2010	26.9	372	7
Total 2007-2010	79.2	1,453	5.5

2. Delivering as One in Albania is implemented through One Programme, One Budgetary Framework, One Leader and One House. The main stakeholders are the government Department of Strategy and Donor Coordination, within the Council of Ministers; line ministries; UN organizations; donors and civil society organizations.
3. The first One Programme ran from 2007-2010, with an extension to 2011. It was a retrofitting of the 2006-2010 programmes of cooperation where they existed (e.g., for UNDP, UNICEF and UNFPA). Country programme action plans (or other bilateral programme agreements between organizations and the Government) had been prepared in close consultation with the Government, to help meet national development goals. The first One Programme built on the priorities of the UNDAF, with five programme areas: governance, enabling increased participation in policy-making, improving access to basic services, reducing internal disparities in the country and supporting environmentally sustainable development. The cross-cutting “core principles” of gender equality and development of national capacity were to be incorporated in all programme areas.
4. The second One Programme will run from 2012 to 2016. It involves 19 UN organizations and the IOM. The Government-UN Programme of Cooperation 2012-2016 aims to “to promote sustainable and equitable development, social inclusion and the adherence to international norms and fulfilment of international obligations, in support of the integration of Albania into the EU”. It has four programme areas: governance and rule of law, economy and environment, regional and local development, and inclusive social policy.
5. The One Budgetary Framework is intended to allow joint resource mobilization and to track resources. It presents the agreed costed results of the programme, outlining the core funds and additional multi- and bilateral contributions, and identifying funding gaps for which additional resources will be sought.³⁴ An important means of meeting funding gaps is the One UN Coherence Fund. This encourages donors to commit non-earmarked, multi-year funding, and aims to:
 - Streamline, simplify, harmonize and ensure the predictability of resource flows; and
 - Ensure that priority areas of the One UN Programme are funded.
6. Overall management of Delivering as One is provided by the One Leader (resident coordinator), who provides strategic leadership, brings together relevant analytical capacities, and develops synergies among the various UN assets and mandates. Organizations confirmed that the resident coordinator is seen as an effective leader of the country team, and has played a positive role in nurturing and preserving overall cohesion and enthusiasm.
7. The initial plan for a One House was not realized largely due to financial constraints. A smaller One House is planned with the participation of most but not all UN organizations in Tirana.

2. Overall management of Delivering as One

8. A Joint Executive Committee involving the Government and the UN system ensures ongoing management and coordination of the One UN Programme. It is co-chaired by the director of the Department

³⁴ For the old 2007-2011 programme, budget figures were taken from existing country programme action plans and compiled under the One UN Budget Framework. For the 2012 programme, all agencies provided their projected financial contributions.

of Strategy and Donor Coordination, within the Council of Ministers, and the UN resident coordinator. Together with participating organizations, they decide on One UN Coherence Fund allocations.

9. Management processes are implemented by the UN country team, which is composed of 14 organizations. Seven are resident in Albania: UNDP, UNV, UNFPA, UNHCR, UNICEF, UN Women and WHO. There are seven non-resident organizations: FAO, IFAD, ILO, UNEP, UNESCO, UNIDO and UNAIDS. Guidance for interaction is provided by working principles agreed by the UN country and by the global Management and Accountability Framework agreed by the UNDG. The UN country team is supported by inter-agency advisory bodies, including:
 - The Operations Management Team;
 - The Communications Team;
 - The Monitoring and Evaluation Group;
 - The programme working groups;
 - The Gender Working Group;
 - The HIV/AIDS Theme Group; and
 - The Results-Based Management Advisory Committee (as of the new programme cycle).
10. The Operations Management Team aims to introduce business simplification and a harmonized approach to reduce transaction costs. It is very active in many areas and has demonstrated a readiness to achieve even higher level milestones, including:
 - Progress in common services (e.g., joint procurement, long-term agreements);
 - Savings (economies of scale, e.g., IT, fuel, communications, event management, etc.);
 - Efforts to measure intangibles (e.g., reduction in staff time due to joint procurement); and
 - Access to higher quality services at no additional costs.
11. The Communications Team was set up in the early stages of the first One UN Programme. It played a key role in fostering joint communication on the results achieved under the programme and on the Delivering as One experience.³⁵
12. Programme working groups were established for the first One Programme with a lead organization for each of the five pillars of the One UN Programme. Each contributed to the One UN annual work plan, allowing the UN team and the Government to see the overall programme implementation plan for the year in a transparent and clear manner, while ensuring that group leaders and the UN country team had a monitoring tool. The groups proved to be less effective as an additional management layer. Following their abolition, under the Programme of Cooperation 2012-2016, the groups have been replaced by Outcome Coordinators, who are members of a Results-Based Management Advisory Committee.
13. The Monitoring and Evaluation Working Group leads the development of the One Programme results framework and supporting framework for tracking progress of the reform process. It is also responsible for overseeing the monitoring and evaluation of the Delivering as One UN Programme, both in terms of the programme results delivered and progress in UN reform. It advises and guides the UN country teams and programmes in the monitoring and tracking processes required under the One UN monitoring and evaluation framework.

3. Funding modalities within the framework of Delivering as One

Common Budgetary Framework

14. The Common Budgetary Framework is updated annually, which means that requirements for implementing the outcomes of the One Programme are assessed annually, and compared with available

³⁵ In the second programme cycle, building on the above, the Communications Team aimed to influence thinking and behaviour. The upcoming Communication Strategy 2012-2016 will be prepared to reflect four components: external communication on results, advocacy, internal communication and capacity development.

resources from core and non-core funding, including the One UN Coherence Fund. The resulting funding gap is calculated annually; it can be resourced through core or non-core funds, including the One UN Coherence Fund.

One Fund

15. There has been an overlap between the One Programme and the UNDAF (2006-2010) because of the timeframe of the One Programme (2007-2011). The terms One Budget, One Budgetary Framework and One Programme were used synonymously. The One Programme was funded by various core and non-core sources of funding, and during 2007-2011, it covered approximately 85 per cent of the UN's work in Albania, bringing together 14 participating organizations.
16. Non-core funding constituted the main funding instrument for the One Programme; it has comprised the One UN Coherence Fund, the Extended Funding Window and direct project funding and other non-core funding. The One Fund, under which the Expanded Funding Window falls, is the main contributor. During 2007-2011, non-core funding³⁶ represented about 85 per cent of total funding.

Ratio of non-core annual total funding in US\$ (millions)				
Year	Non-core funding (A)	Core funding (B)	Total funding (A+B)	Ratio A/(A+B), %
2007	9.2	2.7	11.9	77
2008	12.3	2.4	14.7	84
2009	15.2	2.5	17.7	86
2010	20.8	2.3	23.1	90
2011	18.8	3.1	21.9	86
2007-2010	76.3	13.0	89.3	85

17. The One UN Coherence Fund, later supported by the Expanded Funding Window, was established in late 2007 to provide a mechanism through which development partners could channel unearmarked contributions to a single pooled fund, without the necessity of dealing with each UN organization separately. In 2011, the Fund contributed approximately 22 per cent of total programmable funds for the One Programme, compared to 27 per cent in 2010, 31 per cent in 2009 and 24 per cent in 2008. For the period 2007-2011, the fund contributed an average of 25 per cent of total programme funding.
18. In accordance with aid harmonization principles, the multi-year unearmarked funding provided by donors to the One UN Programme, through the One UN Coherence Fund, has been allocated to support the achievement of national priorities. Decisions on fund allocations have been taken by the Joint Executive Committee, which increased the level of government ownership.

4. Programming and funding mechanisms—governance and resource allocation

Governance of the One Fund mechanism

19. The following mechanisms have been set up in Albania to govern Delivering as One:
 - The Government Modernization Committee, chaired by the Minister of Innovation and Information and Communication Technology, comprises all relevant line ministers. The Government's highest-level policy, coordination and decision-making authority for the One UN Programme, it determines strategic priorities, monitors progress on an annual basis, and ensures coordination of the One UN Programme with other inter-ministerial and cross-sectoral policies and priorities.

³⁶ Data provided for 2011 are based on a mid-term budgetary framework review.

- The Joint Executive Committee is co-chaired by the director of the Department of Strategy and Donor Coordination of the Council of Ministers and the UN resident coordinator. It includes the heads of participating UN organizations. The committee endorses programme annual work plans, reviews and approves funding priorities, prioritizes and approves the allocation of resources mobilized through the One UN Coherence Fund, and oversees the fund's management and operations. In case a consensus cannot be reached, the resident coordinator makes the final decision.
- Government inter-ministerial working groups, comprising line ministries at the secretary-general level, support the Government Modernization Committee and Joint Executive Committee with technical advice on subjects falling within the scope of the programme.
- Programme working groups have been responsible for supporting the implementation and achievements of the One UN Programme. Five groups were established, with one lead organization for each of the five pillars of the One UN Programme. They monitored the overall implementation of their pillar and reported back to the UN resident coordinator and UN country team on progress, with reports as well to the Joint Executive Committee. They coordinated among each other and with cross-cutting working groups on gender and HIV/AIDS, as well as with national sector working groups to provide optimal support within the programme and avoid duplication with other international partners
- The UN country team, chaired by the resident coordinator, functions in a collegial and participatory manner. It engages in dialogue on reform and development priorities, and has designated substantive leadership to organizations for each of the One UN Programme outcome and thematic areas.
- The UN resident coordinator provides strategic leadership and coordination throughout the programming process as the One UN Leader, as a member of the Joint Executive Committee and jointly with the Government.

Resource allocation criteria and fund performance

20. The pooled funding approach provided a clear incentive for improved performance, due to a competitive process³⁷ governing the submission of funding requests and the application of performance-based allocation criteria for the One UN Coherence Fund.
21. During the first programme cycle from 2007-2011, there was no need to adjust the allocation criteria of the One UN Coherence Fund. For the second programme cycle from 2012-2016, the UN country team introduced strengthened performance-based allocation criteria governed by three key principles:³⁸
 - *Eligibility*: This criterion involves contributions to the results of the Government-UN Programme of Cooperation 2012-2016, demonstrated capacity to deliver results in the given time period, delivering as one and aid effectiveness.
 - *Performance*: This criterion has been designed to provide important information on the status of indicators, annual targets, the implementation rate (activities and resources), and national ownership.
 - *Exceptional priority*: This category reflects on evolving contexts, including evolving national priorities, and the time sensitivity of certain activities.

³⁷ UNICEF stated: "While performance was a criterion for fund allocation from the coherence funds, it was never applied. Even though, the paragraph states that proposals were made on a competitive basis, while the evaluation asserts that the coherence fund removed competition. In UNICEF's view, a competition based on merit and relevance of proposals as discussed with donors, or based on agency performance was replaced by an unhealthy internal competition between agencies within the UN (country team)."

³⁸ UNICEF also noted: "(I)n the first allocation meeting of 2012, the allocation criteria and process suggested for the new cycle was disregarded in their entirety. The argument that the available amounts in the Coherence Fund are small (and hence the criteria cannot be applied) carry no weight, as the size of CF was no consideration in the design of the guidelines. In contrast, if the Coherence Fund has sufficient funds to fund almost everything, we would not need criteria."

5. Highlights

Related to the One Programme, including joint programming³⁹

22. For programmes related to the MDG-F, the joint programme modality was mandatory.⁴⁰ For activities funded from the One UN Coherence Fund,⁴¹ the modality was optional. Joint programmes under the One Programme were both optional and mandatory.

Related to the funding situation^{42 43}

23. The total funding of the One Programme for 2007-2011 and available funds for the first year of the Government-UN Programme of Cooperation 2012-2016 (mainly unearmarked funding) from the One UN Coherence Fund for the period from 2007 to early 2012 amounts to US\$27 million. As shown in the table below, Austria, Finland, the Netherlands, Norway, Spain, Sweden, Switzerland and the European Commission have contributed resources to the fund. The Netherlands “soft” earmarked 7.7 per cent of One UN Coherence Fund resources to the areas of gender (2008) and the environment (2009). In 2011, the Government of Sweden provided soft-earmarked funding to the One UN Coherence Fund of US\$2.9 million for the years 2011 and 2012, under the new programme cycle.⁴⁴

³⁹ The second generation Delivering as One programme—the Government-UN Programme of Cooperation 2012-2016—supersedes joint UN programmes and UN-supported initiatives, offering a single, coherent plan for all UN organizations, in which each is responsible for delivery on a set of key actions that jointly contribute to shared results. The results framework defines outcomes and outputs; management arrangements are organized around these. The annual work plans combine the inputs of all UN organizations. Output working groups are the technical committees with roles and responsibilities directly related to the achievement of a specific output. Members are representatives from relevant implementing partners, contributing UN organizations and other partners that implement (part of) the annual work plans. The groups are responsible for the joint coordination and design of relevant activities included in joint annual work plans, and the monitoring and reporting of the respective plans.

⁴⁰ They were: culture and development, nutrition, economic governance, and youth, employment and migration.

⁴¹ For example, the Gender Joint Programme (financed entirely by the One UN Coherence Fund) has been optional (UN implementing organizations were UNDP, UN Women, UNFPA and UNICEF).

⁴² The data upon which this analysis relies have been provided by the resident coordinator office, which collected and consolidated the information from individual organizations in Albania.

⁴³ For details, see Table 1 at the end of the information sheet.

⁴⁴ There were differences in the reporting requirements: The Netherlands never asked for a specific report, and did not pick specific outputs. Sweden tied its contribution to specific outputs.

Contributor/partner	Contributions to the One UN Coherence Fund 2007-2011 in US\$						
	2007	2008	2009	2010	2011	2012	2007-2012
AUSTRIA, Government of		387,675	296,500	276,400	254,162		1,214,737
EUROPEAN UNION			3,011,951	446,705		17,434	3,476,090
Expanded Funding Window			1,070,000	2,243,000	295,000		3,608,000
FINLAND, Government of					394,240		394,240
NETHERLANDS, Government of		507,600	1,858,260	1,479,840			3,845,700
NORWAY, Government of	1,081,276	1,414,227		842,886			3,338,389
SPAIN, Government of	1,000,000	1,000,000	2,000,000				4,000,000
SWEDISH INTERNATIONAL DEVELOPMENT COOPERATION			1,380,100	1,345,400	1,440,300	1,446,969	5,612,769
SWISS AGENCY FOR DEVELOPMENT AND COOPERATION	285,363		873,052	461,553			1,619,968
Total	2,366,639	3,309,502	10,489,863	7,095,784	2,383,702	1,464,402	27,109,892

24. Contributions to the One UN Coherence Fund have *decreased* over the last two years, in line with the evolution of donor country strategies following Albania's attainment of middle-income country status and since it is an EU pre-accession country.⁴⁵
25. In 2007, 73 per cent of overall UN assistance delivered in Albania was part of the One UN Programme; by 2010, the figure increased to 85 per cent.
26. The share of the non-resident organizations in overall programme delivery for the One Programme nearly doubled from 8 to 12 per cent annually from 2007-2009 to 23 per cent in 2010.

Total expenditure for 2007-2010 in US\$ (millions)				
UN organizations	2007	2008	2009	2010
Resident	14.3	13.8	17.9	19.5
Non-resident agencies	1.9	1.7	1.6	5.7
Total	16.2	15.5	19.5	25.2
Share of non-resident in total, %	12	11	8	23

27. The One UN Coherence Fund was supported by eight donors, including the European Union and the Swiss Agency for Development and Cooperation; they provided 86 per cent of resources. The remaining 14 per cent came from the Expanded Funding Window.⁴⁶
28. Nine organizations implemented activities under the One Programme with funding from the One UN Coherence Fund, of which funds and programmes absorbed 93 per cent, specialized organizations 5 per cent and other organizations 1 per cent.⁴⁷ The table below shows the total amount of funds that each organization committed to the One Programme for the period 2007-2011, as well as the total amount of funds received from the One UN Coherence Fund during the same period.

⁴⁵ An additional dimension of donor strategies has been to support the One UN Coherence Fund to assist coherence approaches by the UN country team.

⁴⁶ For details, see Table 1 at the end of the information sheet.

⁴⁷ See Table 2 at the end of the information sheet.

Organization	Budget per Agency			Coherence Fund 2007-2011		% of Transfer CF/Total Budget
	Core Funds 2007-2011	Non-Core Funds 2007-2011	Total Budget	Approved budget 2007-2011	Transfers 2007-2011	
FAO	606,155	846,659	1,452,814	315,300	315,300	22%
IFAD	169,737	-	169,737	-	-	0%
ILO	283,300	3,119,110	3,402,410	-	-	0%
UNAIDS	372,387	57,400	429,787	-	-	0%
UNDP	3,548,318	32,168,609	35,716,927	9,007,587	8,990,931	25%
UNEP	170,000	349,500	519,500	409,244	254,244	49%
UNESCO	271,621	4,398,487	4,670,108	414,750	414,750	9%
UNFPA	2,729,471	3,891,822	6,621,293	3,319,341	3,319,341	50%
UNHCR	1,096,830	-	1,096,830			0%
UNICEF	1,529,357	19,586,527	21,115,884	6,951,039	6,951,039	33%
UNIDO	137,000	493,000	630,000	493,000	493,000	78%
UNV	526,500	175,000	701,500			0%
UNWOMEN	991,982	1,614,042	2,606,024	950,220	950,220	36%
WHO	566,000	9,714,540	10,280,540	570,000	570,000	6%
Total	12,998,658	76,414,696	89,413,354	22,430,481	22,258,825	25%

29. There were no major operational issues reported in the management of the One UN Coherence Fund and Expanded Funding Window.⁴⁸ Programmes were approved as planned. In some cases, UN organizations were not able to sign project documents in time for Joint Executive Committee allocation decisions. Delays in disbursement occurred, mainly due to delays on the government side or to sudden changes in the Government's immediate priorities. Generally, funding was received on time, but there were cases during the 2007-2010 period where UN organizations were not able to present legal documents to trigger the disbursement. Signing project documents late in the year resulted in delays in implementing work plans and funds allocated to respective programmes. The submission of progress and expenditure reports was on schedule, and narrative and financial reports from UN organizations were received on time. Some difficulties occurred in funding the activities of the resident coordinator office.
30. Several programmes under the One UN Programme have substantive links with a wide range of other funding sources, such as the Global Environment Facility, The World Bank, the European Union, various bilateral donors, the OPEC Fund for International Development and the Montreal Protocol Fund.

⁴⁸ UNICEF noted the following issues in the operation of the One UN Coherence Fund:

Long delays in taking allocation decisions (e.g., up to 14 months between one allocation decision to the next, at a time when the CF guidelines required quarterly meetings).

Slow disbursements, with some of the donor contributions sitting in the Coherence Fund for more than 2 years before being allocated to agencies. This can be easily calculated from the inflows and outflows of the Albania CF.

Changing allocation criteria (e.g., duration of activities eligible for funding; required details of submissions) resulting in unnecessary debate in the UNCT.

Performance based criteria never applied in allocation decisions.

Lack of clear agreement on how to manage significant under-expenditure by agencies, sometimes for several years.

6. Business process harmonization

31. UNFPA introduced Delivering as One-based evaluations as a substitute for project/outcome evaluations, even though the latter have not been abolished. This was mainly because the Government Modernization Committee, Joint Executive Committee and programme working groups took on similar functions as the annual country programme and outcome boards. In the future, UNDP's and other UN organizations' project-based approaches will be replaced with joint programming based on annual work plans. Previous project steering committee meetings will be replaced by fewer output working group meetings under Delivering as One.
32. One major obstacle to business process harmonization has been differences in procurement procedures, which prevent different organizations from relying on each other for already performed tenders or biddings. Long-term agreements in place prior to Delivering as One mitigated this effect. The UN country team requested that procurement, financial and human resources rules, procedures, practices, and, to the extent possible, support mechanisms should be harmonized.
33. Long-term agreements are expected to bring some savings, mainly due to potentially significant time and cash savings for the UN country team as a whole. This could occur through reduced transaction volumes, better prices, professionalization and rationalized staffing arrangements. The Operations Management Team measured the actual cost declines resulting from reduced staff time due to joint procurement. Savings were calculated for selected procurement activities where common long-term agreements were established. For example, bidding steps for fuel consumption would only be done once every three years rather than several times a year.⁴⁹
34. The UN country team experienced efficiency gains in the following areas:
 - Progress in common services (e.g., joint procurement services, long-term agreements);
 - Savings due to economies of scale (e.g., IT, fuel, communications, etc.); and
 - Better quality services because of larger orders (more weight as client).

7. Use of national systems by UN organizations within the framework of Delivering as One

35. During the past five years, the Government has made progress towards improving public financial management and procurement systems. All ministries engaged in a medium-term budget programme process, public management procedures were developed, etc..
36. There was improvement in all of the OECD-established pillars for assessment, as compared to an assessment in 2006. Albania is now rated a C by OECD/DAC regarding the reliability of its national public procurement system. The late 2010 assessment of the national public procurement system by the Department of Strategy and Donor Coordination, with UNDP assistance, concluded that the Government has made significant efforts in improving and modernizing it, particularly the legal framework. Nonetheless, the procurement system needs further strengthening to enable donors and UN organizations to use it. UNICEF for many years has not imposed its own accounting or related procedures on government institutions.
37. UNDP has partially used the national public financial management system, and recognizes that its budget is implemented as intended following the established rules and regulations. UNFPA and other UN organizations have also been cautiously using the national system. At present, UN organizations use the system at a rate of 3 per cent, compared to 11 per cent by international donors.
38. The UN system macro-assessment of the readiness of the Government to adopt HACT has indicated concerns, which impede progress in transferring programme funds to national implementing agen-

⁴⁹ Source: resident coordinator office. "In UNDP, if no LTA was in place, this transaction would occur twice per month. Yearly, the total cost saving (time saving) generated by the common LTA amounts to US\$1,792, i.e., 12 months x 2 processes/month x US\$62 (saving per process not involving CAP) + USD 304 (saving per process involving CAP). Moreover, by adding the US\$13,650 saving generated by the lower price offered upon the establishment of the LTA, the total annual saving for this specific procurement case amounts to US\$15,442."

cies. Efforts continue to strengthen public procurement systems. There is a clear commitment by the UN country team to increase national execution of projects, and to transfer funds to counterpart agencies, albeit with requisite financial management and audit systems and mechanisms.

39. Micro-assessments have been conducted to apply HACT at institutions where a significant transfer is expected. So far, only funds and programmes (i.e., UNICEF, UNDP and UNFPA) apply this approach.

8. Transaction costs for national partners, donors and the UN country team

40. The UN country team conducted business process analysis in the areas of event management, fuel consumption, communications, travel and printing to identify potentials for reduced transaction costs. In the absence of agreed and reliable methodologies for measuring reductions, however, the actual benefits generated by the reduction of processes could not be fully quantified, even though there is considerable agreement on the estimation of benefits gained through the new arrangements. There was no baseline against which internal and external transaction costs could be measured and monitored.

9. Cost of coordination⁵⁰

Staffing and cost of country offices⁵¹

41. The position of UNDP country director was introduced in 2008 in lieu of the previous deputy resident representative. A clear change that happened due to Delivering as One, this reflects UNDP's commitment to the pilot.
42. The professional staffing of the resident coordinator office has grown from three in 2006 to six in 2011, which includes three international and two national professional officers. The three international positions have been funded by Sweden. National positions have been funded by UNDP and DOCO.
43. The staffing of UN organizations shows the following trends.
 - a) From 2006-2011, at the funds and programmes, the number of professional positions increased. In 2011, there were 32 professionals, encompassing 12 international and 20 national posts, compared to 11 and 19, respectively, in 2007. This represents a 6.6 per cent increase. One international position is counted under programme delivery. The number of General Service positions fell from 26 positions in 2007 to 24 positions in 2011.
 - b) Among specialized organizations from 2006-2011, the number of resident international and national professionals remained the same.
44. The cost of operational support to programme work (i.e., of the resident coordinator office and the country offices of individual organizations) increased from 2007-2011, including international and national staff positions, General Service posts and non-staff allocations. The cost of the resident coordinator office increased from an estimated US\$427,000 in 2007 to US\$469,000 in 2011. The cost of the offices of UNDP, UNFPA and UN Women increased by about 29 per cent, from US\$2.4 million in 2007 to US\$3.1 million in 2011. No information on the cost of the offices of specialized organizations was provided.

⁵⁰ For details, see Table 4 at the end of the information sheet.

⁵¹ Please note that the resident coordinator office possessed the data for UN organization expenditures (not detailed in core and non-core resources) only for 2007 and 2010. In the compilation of the questionnaire, several UN agencies did not provide figures for 2008, 2009 and 2010. Therefore, the data have been generated from One UN Budgetary Framework tables.

Statistical tables relating to the funding situation

Table 1: Deposits by donors to the One Fund from, 2006-2011 in US\$ (millions)⁵²

Contributor/partner	Commitments	Deposits	Share, %
Austria	1.2	1.2	5
European Union	3.5	3.5	13
Expanded Funding Window	3.6	3.6	14
Finland	0.4	0.4	1
Netherlands	3.8	3.8	15
Norway	3.3	3.3	13
Spain	4.0	4.0	16
Sweden	5.6	4.2	16
Switzerland	1.7	1.7	7
Total deposits	27.1	25.7	100

Table 2: Transfer of funds from One Fund to UN organizations in US\$ (thousands), end 2011⁵³

Organization	Total One UN Coherence Fund	
	Transfers	Share of transfers in total, %
UNDP	8.990,9	40
UNFPA	3.319,3	15
UNICEF	6.951,0	31
UN Women	950,2	4
Funds and programmes	20.211,5	91
FAO	315,3	1
UNESCO	414,8	2
UNIDO	493,0	2
WHO	570,0	3
Specialized organizations	1.793,1	8
UNEP	254,2	1
Total other organizations	254,2	1
Total funding of One UN Coherence Fund	22.258,8	100

⁵² Source: Multi-Partner Trust Fund Office GATEWAY. Countries in bold also supported the Expanded Funding Window.

⁵³ Source: Multi-Partner Trust Fund Office GATEWAY.

Table 3: Source of funding of UN development expenditure⁵⁴

	Values in US\$ (millions)					
	2006	2007	2008	2009	2010	2011 ^a
Total estimated annual UN expenditure for development by programme and funding source	3.4	16.3	15.9	20.1	26.9	24.7
Non-One Programme	0.0	0.1	0.4	0.6	1.7	1.7
Core funding	0.0	0.1	0.0	0.0	0.1	0.1
Non-core funding of non-One Programme activities	0.0	0.0	0.4	0.6	1.6	1.5
One Programme	3.4	16.2	15.5	19.5	25.2	23.0
Core funding	0.7	0.0	2.9	3.1	0.0	3.3
Non-core funding	2.6	0.0	12.6	16.4	0.0	19.7
Share of non-core funding in annual expenditure for development, %	78	0	82	85	0	86
One UN Coherence Fund	2.6	0.0	12.6	16.4	0.0	19.7
Share of non-core funding, %	100	-	97	96	0	93

^a Amounts are still estimates since final 2011 end-of-year figures were not available at the time this country information sheets was prepared.

Table 4: Source of funding of UN development expenditure and staffing, and cost of supporting the One Programme⁵⁵

	In US\$ (millions)		Change, % 2007-2011
	2008	2011	
Total estimated annual UN expenditure for development by programme and funding source	15.9	24.7	55
Non-One Programme	0.4	1.7	425
One Programme	15.5	23	48
Core funding	2.9	3.3	14
Non-core funding	12.6	19.7	56
Support to programme costs (cost of resident offices)	Number of staff		
Human resources of resident coordinator office	4	6	50
Human resources of country offices of funds and programmes	53	56	5.6
Human resources of specialized agencies	28	28	0

Cape Verde⁵⁶

1. Implementation of the Ones

1. The context for Delivering as One in Cape Verde is unique. Cape Verde has been the only country where One Office has actually been implemented. The key characteristics of Cape Verde in the context of Delivering as One are:

⁵⁴ The consolidated data reflect the data submitted by the resident coordinator office.

⁵⁵ The consolidated data reflect data submitted by the resident coordinator office; 2006 data are not included as they were not complete.

⁵⁶ Source of information: Delivering as One survey, field interviews, document research and the Multi-Partner Trust Fund Office Gateway. This note has been reviewed and verified by the UN country team.

- The country has been successful in graduating from least-developed country status to middle-income country status.
- It has one of the highest annual aid per capita indicators in sub-Saharan Africa,⁵⁷ about US\$438 in 2008.
- ODA until recently accounted for the largest share of GDP, but has been declining to an estimated 14 per cent in 2008.
- The country's ability to attract continued donor support and flexibility was a key factor in its success in mobilizing ODA.
- Cape Verde pioneered a reconfiguration of its relationship with donors in various initiatives, such as the UN initiative for the joint office (2005) and the Delivering as One pilot initiative (2007).
- As a result of these achievements, the share of grants in ODA is declining while loan-based assistance is increasing.

The Delivering as One reforms resulted in a significant increase in resources. The UN system in 2010 ranked as the third largest donor.

2. When Delivering as One was launched, Cape Verde was already piloting the only One Office initiative, under which four funds and programmes (UNDP, UNICEF, UNFPA and WFP) agreed to operate as one in Cape Verde. Beyond the common premises that existed since the early 1990s, the four organizations were merged under one management, which meant combining business practices and staff. The joint office was launched in 2006, followed by a redefinition of organizational structures, job descriptions and staff positions, and by the adoption of the processes, systems and contracting arrangements of UNDP.⁵⁸
3. This context meant:
 - The One Office/One Management component required less attention than in other countries.
 - Significant cost reductions had already taken place by decreasing the number of representatives from four to one.
 - A single operation (human resources, finance, procurement, fleet management, cleaning services, security services, etc.) resulted in a 12 per cent reduction in total operating costs between 2005 and 2008, according to the UN country team.
4. Due to this particular context, the focus for Delivering as One in Cape Verde was on programmatic integration with the following pillars: One Programme, One Leader, One Budgetary Framework and One Management System.
 - The process leading to the One Programme was difficult, which explains why it did not start operating before 2009. The One Programme consists of nine sub-programmes consistent with the Government's Poverty Reduction Strategy. The sub-programmes are organized along four themes, consistent with the Government's programme (good governance, economic growth, environment, and human capital and social protection). Each sub-programme has a lead organization to coordinate activities and has defined a main objective, with various outcomes leading to this objective (there are 19 outcomes in the One Programme), and various outputs contributing to the outcomes. The outputs are annually translated into concrete activities (346 in the 2010 annual work plan). In preparing annual work plans and negotiating One Fund allocations, each organization is required to align its respective programmes and activities with the common outputs.
 - The resident coordinator in Cape Verde is accepted as the One Leader, but the actual practice is leading through consensus. Nonetheless, the resident coordinator retains the authority to make the ultimate decision in case of disagreement. The resident coordinator represents the wider UN

⁵⁷ Source: country-led evaluation, 2010.

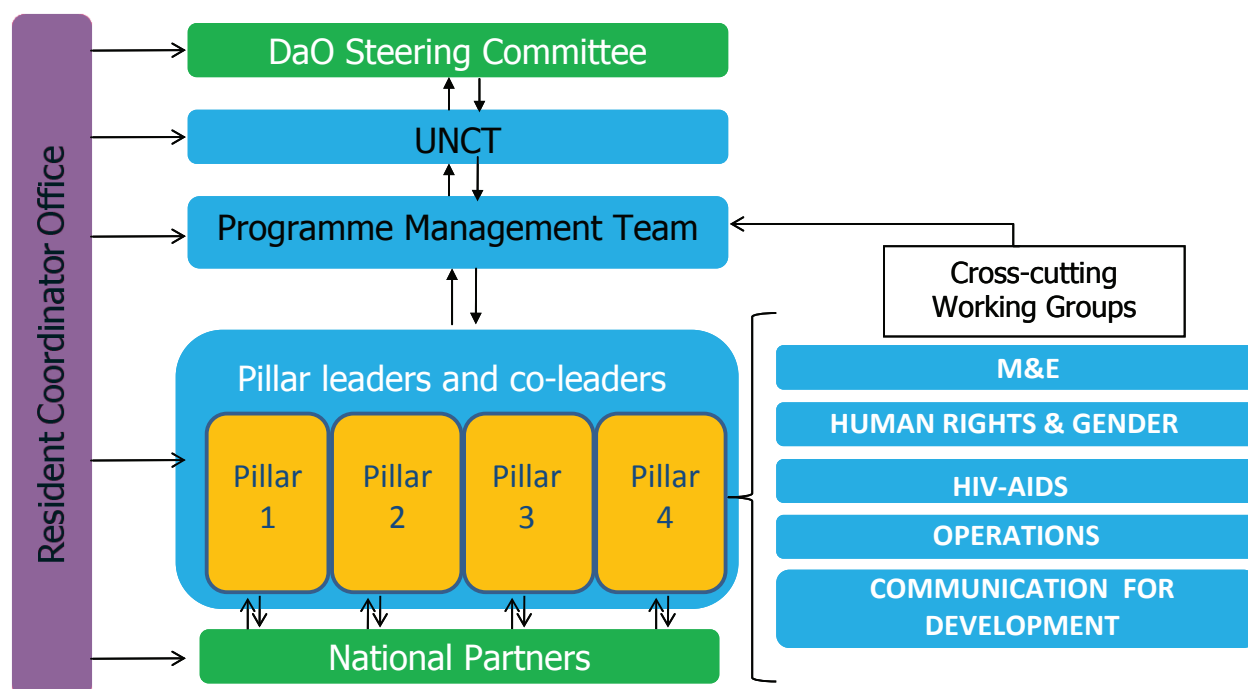
⁵⁸ The transition process was very turbulent; see also the country-led evaluation, 2010.

system on the local level, including the non-resident agencies. The latter are members of the UN country team.

- The One Budgetary Framework is fully operational. The One Fund is the financial vehicle that is established to cover the funding gaps of the One Programme. While there is no formal common resource mobilization strategy, in practice joint resource mobilization takes place.

2. Overall management of Delivering as One

5. The Delivering as One institutional framework consists of three layers: a steering committee, the UN country team (supported by the resident coordinator office) and the sub-programmes.
6. The One UN Steering Committee is the highest level. A tripartite mechanism, it consists of:
 - Three representatives of the UN system (the resident coordinator, one resident organization and one non-resident agency);
 - Three representatives of the Government on the national level, and one representative of the Government on the local level; and
 - One representative of civil society, the president of the platform for NGOs of Cape Verde.
7. The UN country team is the coordinating and decision-making body of the UN system in Cape Verde, and is responsible for the internal supervision and direction of Delivering as One implementation, based on a collegial cabinet model, and managed using consensus and inclusiveness. The team is supported by the resident coordinator office, in particular the coherence unit. The resident coordinator leads the elaboration and management of the One Programme.
8. The third level of Delivering as One in Cape Verde is the programmatic level, consisting of nine sub-programmes headed by programme leaders. Coordination takes place through working groups that are articulated around the four thematic areas and nine sub-programmes. Each lead organization ensures the strategic coordination of their sub-programme or of their cross-cutting thematic area, in coordination with participating organizations and in accordance with technical ministries involved. Each of the lead organizations is responsible for ensuring that cross-cutting issues are integrated into the sub-programme.

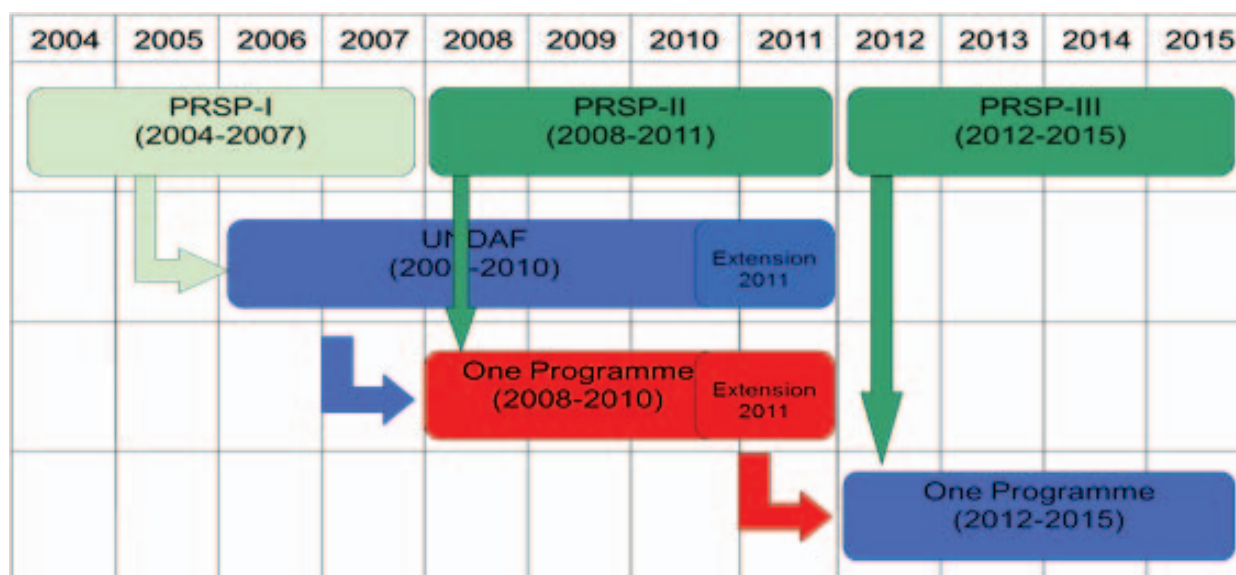


9. Delivering as One increased the number of local officers for non-resident agencies in Cape Verde. In May 2008, the UN House included the Joint Office, WHO, UNODC and UNIFEM. During 2009, UNIDO, IOM, UNESCO and UN-Habitat hired local programme officers who also have their offices in the UN House. In 2010, the FAO offices moved from the Ministry of Agriculture to the UN House. In total, this means an increase of staff in the UN House from 52 in 2006 to an estimated 65 in 2010.

3. Funding modalities within the framework of Delivering as One

Common Budgetary Framework

10. All UN interventions in Cape Verde are under the One Programme, without exception. All organizations present their interventions under the One Programme's defined outcomes and outputs, and all interventions are reflected in the One UN annual work plans.
11. The current One Programme in Cape Verde (2008-2011) was based on the UNDAF (2006-2010), which was developed by nine UN organizations in 2004. The One Programme was signed in 2008, and included, rearranged and expanded the UNDAF outputs and outcomes in new One Programme outputs and outcomes, as the result of the participation of a higher number of UN organizations, from 9 to 21, in its design.



12. The end result has been a diversified, updated and enhanced programmatic reference document in better alignment with national priorities stated in the Growth and Poverty Reduction Strategy Paper (GPRSP) II (2008-2011). To align with the national planning framework, the One Programme was extended until 2011. With better programmatic and budgetary synergies in place, significant advances in UN reform were possible through the implementation of the One Programme, which was elaborated through coordinated annual work plans.
13. This means that the UNDAF (2006-2012) was completely set aside; the much larger One Programme absorbed it.
14. The new UNDAF (2012-2016) and the new One Programme (2012-2016) are identical. Both are multi-year and at outcome level. In addition, a multi-year UNDAF action plan at the output level together with One UN annual work plans at the activity level are being used.
15. The One Budgetary Framework is used at all levels: At outcome level (One Programme and UNDAF), at output level (UNDAF action plan) and activity level (annual work plans).

One Fund

The total value of the One Programme from 2008-2011 was US\$73 million, of which US\$41 million was funded. Against the US\$32 million funding gap, US\$14.5 million has been mobilized (based on commitments of US\$18 million).

16. By the end of 2011, six donors⁵⁹ supported the Cape Verde One UN Transition Fund; three covered 60 per cent of the fund, and also supported the Expanded Funding Window, comprising 24 per cent of the One UN Transition Fund. Three donors contributed 16-17 per cent of the fund. The Expanded Funding Window is treated as a donor to the One UN Transition Fund, and therefore does not have its own projects/programmes. Its contributions are co-mingled with other donor funds.
17. Of the total resources⁶⁰ of US\$14 million available from 2006-2011 to the One UN Transition Fund, about 38 per cent went to funds and programmes, with UNDP, UNICEF and UNFPA absorbing 30 per cent. The five specialized agencies used 38 per cent; 28 per cent went to smaller organizations (IOM, ITC, UNCTAD, UN-Habitat and UNODC).
18. The overall administration of the Cape Verde One UN Coherence Fund is with the Multi-Partner Trust Fund Office.

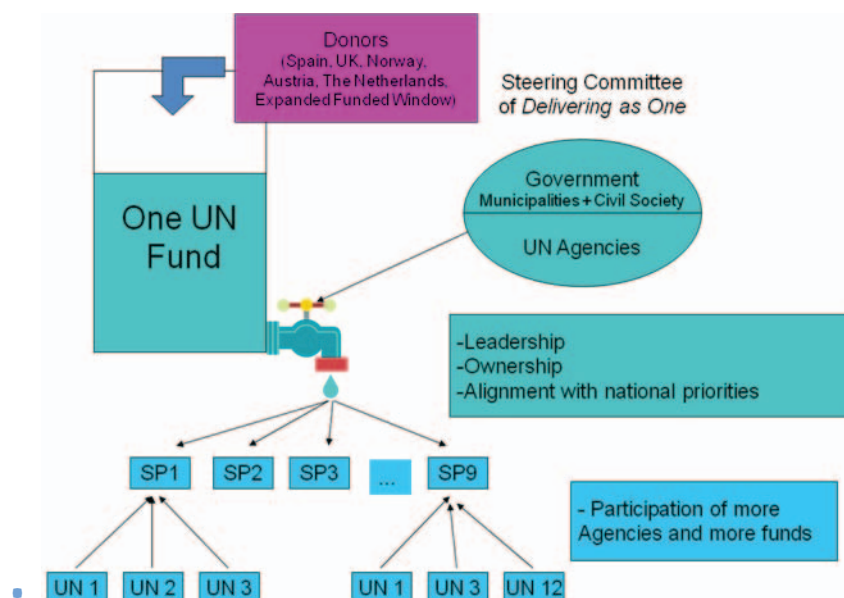
4. Programming and funding mechanisms—governance and resource allocation

Governance of the One Fund mechanism

19. The following mechanisms have been set up to govern Delivering as One:
 - The One UN Steering Committee oversees and monitors implementation of all components of Delivering as One, particularly the One Programme. It conducts biannual reviews of the results of the One Programme. It is co-chaired by the Minister of Foreign Affairs and the UN resident coordinator, with membership limited to nine representatives: three from the Government, four from the UN system, one from the National Association of Cape Verdean Municipalities and one from civil society. The committee's overarching role is to advance UN reform by providing strategic leadership and guidance to Delivering as One, to perform an advisory function and to ratify strategic decisions.
 - The resident coordinator has a leadership function in mobilizing resources for the One UN Transition Fund, and is responsible for leading and coordinating its overall management, including in collaboration and consultation with participating UN organizations. The resident coordinator is supported by the resident coordinator office.

⁵⁹ For details, see Table 1 at the end of the country information sheet.

⁶⁰ For details, please see Table 2 at the end of the country information sheet.



Resource allocation criteria and fund performance

20. The resources of the One UN Coherence Fund were allocated to programmes on the basis of eight allocation criteria:
 - Alignment with the MDGs or other internationally agreed development goals;
 - Alignment with the GPRSP-II;
 - Alignment with the One Programme 2008-2011;
 - Readiness;
 - Promotion of synergies (increased programmatic cohesion, coordination, better communication flow, and operational efficiencies and effectiveness within the UN system);
 - Inclusion of cross-cutting issues;
 - Sustainability; and
 - Performance.
21. Most of the time, consensus was reached among organizations on how to allocate funds. Only once was consensus not reached. The resident coordinator decided the final allocation.
22. The One UN Transition Fund had a number of impacts:
 - It fostered higher alignment with, and leadership and ownership by the Government. The Government is in the driver's seat through its leadership of the One Programme steering committee, where it allocates available funds across the different sub-programmes according to the highest national priorities. The role of the UN system is to follow up and propose measures to tackle these priorities.
 - The fund is seen as an important resource in supporting the Government in Cape Verde's transition from a least-developed to middle-income country. The involvement of the central ministries in the steering committee guarantees better management of the funding gap, thus increasing the probabilities of achieving quick-wins.
 - The One UN Transition Fund expanded the access of Cape Verde to a wider range of UN mandates and expertise. It attracted a high number of non-resident agencies responding to new development challenges associated with Cape Verde's graduation from least-developed country status.

- These agencies benefitted from the One UN Transition Fund, and in return brought their own core and non-core funds to the One Programme, integrating them into the One Budgetary Framework along with the agencies' own resource mobilization capacities.
- The One UN Transition Fund brought organizations closer together, as it was accessible to all participating organizations without regard to resident or non-resident status, and offered an incentive for them to coordinate and plan towards common outputs and outcomes.
23. Donor financial and political support to the reform process increased within the framework of the One Programme. Donors at the country level (Austria, Luxembourg and Spain) and at regional or international level (the Netherlands, Norway and the United Kingdom) strongly support UN reform in Cape Verde.
 24. None of the donors at the country level finance organization-specific activities; most contribute unearmarked funds to the One UN Transition Fund. The exception is Luxembourg, which partially earmarks contributions to areas where there are synergies with its bilateral cooperation, leaving the rest unearmarked, for the UN to choose applications based on national priorities defined by the Government.
 25. Standard donor agreements, the convenience and efficiency of common reporting, and the user-friendly transparency of the Multi-Partner Trust Fund GATEWAY motivate donors to channel funds through the GATEWAY and the One UN Transition Fund.
 26. The criteria of the Expanded Funding Window are seen as being biased against middle-income countries, due to its 80 per cent/20 per cent policy for least-developed/middle-income countries. Cape Verde is thus treated at the same level as Albania or Uruguay, even though Cape Verde ranks 118 on the Human Development Index, Uruguay ranks 52 and Albania 64.
 27. The fund design resulted in some unforeseen dynamics, mainly due to its role in reducing the funding gap:
 - As allocations were granted proportional to the funding gap, there has been a tendency to formulate unrealistic annual work plans to maximize allocations, through overestimating the funding gaps.
 - Since many substantial criteria were qualitative, and there was no way of measuring them, the quantitative performance criterion (% of funds spent) was the only one used. The One UN Transition Fund therefore did not help in increasing synergies or joint programmes.
 - Most of the time, organizations reached consensus on how to allocate the One UN funds. The one time consensus was not reached, the resident coordinator decided the final allocation.
 28. Fund management both of the One UN Transition Fund and the Expanded Funding Window encountered a number of operational issues:
 - While programmes were approved as planned, there were delays in the actual allocation of funds to the operational level. The time from the allocation's approval by the steering committee to the time when funds would be deposited with organizations and available for disbursement was reduced from months to weeks, but the process is still not seen as efficient. Funds went from the administrative agent in New York to Cape Verde, where UNDP Cape Verde was the administrative agent, then from Cape Verde to all headquarters, sometimes going back to New York, then from headquarters to regional offices and then back to Cape Verde.
 - The delays and difficulties in transferring funds resulted in operational delays in the implementation of work plans.

29. The uploading of narrative and financial reports was timely, which allowed the creation of a One UN annual report.
30. The UNDAF (2006-2010) was completely absorbed into the new One Programme (2008-2010).

5. Highlights

Related to the One Programme, including joint programming

31. The focus in Cape Verde is on four One Programme thematic areas (good governance, economic growth, environment, and human capital and social protection). These are broken into several sub-programmes, which are the key management units.
32. The One Programme gives special attention to the following cross-cutting issues: capacity development, the fight against HIV/AIDS, gender equality, communication for development and human rights. In addition, communication has been identified as a cross-cutting priority for development by the country team for Delivering as One.
33. The process leading to the One Programme was difficult and involved a necessary learning curve, especially for relations between resident organizations and non-resident agencies, but resulted in better understanding mandates and activities. The generally shared opinion is that inter-agency co-operation and an increased range of mandates and areas of expertise have considerable benefits for Cape Verde:
 - Inter-agency cooperation has increased, allowing for more streamlined management of UN partnerships by the Government. Duplication in activities has been eliminated, and opportunities for synergies have been identified. Government stakeholders consider that the UN operates in a more unified manner.
 - The streamlining and coordination resulted in an increased workload for the UN country team, but this has been attributed to the learning curve.
 - The One Programme is aligned with government development priorities.
 - Delivering as One by the UN has to be accompanied by requesting as one from the national side—government agencies continue to request UN support in areas that are not part of the Government's strategy.
 - The involvement of non-resident agencies brought more expertise to Cape Verde, which is timely given Cape Verde's promotion to middle-income country status. Questions of basic needs are being replaced with those related to, for example, foreign trade and telecommunication regulations. Access to more and different mandates and expertise plays a significant role in the increased relevance of the UN system in Cape Verde.
 - The differences in planning cycles between the UN system and the Government remain an issue. As a result, the UN system is often presented with requests that were not funded by other donors because it is planning after the Government has already finished its cycle for the next year.
34. Other issues observed in the monitoring and evaluation of the One UN programme are:⁶¹
 - Indicators and a clear monitoring and evaluation framework for each sub-programme are lacking. Due to loose joint programmes or lack of joint programming, the definition of common output indicators has proved difficult.
 - Recurring changes in staff make it difficult to maintain institutional memory.
 - There are incompatibilities in monitoring and evaluation systems among UN organizations, and between them and the Government; this leads to problems in consolidating data.

⁶¹ Country-led evaluation, 2010.

- Implementation partners perceive UN reporting as complex. National partners indicated that accountability and reporting requirements vary per organization; for example, on financial reporting, some ask for cost codes, but not all. These codes do not match those used by the partners, which complicates their reporting and creates an obstacle to providing inputs to the UN organization.
 - Reporting requirements for each organization at regional and headquarters levels have not changed, which results in a double reporting requirement. This is an extra burden on UN country team staff. Where outcomes are generated by the combined efforts of organizations, headquarters or regional requirements force an untangling of joint efforts to describe each organization's specific input.
35. The Cape Verde One Programme is unique in enlisting the support of 14 non-resident agencies. Seven of these hired local programme officers, hosted in the UN House.
- The local programme officers depend on support from their regional officers, however; they are not necessarily a prerequisite for successful implementation of sub-programmes.
 - Communication of these local officers with their technical officers posed challenges, mainly because technical officers reach capacity limitations when the number of countries covered increases; queries were not always attended to in a timely manner. There were problems at times with contacting local counterparts. This was addressed by appointing a non-resident agency focal point in the resident coordinator office.
36. Activities supported by the One UN Coherence Fund have close linkages with those of other donors (Australia, Luxembourg, the Netherlands, Spain, the United States); the Global Fund to Fight AIDS, Tuberculosis and Malaria; and South-South cooperation supported by Brazil, the Global Environment Facility and the Economic Community of West African States.

Related to the funding situation^{62, 63}

37. Some funding highlights are:

- The One Programme covers all UN expenditure from 2008 and thus covers the entire UNDAF.
- The share of non-core funding in overall expenditure for development (2008-2011) has been in the range of 60-72 per cent in 2010 and 2011.⁶⁴

6. Business process harmonization

38. The UN country team introduced the following new common business processes, but did not succeed in abolishing those specific to organizations.

New business processes	Product	Old business process	Current situation
Joint programming and budgeting (all resident and non-resident organizations). Start date: 2009.	One UN annual work plan.	Single organization annual work plan.	Not abolished, but now organizational work plans are harmonized with the One UN annual work plan.
Joint reporting: narrative and financial (all resident and non-resident organizations). Start date: 2009.	One UN annual report.	Single organization reporting.	Not abolished, but now organizational reports contribute to the One UN annual work plan in a synchronized way.

⁶² The data upon which this analysis relies have been provided by the resident coordinator's office.

⁶³ For details, see Table 3 at the end of the country information sheet.

⁶⁴ Information for prior years was not provided.

Joint monitoring/follow-up of the implementation of the One Programme to the UN country team.	One UN mid-term progress report.	Single organization implementation follow-up processes.	Both co-exist.
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39. Organization-specific programming and reporting are seen as redundant, and could be abolished in order to free resources and time for planning, programming, monitoring and reporting under the One UN annual work plans, and in the One UN mid-term progress reports and final One UN annual reports.
40. The One UN Transition Fund had the catalytic effect of bringing organizations together and making them stick to the new One UN joint processes. But these mechanisms would have been created regardless of the funding mechanism. The common funding mechanism increased the workload, but only because organizations' headquarters did not abolish their own planning and reporting mechanisms.
41. The One UN Transition Fund provided 17 per cent of annual UN expenditure. It was a sufficient incentive for UN organizations to work together.

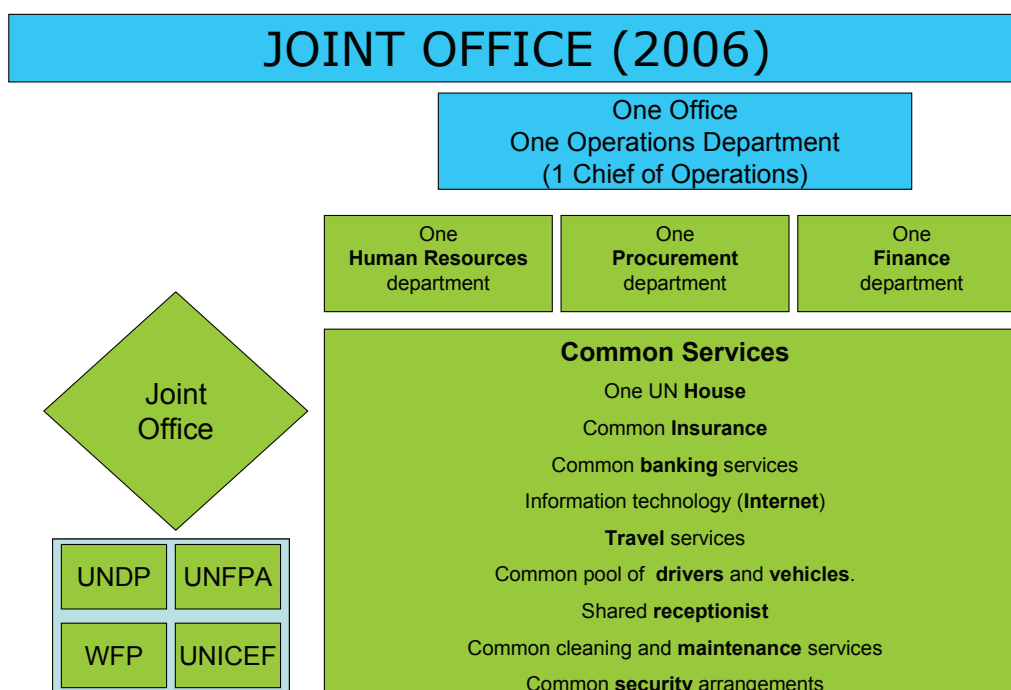
7. Use of national systems by UN organizations within the framework of Delivering as One

42. UNDP, UNICEF, UNFPA and WFP are fully compliant with HACT. FAO has started to explore its introduction with national partners. There are no deviations from the prescribed model.
43. There is no specific definition of the alignment with national systems, but clear progress every year is apparent in the UN country team annual work plans. These report that UN activities reflected in the National Information System for Budget and Financial Management nearly doubled in 2011, increasing from approximately US\$4.5 million of activities to more than US\$7 million. Organizations with activities listed include UNAIDS, UN Women, WHO, UNIDO.
44. The following organizations have their systems aligned with national systems or are pursuing this goal: UNDP, UNFPA, UNICEF, WHO, UN Women and UNIDO.

8. Transaction costs for national partners, donors and the UN country team

45. The combination of the various components of Delivering as One, namely the One Leader and One Voice, the steering committee, and One UN joint products and processes (annual work plans, and mid-term and final reports) have simplified the process for national partners in dealing with the UN system. There is more predictability around when to programme, and what and how much to expect from all organizations. Transparency has increased, and there is a more holistic view of the whole UN system. These factors are seen as having decreased the transaction costs for all parties concerned. Internal transaction costs for the UN system have increased, however.
46. During the country-led evaluation, the independent evaluation and the 2009 One UN Programme annual review, the UN country team discussed with national partners and donors potential approaches to reduce their transaction costs. However, none of the methodologies identified by UNDP for conducting transaction cost analysis have been applied in practice for the following reasons:
 - Delivering as One did not pay special attention to the One Office and the harmonization of business processes because Cape Verde is the only "double pilot country" in the world. Before Delivering as One, UNDP, UNICEF, UNFPA and WFP merged into a joint office with one set of business processes.
 - The joint office, by itself, represented approximately 60 per cent of financial contribution to One UN. By the time Delivering as One began, 60 per cent of UN interventions had harmonized business processes. In addition, 30 per cent of the financial contribution to the One Programme comes from non-resident agencies. Their business processes cannot be harmonized because they are not based in Cape Verde.

- It was not worth the effort to harmonize the 20 per cent of financial contributions from FAO and WGO, the other two organizations resident in the country.
47. The business processes that were harmonized within the framework of the joint office model are presented in the following graphic:



48. In addition, the joint office manages the UN House, where two resident and seven non-resident agencies with national liaison officers are hosted.
49. Operational savings from the joint office were approximately 36 per cent. But savings cannot be accurately measured because a baseline was not defined before the joint office was implemented.

9. Cost of coordination⁶⁵

Staffing and cost of country offices

50. The UN country team increased from 7 to 17 organizations between 2006 and 2011. While the number of resident offices of funds and programmes fell from 4 to 3, as of 2011, the two offices of specialized agencies remained unchanged. The participation of non-resident agencies expanded dramatically from 3 in 2006 to 14 in 2011. Six are now operating through a national officer, while the other 8 operate through remote support.
51. The operational strength of the office of the resident coordinator increased substantially between 2006 and 2011. From two positions—one international professional officer and one General Service staff member—in 2006, by 2011 it had five international professional officers, two national professional officers and one General Service staff member.
52. Information on staffing and human resource costs in the offices of funds and programmes as well as specialized agencies was never collected.

⁶⁵ For details, see Table 4 at the end of the country information sheet.

Statistical tables relating to the funding situation

Table 1: Deposits by donors to the One Fund in US\$ (millions), 2006-2011⁶⁶

Contributor/partner	Deposits	Share, %
Austria	0.7	5
Expanded Funding Window	3.5	24
Luxembourg	1.8	12
Netherlands	1.1	8
Norway	1.4	10
Spain	6.0	42
Total deposits	14.5	100

Table 2: Transfer of funds from the One Fund to UN organizations in US\$ (millions), end 2011⁶⁷

Organization	Total One Plan funds	Share of total transfers at end 2011, %
UNDP	1.692	12
UNDP/UNV	180	1
UNFPA	1.222	9
UNICEF	1.026	8
UN WOMEN	298	2
WFP	726	5
Funds and programmes	5.144	38
FAO	1.971	14
ILO	309	2
UNESCO	435	3
UNIDO	1.218	9
WHO	784	6
Specialized agencies	4.717	34
IOM	545	4
ITC	113	1
UNCTAD	422	3
UNEP	178	1
UN-Habitat	500	4
UNODC	2.060	15

⁶⁶ Source: Multi-Partner Trust Fund Office GATEWAY. Countries in bold also supported the Expanded Funding Window.

⁶⁷ Source: Multi-Partner Trust Fund Office GATEWAY. Figures on transfers reflect the situation at the end of 2011. Transfers do not reflect the actual expenditure situation. This information became available in May 2012; it can be accessed at the Multi-Partner Trust Fund Office GATEWAY.

Organization	Total One Plan funds	Share of total transfers at end 2011, %
Total other organizations	3.818	28
Total funding One Fund	13.679	100

Table 3: Source of funding of UN development expenditure⁶⁸

	Values in US\$, millions					
	2006	2007	2008	2009	2010	2011 ^a
Total annual UN programme expenditure in Cape Verde (annual reports)	8.470	11.300	10.560	13.840	16.070	14.000
Total estimated annual UN expenditure for development in Cape Verde by programme and funding source	8.470	11.300	10.560	13.840	16.070	14.000
Non-One Programme	All activities are under the One Programme					
Core funding	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Non-core funding of non-One Programme activities	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
One Programme ^b	n.a.	n.a.	n.a.	n.a.	16.070	14.000
Core funding	n.a.	n.a.	n.a.	n.a.	4.271	5.620
Non-core funding	n.a.	n.a.	n.a.	n.a.	11.799	8.380
Share of non-core funding in annual expenditure for development, %	-	-	-	-	73	60
Share of non-core funding in One Programme						
Types of non-core funding in One Programme						
One UN Transition Fund mobilized through headquarters	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
One Fund mobilized through resident coordinator	n.a.	n.a.	5.830	1.750	4.470	0.640
One Fund supported by Expanded Funding Window	n.a.	n.a.	0	1.010	1.800	0.640
Other (non-core) resources (MDG-F and other sources)	n.a.	n.a.	5.830	1.750	4.470	0.640
Share of One UN Transition Fund in non-core funding						
a. Amounts are still estimates since final 2011 end-of-year figures were not available at the time of preparing the country information sheet.						
b. The One Programme started in 2008. Data are available since 2009. All UN interventions are included in the One Programme.						

⁶⁸ Information provided by the resident coordinator office with the following comments: 2006, 2007 and 2008 data were taken from UN-DESA, 2009 and 2010 figures are available from the resident coordinator office; 2011 is an estimate made by the resident coordinator office based on data provided by organizations.

Mozambique⁶⁹

1. Implementation of the Ones

1. Mozambique's ODA⁷⁰ ranged from US\$1.6 billion in 2006 to US\$2 billion in 2011. Total UN assistance increased from US\$49.2 million in 2006 to US\$87.2 million in 2011, representing about 3-4 per cent of total assistance. UN humanitarian and emergency assistance to Mozambique during 2006-2010 was in the range of US\$1-1.8 million, with the exception of 2007, when it peaked at US\$6.9 million, and 2008 at US\$4.6 million.
2. The UN system in Mozambique comprises 21 bodies, including some secretariats. Ten are fully represented resident organizations (FAO, UNDP, UNESCO, UNFPA, UNHCR, UNICEF, UN Women, WFP, WHO, and UNAIDS) and 11 are non-resident agencies. Among the latter, six (IOM, IFAD, ILO, UNV, UNIDO and UN-Habitat) have a physical presence in the country; five others operate from their regional offices or headquarters (ITC, UNEP, OHCHR, UNCDF and OCHA).
3. Delivering as One in Mozambique was established through Five Ones: One Programme, One Budgetary Framework/One Fund, One Leader, One Voice and One Office/Common Services.
4. It was initiated after the approval of the 2007-2009 UNDAF. The first One Programme—composed of 13 joint programmes—focused on a sub-set of selected, strategic UNDAF outputs, and was open to contributions from all UN organizations, specialized and non-specialized, resident and non-resident. The result was an increased number of organizations participating in the One Programme, from 11 to 16. Specialized and non-resident agencies whose technical areas were not fully addressed in the initial UNDAF were able to expand their areas of work in the revised UNDAF.
5. The UNDAF 2007-2009 was extended to cover the period 2010-2011 because the national poverty reduction strategy paper was also extended. In 2012, a new UNDAF was approved. It fully adheres to the One Programme and One Budgetary Framework model. The new One Programme—the UNDAF Action Plan (2012-2015)—was developed based on the current National Development Plan and the UNDAF (2012-2015), and benefitted from the experience of the first One Programme (2007-2011). While the first One Programme covered only about 25 per cent of UN delivery, the new One Programme is all-inclusive.
6. The first One Budgetary Framework and One Fund were introduced together with the first One Programme to consolidate all contributions, and to support coherent and joint resource mobilization, allocation and disbursement to the UNDAF and the Delivering as One UN Operational Plan. The Mozambique One UN Fund was expected to be the primary mechanism for donors to channel funding for the 13 joint programmes. The criteria of the One UN Fund were designed to enhance accountability of joint programme implementation.
7. The focus of the One Budgetary Framework for the new One Programme (2012-2015) will be more on identifying resource gaps, mobilizing and managing contributions, and monitoring and reporting on progress. The UN system has laid out a common resource mobilization strategy to seek, first and foremost, multi-year and unearmarked funding, and secondly, resources for particular results. The ambition is also to better align with principles of aid effectiveness by increasing the transparency of funding and utilizing the Government's financial systems for channelling financial resources.
8. The management of the *One UN Fund* is led and coordinated by the resident coordinator in consultation with the UN country team. The resident coordinator leads the process for mobilizing resources for the One UN Fund in collaboration with participating UN organizations. Fund allocations are based on agreed criteria.

⁶⁹ The analysis is based on statistical data provided by the UN country team.

⁷⁰ Source: Government of Mozambique.

9. The 24 UN organizations work together under the One Leader. An accountability framework is the basis for the institutionalization of Delivering as One and the empowerment of the resident coordinator. A structured horizontal dimension to inter-agency collaboration and institutional arrangements to operate the Five Ones are in place, including terms of reference, agreements, plans, memoranda of understanding, letters of understanding, etc. An institutional framework and management structures are in place for the UN country team to manage the operations of Delivering as One. Change management strategies and plans were developed and executed.
10. Several common services have been introduced, including common HACT audits, harmonization of business processes, long-term agreements, and a common ICT platform. These have resulted in some cost-savings and quality improvements.
11. The One Office was not implemented, despite efforts by the UN country team and the Government, due mainly to cost implications and some security concerns.
12. The One Voice had a slow start. However, a joint communications strategy was developed and implemented, and the One Voice programme did produce basic information and newsletters for a broad audience with varying levels of interest in Delivering as One. The One Voice is being heard on key advocacy, development and programmatic issues (e.g., chronic malnutrition, disaster risk reduction and social protection). It is an important additional dimension to the One Leader concept.

2. Overall management of Delivering as One

13. The One UN Steering Committee⁷¹ oversees and monitors implementation of all components of Delivering as One in Mozambique. It provides the strategic and policy orientation for the implementation of the UNDAF, and considers substantial adjustments recommended by the UN country team to respond to changing needs and developments. It endorses annual One UN Fund allocations; reviews progress on achieving the UNDAF results; and provides guidance on matters pertaining to UNDAF implementation, its alignment with national development priorities, and its coordination with donor support. The steering committee is composed of three permanent government members, namely the Ministry of Foreign Affairs and Cooperation, the Ministry of Planning and Development and the Ministry of Finance, with line ministries participating on a rotational basis. The UN system is represented by two permanent members, namely the resident coordinator and the administrative agent, with other heads of organizations participating on a rotational basis.
14. The resident coordinator is recognized by all heads of agencies as the team leader. For all UN system related issues, activities or events, or even for activities of individual organizations with broader UN relevance, the UN system speaks with one voice through the resident coordinator or through an organizational head, on behalf of the whole team. The resident coordinator takes the lead for common issues that require the UN family to speak with one voice, and present a common position and views.
15. UN representatives continue to lead individual organizations and work with their corresponding line ministries. The UN system strives to identify opportunities where clustering of representation might increase efficiency and effectiveness in achievement of results.
16. The UN country team is the inter-agency coordination and decision-making body at the country level. Its main purpose is to plan and work together, through the resident coordinator system, to ensure the delivery of results in support of the development agenda of the Government of Mozambique. It supports the resident coordinator system based on the accountability framework developed by the UNDG. Key functions are to:
 - Oversee development and implementation of the UNDAF and Delivering as One in Mozambique;
 - Oversee the new development results groups and annual work plans harmonized with, and in support of, the national development agenda;

⁷¹ In the new UNDAF, the steering committee is anticipated to take a much more active role than previously.

- Oversee the development of the annual work plan of the UN Operations Management Team, and review progress in the delivery of common services and systems, and progress in the implementation of Delivering as One;
 - Advise on key issues related to country management strategies and change management processes as part of the UN coherence agenda and Delivering as One;
 - Review the overall performance of the UN system, and propose and take actions to enhance its performance;
 - Review programme and operations issues that have policy implications for the presence or operation of the UN system, and recommend decisions; and
 - Review proposals regarding the formation and/or abolishment of committees and task forces, and make recommendations.
17. The resident coordinator is supported by a resident coordinator office composed of several staff, including a communications officer, a non-resident agency support officer, a coordination specialist, a monitoring and evaluation specialist, a humanitarian affairs officer, and, until 2010, a change management manager and an aid coordination officer.
 18. The UN country team was for a time supported by the Programme Management Team, composed of deputy representatives and senior programme officers from all agencies. This was established to support the development, implementation, monitoring and evaluation of the One Programme. However, the team was subsequently abolished, and instead a structure for the three focus areas of the new UNDAF was set up. The new programme coordination structure is made up of three development results groups corresponding to focus areas, and two joint teams, on HIV and AIDS and gender, with each led by a head of organization. They take on the responsibilities of the Programme Management Team, but give stronger leadership to the programme.
 19. The UN country team is also supported by the Operation Management Team, composed of senior operational managers from all organizations. It was established before Delivering as One to identify options for more cost-effective operations.

3. Funding modalities within the framework of Delivering as One

Common Budgetary Framework

20. The One Budgetary Framework⁷² provides an overview of total programme resource availability and requirements for a cycle. It is designed to support the coherent mobilization, allocation and disbursement of new donor resources to unfunded elements of the One Programme, and to support new initiatives responding to emerging needs within the context of the One Programme.

One Fund

21. The One UN Fund is based on the UNDG model for the One Budgetary Framework. Overall administration is with the Multi-Partner Trust Fund Office.
22. The funding target under the UNDAF was US\$390 million; the One Programme added US\$115 million. Overall, the UNDAF was funded up to 92 per cent, while the One Programme was funded up to 32 per cent. Funding for the One Programme came from the One UN Fund under local resource mobilization and the Expanded Funding Window, which is treated as one of the donors to the One UN Fund.
23. The One UN Fund was used to finance 10 joint programmes. In addition, there were three joint programmes funded by the MDG-F that will complete operations in 2012. One of the programmes cov-

⁷² Showing total programme resource availability and requirements for the cycle, with particular focus on: core and regular resources of participating partner UN organizations; available and committed/firmly pledged extra-budgetary or non-core resources from all sources—bilateral, multilateral and private; and funding gaps of the UNDAF 2007-2009.

ered by the One Fund was a change management project, which cost US\$1.2 million. At the end of 2011, 54 per cent of this project was implemented.

24. The One UN Fund has been supported directly by six donors with US\$33 million (2008-2011). Total commitments between 2012-2015 are in the order of US\$20 million by one donor. The Expanded Funding Window contributed US\$35 million, of which US\$28 million was provided up to 2010.
25. At the end of 2011, 17 agencies received US\$59 million from the One UN Fund. This broke down as 59 per cent for six funds and programmes, 33 per cent for five specialized agencies and 8 per cent for six other agencies.

4. Programming and funding mechanisms—governance and resource allocation

Governance of the One Fund mechanism

26. The following mechanisms have been set up in Mozambique to govern the One UN Fund and One Plan:
 - The UN country team provides strategic leadership of the One UN Fund on the basis of the joint programmes in the One Programme chapter of the UN Operational Plan. It makes recommendations to the Steering Committee on fund allocations based on agreed criteria and a documented process that outlines the rationale for each decision.
 - The UN resident coordinator is responsible for the overall management and coordination of the Mozambique One UN Fund, in consultation with the country team. This includes providing strategic leadership in the use of One UN Fund resources; deciding, in consultation with the UN country team, on the allocation of funds from the One UN Fund, based on the criteria outlined above; and leading resource mobilization for the One UN Fund in collaboration with participating UN organizations.
 - Representatives of UN organizations are responsible for implementing joint programmes and are held accountable by the resident coordinator for the use of One UN Fund resources allocated to their organizations, implementation of components of the joint work plan that their organizations support, and achievement of results under these components.
 - The Multi-Partner Trust Fund Office acts as the administrative agent of the One UN Fund.
27. Under the first One Programme a Programme Management Team acted as advisory body on programming. Composed of deputy representatives, it was not accountable as a group for implementation. All joint programmes, except four, completed operations in 2011.
28. The new One Programme has development results groups as a coordination mechanism (as of January 2011). They are coordinated by organizational heads, who are responsible and accountable for the work of the UN system in areas covered by each group. The groups comprise staff from participating organizations who are accountable for results to the group convener. The groups are accountable to the UN country team, and report back to it on a regular basis, and annually through the UNDAF annual review for the UN country team and the Government. The groups are responsible for monitoring the new One Programme, supported by the Monitoring and Evaluation Technical Coordination Group, which provides consultative and technical support via monitoring and evaluation experts assigned to each group.

Resource allocation criteria and fund performance

29. UN resident and non-resident agencies with similar financial regulations and rules are eligible to submit project proposals to the One UN Fund if they have signed a memorandum of understanding with the Multi-Partner Trust Fund Office as the administrative agent. The allocation of resources from the One UN Fund is based on the following two overarching elements: an initial allocation for a joint programme follows a “readiness criterion”. Any subsequent allocation is performance-based, requiring

reporting on progress against annual performance benchmarks. In practice, tools and methodologies to assess joint programme performance have not existed. Joint programme reviews and reports have been produced, but critical assessments beyond self-assessments have not always been done for fund allocations, which ended up based on financial delivery after an initial use of performance allocation criteria.

30. A two-step approach is used for resource allocation:

- For receiving an initial allocation, a joint programme must meet a “readiness criterion”, after which all available funds are disbursed on a pro-rata basis to the unfunded budget in the annual work plan of the joint programme.
- Any additional funds are allocated on a semi-annual basis following a review of implementation performance in relation to annual performance benchmarks defined in the joint programme documentation. In case of “unsatisfactory” progress, the joint programme will not receive additional resources, but may again apply after an additional six months following the same review process.

31. Within each joint programme, allocations to participating organizations are based on the annual work plan of the programme. The lead organization decides, in consultation with all participating organizations, on allocations. The resident coordinator endorses the decision.

5. Highlights

Related to the One Programme, including joint programming

32. The UNDAF (2007-2009) was organized around four thematic pillars. Based on the UNDAF, the One Programme was developed using the joint programme modality.

Governance pillar
Decentralization and Integrated Local Development
Building Capacity of Civil Society Organizations
Women's Empowerment and Gender Equality
Human capital pillar
Ensure the Most Vulnerable Populations Have Access to a Social Safety Net
Disaster Risk Reduction and Emergency Preparedness
Child and Maternal Health and Nutrition
Child Food Security and Nutrition
HIV and AIDS pillar
Strengthening HIV/AIDS Response in Mozambique
Economic development pillar
Building Commodity Value Chains and Market Linkages for Farmers' Associations
Promotion of Youth Employment
Effective Trade Policy Formulation and Management
In addition, three MDG-F-funded joint programmes were set up: <ul style="list-style-type: none"> Children, Food Security and Nutrition in Mozambique Environment Mainstreaming and Adaptation to Climate Change Strengthening Cultural and Creative Industries and Inclusive Policies in Mozambique

33. These joint programmes complemented broader joint programming efforts undertaken as part of the 2007-2009 UNDAF.
34. The first One Programme was funded by individual agencies and the One UN Fund, which included resources from the Expanded Funding Window and six donors. In addition, three joint programmes were funded directly by the MDG-F, not through the One UN Fund.
35. The new UNDAF (2012-2015) is substantially different, as there are no longer activities or organizations outside the new One Programme (the UNDAF Action Plan 2012-2015), including humanitarian actions. The UNDAF Action Plan represents the exclusive joint action plan for all UN organizations, replacing country programme action plans, for example. Annual work plans will largely be joint, and organized around the UNDAF Action Plan, while monitoring and evaluation will be fully harmonized internally among organizations and aligned with national systems.
36. Several programmes under the One Plan have substantive linkages with activities of other sources of external aid to Mozambique. UN support played a catalytic role or enhanced overall coordination and partnerships between the UN system and different bilateral and multilateral donors in several thematic areas, especially those that are sensitive or innovative.
37. The new UNDAF (2012-2015) is organized around three economic, social and governance focus areas.

Related to the funding situation ⁷³

38. Expenditure for development in Mozambique was US\$126 million in 2009 and US\$128 million in 2010, substantially above the US\$56 million in 2006:

⁷³ Source: resident coordinator office response to survey questionnaire. For details, see Table 3 at the end of the information sheet.

- After a steep increase to US\$147 million in 2008, expenditures leveled off to US\$122-128 million from 2009-2010, declining to US\$114 million in 2011. The increase was mainly related to rapid growth of non-core funding in support of the non-One Programme between 2006-2008.
 - The share of non-core funding in overall expenditure remained relatively stable at 65-72 per cent, while the One Programme gained an increasing share in overall expenditure for development, from 6 per cent in 2008 to 24 per cent in 2010. In 2011, its share declined to 12 per cent.
39. The share of core funding remained relatively stable over time, at 35 per cent in 2006 and 33 per cent in 2011. During 2007-2009, the core funding share was only 24-28 per cent, which is explained by the rapid increase in non-core funded expenditure during 2007-2009.
- Core funding was used to support non-One Programme as well as One Programme activities; the share of core funding for One Programme activities increased from 9 per cent in 2008 to 20-21 per cent from 2010-2011.
 - The importance of non-core funding for One Programme activities declined to 47 per cent in 2011, after being in the range of 63-73 per cent from 2008-2010.
 - The share of the One Fund in non-core funding increased between 2008-2010 from 5 per cent in 2008 to 26 per cent in 2010, but fell back in 2011 to 9 per cent, mainly due to the drop in resources mobilized for the One Fund in 2011 compared to prior years.
 - Joint programmes were implemented within and outside the One Programme from 2008; 90 per cent from 2008-2011 were funded from within the One Programme. Funding outside the One Programme came from the MDG-F.
40. The implementation of joint programmes within the framework of the One Programme encountered some difficulties due to delays in the transfer of resources from the One Fund/Expanded Funding Window between organizational headquarters and country offices. This was due to several factors:
- The allocation mechanism is sometimes inappropriate to deal with urgent funding requests. The One UN Steering Committee reviews all fund allocation requests as submitted by the UN country team, but sometimes due to the urgency for disbursing funds, decisions had to be made without a meeting.⁷⁴
 - The approval of joint programmes met with delays when they were extended and expanded within the context of the UNDAF extension, as government approval took more time than expected. In order not to compromise programmatic results, funds were allocated and spent without the formal prior approval process.
 - Once Steering Committee approval was obtained, the disbursement of funds from the One UN Fund to organizational headquarters was swift. But the transfer of funds from some headquarters to the country level took some time.
 - The unpredictability of timely replenishment of funding impacted the timely implementation of annual work plans. This was not an issue in MDG-F joint programmes as they were fully financed; the One UN Fund programmes were not.
 - While some delays in submission of progress and expenditure reports were encountered, peer pressure and commitment from joint programme lead organizations contributed to the timely finalization of reports. All reports went through a peer review by the Programme Management Team before finalization.
41. Delivery performance of joint programmes differed according to the type of funding available to the participating organizations. Those with access to their own resources had better delivery performance than those highly dependent on the One UN Fund,⁷⁵ such as some specialized agencies.

⁷⁴ Based on a written approval by the Minister of Foreign Affairs and Cooperation as chair of the Steering Committee.

⁷⁵ One UN Fund dependency in the different joint programmes was established by the UN country team as follows, looking at the share of One UN Fund resources in different joint programmes: HIV, 82 per cent; civil society, 26 per cent; gender equality, 29 per cent; decentralization, 36 per cent; social safety net, 61 per cent; disaster risk reduction, 49 per cent; health, 62 per cent; youth employment, 43 per cent; value chain, 22 per cent; and trade, 5 per cent.

The combination of different funding sources in joint programmes, i.e., typically the resources of the funds and programmes, and One UN Fund resources available to all agencies, resulted in an unforeseen situation. While some organizations were not limited in their operations, as they had their own funding, other agencies were entirely dependent on the transfer of funds through the One UN Fund mechanism. The delays encountered in the transfer of funds created a situation of “One UN Fund dependency;” organizations with a high dependency had a weaker delivery performance than those with a higher share of their “own” resources.⁷⁶

42. The availability of funding brought different organizations together. Those that might not have otherwise been actively participating made positive contributions; this should be considered a sign of progress. However, competition for resources was present, with some organizations seeing a resource mobilization and fund-raising opportunity. This did not necessarily encourage coherence.

6. Business process harmonization

43. One of the key actions regarding business process harmonization was the UN country team’s approval in December 2008 of the Change Management Plan, funded by the One UN Fund. The plan included a set of activities organized into five areas: building common ICT infrastructure and services; establishing common premises; harmonizing business practices; increasing capacity; and ensuring staff inclusion, training and welfare. In addition, the UN country team in 2010 officially launched a common data network and services system, with 13 organizations using the service.
44. For common premises, out of nine options identified in 2007, three were recommended by a UN Common Premises Task Team. But a subsequent feasibility study indicated that the proposed plot was not suitable due to soil and geotechnical conditions, and security issues, apart from not meeting space requirements. Following these findings, the search for a space for common premises has been suspended for the time being.
45. The UN country team reports the following achievements and constraints:
 - The process of joint programming, budgeting, funding and reporting followed headquarters guidance notes. This helped the UN system to streamline and harmonize different programming and reporting processes. The implementation of HACT contributed to this process.
 - While Delivering as One brought organizations together, their specific programming, funding, resource mobilization and reporting requirements continued. As such, they often had to produce two separate reports, one for the UN system itself and another for their headquarters. Similarly, with HACT, annual work plans for individual organizations continued, while efforts were made to produce joint inter-agency annual work plans, as the former are connected to the funding authorization and certificate of expenditure disbursement modalities of the harmonized approach.

⁷⁶ Organizations with One UN Fund dependency above 90 per cent, by programme: civil society (ILO, 190 per cent); gender equality (UNIDO, 214 per cent, FAO 96 per cent and UNESCO, 92 per cent); decentralization (FAO, 99 per cent, UNCDF, 90 per cent, ILO, 91 per cent and WHO, 91 per cent); social safety net (ILO, 126 per cent); disaster risk reduction (WHO, 119 per cent); youth employment (UNCDF, 90 per cent and FAO, 93 per cent); value chains (IFAD, 100 per cent and FAO, 97 per cent); trade (UNDP, 91 per cent, FAO, 92 per cent and UNCTAD, 100 per cent).

7. Use of national systems by UN organizations within the framework of Delivering as One

46. The UN country team is pursuing alignment with national systems in various ways:
- Alignment with national planning processes: The team has aligned its annual planning process with the timing of the Government, which plans in April/May for the subsequent year. UN organizations meet jointly with relevant ministries and inform them of the support and budget to be allocated to the sector. This allows the Government to be aware of available resources for its own planning.
 - Alignment with national priorities: The UNDAF is based on national priorities outlined in the national poverty reduction strategy paper.
 - Alignment with national budgeting processes: From 2012 onwards, the UN country team has decided to register in the national budget the contribution directly transferred to ministries. Using this system will allow them to more accurately plan their annual budgets, since they will know how much support they can expect from the UN system.
 - So far, two agencies have registered their contributions in the budget. However, the UN country team has decided that all agencies will register these amounts and under a One UN heading.
47. A HACT database was activated in 2010 to provide a list of all implementing partners using the approach; monitor risk ratings of partners to determine the scope of assurance activities; guide micro-assessments and annual audits; monitor onsite reviews; and monitor training on the approach. Since 2007, 156 partners have undergone micro-assessments. Overall, eight UN organizations are applying HACT (UNICEF, UNFPA, UNDP, WHO, WFP, UNESCO, UNIDO and UN Women), but there is some deviation from the undg prescribed model, such as:
- Some organizations use the approach for all disbursements, while others apply it for selected disbursements;
 - Some organizations are not applying the HACT audit; and
 - Other more specific limitations are often imposed by organizational requirements in terms of reports and disbursements.

8. Transaction costs for national partners, donors and the UN country team

48. There were no systematic discussions by the UN country team with national partners and donors regarding transaction costs; the team is not specifically tracking them. Nonetheless, it conducted a qualitative perception survey of national agencies and donors in 2010, and mapped various business processes in several areas (procurement, payment processes, HACT, human resources processes, ICT and common premises) to assess the potential for reducing transaction costs. The expectation is that changes in these areas will result in a reduction of transaction costs for the UN country team, and partially also for the Government, as well as improved quality and relevance of work. This is to be achieved as well with the development results groups.
49. At the time of the survey in 2012, change processes in the following areas had been implemented: common long-term agreements, training, databases, a data network, VSAT, back-up connectivity, and directory and webpage hosting services.
50. The major constraints in the reduction of transaction costs are seen in different corporate enterprise resource planning systems, but also in poor responses from agencies on questionnaires and surveys to try and establish long-term agreements, etc.

9. Cost of coordination⁷⁷

51. The UN country team increased from 12 to 15 agencies between 2009 and 2011, of which 6 are funds or programmes (UNDP/UNCDF, UNFPA, UNAIDS, UNICEF, UNIFEM/UN Women and WFP) and 3 are specialized agencies (FAO, UNESCO and WHO). In 2011, there were 13 non-resident agencies

⁷⁷ For details, see Table 4 at the end of the information sheet.

operating, but only six of them are members of the UN country team (UN-Habitat, ILO, IOM, UNEP, UNIDO and the United Nations Interregional Crime and Justice Research Institute or UNICRI). The World Bank and the IMF joined the team in 2012.

52. The professional staffing of the resident coordinator office has grown and shrunk from five in 2006 to 13 in 2009 to 6 as of 2012. It currently includes one international and five national professional officers. Funding for the office comes from the UNDG, SIDA and UN system cost sharing.
53. The staffing of the UN country team shows the following trends from 2006-2011:⁷⁸
 - Funds and programmes: While the number of positions for General Service staff and international professional staff remained essentially constant at around 90 and 52, respectively, the number of national professional staff members increased from 30 in 2006 to 47 in 2011, or by nearly 57 per cent.
 - Specialized agencies: The positions of international and national professional staff remained essentially unchanged at 24 in total, of which 20 per cent were for international professional staff and 80 per cent for national professional staff. In contrast, the number of General Service positions increased by 17 per cent, from 36 in 2006 to 42 in 2011.
54. The cost of operational support, i.e., for the resident coordinator and country offices of the funds and programmes and specialized agencies from 2008-2011 (including all staff positions and non-staff allocations), witnessed the following trends:
 - c) The cost of the resident coordinator office decreased from an estimated US\$1.36 million in 2009⁷⁹ to US\$860,000 in 2011.
 - d) The cost of the offices of the funds and programmes nearly doubled, from US\$3.9 million in 2006 to US\$7.6 million in 2011.
 - e) The cost of the offices of specialized agencies increased by 46 per cent, from US\$3 million in 2006 to US\$4.3 million in 2011, mainly because the cost for national professionals doubled and for General Service staff increased by a third. The cost for international professional staff increased by only 5 per cent.

Statistical tables relating to the funding situation

Table 1: Deposits by donors to the One UN Fund in US\$ (millions), 2006-2011⁸⁰

Contributor/partner	Deposits	Share, %
Canada	9.2	13
Expanded Funding Window	35.0	51
Netherlands	6.6	10
Norway	4.6	7
Spain	12.0	18
Sweden	0.6	1
United Kingdom	0.1	0
Total deposits	68.1	100

⁷⁸ Information on the resident coordinator office staffing positions prior to 2009 has not been provided.

⁷⁹ Information on prior years was not provided.

⁸⁰ Source: Multi-Partner Trust Fund Office GATEWAY. Countries in bold also supported the Expanded Funding Window.

Table 2: Transfer of funds from the One UN Fund to UN organizations in US\$ (millions), end 2011⁸¹

Organization	Transfers to organizations by end 2011	Share of transfers in total, %
UNAIDS	0.5	1
UNCDF	1.3	2
UNDP	7.7	13
UNFPA	3.9	7
UNICEF	9.3	16
UN Women	2.4	4
Funds and programmes	34.7	59
FAO	5.1	9
ILO	4.5	8
UNESCO	4.4	7
UNIDO	2.4	4
WHO	3.3	6
Specialized agencies	19.7	33
IFAD	0.0	0
IOM	1.7	3
ITC	0.3	0
UNCTAD	0.2	0
UN-Habitat	1.5	3
UNHCR	0.9	2
Total other organizations	4.6	8
Total funding One UN Fund	59.0	100

⁸¹ Source: Multi-Partner Trust Fund Office GATEWAY. Figures on transfers reflect the situation at the end of 2011. Transfers do not reflect the actual expenditure situation, which was available in May 2012 and can be accessed at the Multi-Partner Trust Fund Office GATEWAY.

Table 3: Source of funding of UN development expenditure⁸²

Source of funding of UN development expenditure	Values in US\$ (millions)					
	2006	2007	2008	2009	2010	2011
Total estimated annual UN expenditures for development by programme and funding source	55.5	94.2	147.2	128.2	122.6	113.5
Non-One Programme	55.5	94.2	138.7	112.1	92.9	99.3
Core funding	19.4	25.5	31.8	30.2	29.8	29.5
Non-core funding of non-One Programme activities	36.2	68.7	106.9	81.9	63.1	69.8
One Programme	0.0	0.0	8.6	16.2	29.7	14.2
Core funding	0.0	0.0	3.1	5.3	8.1	7.5
Non-core funding (One UN Fund), of which	0.0	0.0	5.4	10.9	21.6	6.7
One Fund (without Expanded Funding Window)	0.0	0.0	5.4	3.4	0.8	0.0
Expanded Funding Window	0.0	0.0	0.0	7.5	20.8	6.7
Share of One Programme in total annual UN expenditure for development, %	-	-	6	13	24	12
Share of non-core funding in total annual UN expenditure for development, %	65	73	76	72	69	67
Share of One UN Fund in One Programme, %	-	-	63	67	72	47
Share of core funding in One Programme, %	-	-	9	15	21	20
Types of non-core funding	36.2	68.7	112.0	92.8	84.7	76.5
One UN Fund mobilized through resident coordinator	0.0	0.0	5.4	3.4	0.8	0.0
One UN Fund supported by Expanded Funding Window	0.0	0.0	0.0	7.5	20.8	6.7
One Programme	0.0	0.0	5.4	10.9	21.6	6.7
Non-One Programme	36.2	68.7	106.9	81.9	63.1	69.8
Share of One UN Fund in non-core funding, %	-	-	5	12	26	9
Execution through joint programmes	0.0	0.0	9.4	19.8	33.9	14.2
Execution through joint programmes outside the One UN Fund (MDG-F)	0.0	0.0	0.6	3.6	4.2	0.0
Execution through joint programmes within the One UN Fund	0.0	0.0	8.6	16.2	29.7	14.2
Share of joint programmes funded by the One UN Fund, %	-	-	9	82	88	100

⁸² The consolidated data reflect data submitted by all UN organizations. In certain cases, organizations were not in a position to complete all information through the resident coordinator office. Note that the total expenditure figure for 2011 is indicative due to unavailability of detailed data. The breakdown by funding source is considered by the resident coordinator office more reliable than the breakdown by execution modality and by earmarking. Data do not include WFP for 2006

Table 4: Source of funding of UN development expenditure and staffing, and cost of supporting the One Programme⁸³

Source of funding of UN development expenditure in Mozambique	In US\$ (millions)			
	2006	2008	2009	2010
Total estimated annual UN expenditure for development in Mozambique by programme and funding source	55.5	147.2	128.2	122.6
Non-One Programme	55.5	138.7	112.1	92.9
One Programme	0.0	8.4	n.a.	n.a.
Core funding	19.4	31.8	30.2	29.8
Non-core funding	36.2	106.9	81.9	63.1
Of which				
One UN Fund mobilized through resident coordinator/ headquarters	0.0	5.4	3.4	0.8
One UN Fund supported by Expanded Funding Window	0.0	0.6	3.6	4.2
Other (non-core) resources (MDG-F and other sources)	55.5	147.2	128.2	122.6
Support to One Programme (cost of resident offices)	Number of staff			
Human resources of resident coordinator office	n.a.	n.a.	10	11
Human resources of country offices of funds and programmes	170	180	178	189
Human resources of country offices of specialized agencies	60	63	65	68
	US\$ (thousands)			
Estimated cost of resident coordinator office	n.a.	n.a.	1.4	1.4
Estimated cost of country offices of funds and programmes	3.9	4.8	6.7	7.3
Estimated cost of country offices of specialized agencies	3.0	3.4	3.7	3.9

Pakistan⁸⁴

1. Implementation of the Ones

1. Pakistan's former Prime Minister co-chaired the UN Secretary-General's High-Level Panel on United Nations System-wide Coherence, and also joined the Secretary-General to launch the panel's report at the UN General Assembly. In late 2006, the Government of Pakistan requested that UN assistance to the country should be based on the Delivering as One principles. The pilot process was launched in March 2007.⁸⁵

⁸³ The consolidated data reflect the data submitted by all UN organizations. Organization-specific data were available to the independent evaluation. In certain cases, organizations were not in a position to complete all the information due to unavailability of detailed data. In some cases, more detailed information is inconsistent due to different interpretations of data.

⁸⁴ Source of information: Delivering as One survey, field interviews, document research and the Multi-Partner Trust Fund Office GATEWAY.

⁸⁵ This was followed by the planning process for Delivering as One implementation (around a two-year period), while actual implementation started in February 2009 after the signing of the One Programme document.

2. The major stakeholders were, within the Government, the Economic Affairs Division,⁸⁶ federal line ministries and provincial governments. The UN country team organizational heads were at the core of the process. After initial strong engagement, donors were not proactive, and civil society played a minor role.
3. From 2007-2010, major changes took place in Pakistan, impacting the performance of the pilot:
 - The leadership that volunteered Pakistan as a pilot changed soon after the inception of Delivering as One, and there have been two governments since then.
 - As part of Pakistan's current far-reaching devolution process,⁸⁷ most federal line ministries were abolished in 2011 and their powers/functions transferred to the provinces. The central ministries⁸⁸ with whom the UN system traditionally worked no longer exist.
 - A spate of emergencies shifted the focus of the UN system, donors and the Government away from development activities, including those relating to Delivering as One, and towards humanitarian action (the Afghan refugee crisis, the worst floods in the history of the country in 2010 and localized monsoon-related displacement in 2011, terrorism, the "war on terror" and extremism resulting in waves of internally displaced people, or IDPs).
 - Access to programme sites has been severely restricted because of the deteriorating security situation. The UN system itself has been the target of terrorist attacks, resulting in the loss of UN staff lives. Consequently, the UN Policy Committee advised the UN country team to undertake a programme criticality assessment, and reduce international staff and its footprint.
4. The major components of Delivering as One in Pakistan are the One Programme, One Leader, One Budget and One Office, with national ownership remaining the integral pillar of the reforms. The main efforts have focused on the One Programme. It was anticipated that increased funding would result from donor support to the One Fund located in the One Budgetary Framework. The One Office concept included both a "UN village", and efforts to increase operational efficiency and reduce transaction costs. The One UN Village still remains incomplete—the land provided by the Government is not regarded as affordable for the UN system—but seven UN agencies are currently co-located—largely for security reasons.
5. At the start of the pilot in 2007, the UNDAF 2004-2008 was still ongoing. It was therefore decided to: extend the ongoing UNDAF to the end of 2010, facilitating alignment with the National Medium-Term Development Framework, and review it towards better focus and response to the rapidly evolving development needs of the country. The One Programme would become the UN system's primary channel of delivery of its support to Pakistan's development, while the existing UN programmes and projects would run their previously agreed course to completion. Subsequently, the Government and the UN system jointly decided to replace the extended UNDAF with the One Programme (2009-2010). The One Programme was extended to 2011-12 at the request of the Government.
 - The new UNDAF/One Programme II (2013-2017) remains at the heart of Delivering as One in Pakistan. It takes into account the shortcomings of the first One Programme (large canvas, small funds, etc.). Stronger, more explicit linkages were made between humanitarian and development work. There is strengthened results-based management and accountability. The programme will cover all UN system work in Pakistan, as agreed by the Government and the UN country team.
 - The One Fund did not achieve its original goals, but nonetheless, its existence created synergies and produced positive effects in those areas where it was made available.

⁸⁶ The Economic Affairs Division is the core aid coordination entity of the Government of Pakistan and the Government focal point for UN reform in Pakistan.

⁸⁷ As a result of the eighteenth constitutional amendment, for the first time in the history of Pakistan, all major line ministerial functions have been devolved to the provinces. The transition has been time intensive, and the consolidation of the devolved structures is still in process.

⁸⁸ Health, education, social welfare, environment, labour, food and agriculture, population welfare, women's development, etc.. These include the corresponding counterpart line ministries for each joint programme/thematic area.

- There has been no continuity in the resident coordinator position, and thus the One Leader approach was not effective. There have been four resident coordinators in five years, posing challenges for continuity that influenced programme performance and staff motivation. Also, there is the perception that the firewall between the resident coordinator and UNDP is not effective.
 - In the face of multiple demands from the humanitarian and security crises, the UN country team did not prioritize One Voice in the early years of Delivering as One. Further, the UN country team did not view joint advocacy, external relations and a communications strategy as fundamental to the pilot. Compared to organizational brands, One UN is largely unknown.
 - The value of the One House is questioned on security and financial grounds.
6. Delivering as One has given the UN country team some cohesion to function as a system in a very volatile national environment. Implementation has been challenging, and transaction costs for every organization have doubled or tripled in terms of volume of work. Delivering as One processes are perceived by the UN country team, the Government and donors as too heavy and in need of streamlining. For UN staff, they are said to take too much time away from their organizational work. Internal systems in some organizations do not place inter-agency coordination in staff requirements or results frameworks.
 7. From 2006-2010, Pakistan's development assistance⁸⁹ fluctuated from a low of US\$2.8 billion in 2007 to a high of US\$7.5 billion in 2009. Total UN assistance increased from US\$225 million in 2006 to US\$1.8 billion in 2010, an average of 7 per cent of overall development assistance. While UN support ranged during 2006 and 2008 between US\$231 million and US\$238 million, it increased in 2009 to US\$691 million, and reached US\$1.8 billion in 2010. Humanitarian assistance to Pakistan was always substantial, but particularly so in 2009 and in 2010; it constituted the bulk (70-84 per cent) of UN assistance.

2. Overall management of Delivering as One

8. The Delivering as One initiative is a joint undertaking between the Government and the UN country team under the leadership of the resident coordinator. To implement the pilot, the following structures were established:
 - High-Level Committee on UN Reforms in Pakistan;⁹⁰
 - Executive Committee of the One Programme;
 - Joint programme steering committees;
 - Joint programme component task forces;
 - Thematic working groups, each co-chaired by two or more heads of organizations;
 - Convening agent for each joint programme component; and
 - One UN Monitoring and Evaluation Network, UN Communications Group, UN Team on HIV/AIDS, cross-cutting issues working groups (including the inter-agency group on gender equality), and Operations and Management Group (comprising six working groups).
9. Despite the difficulties in implementing Delivering as One, the UN country team was effective in playing its convening role, as well as remaining an impartial interlocutor. This resulted in many partnerships with key sources of external funding, such as the international financial institutions and bilateral donors, both in the humanitarian and development areas. The Post-Crisis Needs Assessment, for example, involved the World Bank, European Union, Asian Development Bank, provincial and federal governments, and the UN system.
10. In addition, the One UN has been involved in damage and needs assessments after the 2010 and 2011 floods on the basis of the established One UN thematic format. These were led by the Asian Development Bank, and included the World Bank, Government and key international stakeholders. Under the

⁸⁹ Information provided by the national Economic Affairs Divisions. It includes loans by the World Bank and Asian Development Bank.

⁹⁰ The Government is a co-chair in the steering mechanism of Delivering as One.

leadership of the UN Secretary-General's Special Envoy for Pakistan, the UN system participated in the Friends of Democratic Pakistan meetings and activities,⁹¹ contributing both resources and technical inputs. The UN system convenes a number of specialized groups, including the Inter-Agency Group on Gender and Development, which includes donors and other partners, and the Ending Violence Against Girls and Women Group.

3. Funding modalities within the framework of Delivering as One

Common Budgetary Framework

11. The One UN Programme 2009-2012 was supported by a common budgetary framework that established mobilization target estimates by core and non-core resources, and funding gaps for five priorities (joint programmes). It targeted resources of US\$890 million, composed of indicative funding of US\$318 million from core and non-core resources, comprising US\$69.42 million and US\$249.49 million, respectively. This left a budgetary gap of US\$572 million.⁹²
12. During the lifecycle of the One Programme (2009-2012), the UN country team periodically reviewed progress on the budgetary resources for the One Programme, annually and semi-annually. Since parallel resources had a larger share in the resource framework than that of the One Fund provisions, the funding gap changed due to the increase of non-core funding mobilized by organizations to achieve One Programme outcomes.

One Fund

13. A key component required to support the One UN and the One UN Programme is the Pakistan One Fund. It was designed to become the major vehicle for resource mobilization to support the unfunded portions of the One UN Programme as well as new initiatives responding to emerging needs within the programme's context. The concept of unearmarked funding was, however, only partially successful, as there have been cases where some resident donors showed interest in supporting the One Programme, but were not willing to channel funds via the One Fund (e.g., the European Commission, the Canadian International Development Agency, etc.).
14. 2009 was the first year of implementation of the One Programme, following a two-year planning period (2007-2008), and consequently expenditure using One Fund resources was low that year. The major portion of funding was received towards the second half of 2009. Expenditure accelerated in subsequent years.
15. Overall resource mobilization for the Pakistan One Fund was disappointing, which may be due to the lack of interest of major donors or their preference for the status quo, whereby they would maintain relationships with individual organizations.⁹³
16. There is no code of conduct applied to regulate the ways in which individual organizations mobilize resources, and there is no One UN communications approach. Overall, donor coordination in the development field is not strong in Pakistan, and there has been greater coherence in the humanitarian response. Delivering as One has not yet become a major focus for coordination. Some donors have continued to make independent programmatic, geographic and partnership choices, and there is persistent uncertainty around funding for the second One Programme, whether through unearmarked or earmarked funding arrangements.

⁹¹ Up to the arrival of the UN Secretary-General's Special Envoy, the resident coordinator led the UN system's work in this respect, as well as after his departure in September 2011. The Friends of Democratic Pakistan is a political platform launched by the Government with bilateral support; it aims to consolidate democracy, and promote social and economic development in Pakistan.

⁹² The total resource envelope of the One Programme was US\$890 million for an initial period of two years (2009-2010), as reflected in the One Programme document signed by the UN system and the Government. In response to the request of the Government, the One Programme was extended to 2012 within two months after starting. It had the same results framework and joint programme thematic working groups (including the concerned line ministries), and increased the indicative budget to US\$1.284 billion, which was also the object of the request for funding to the Expanded Funding Window. Towards the end of 2011, the Government and UN country team decided to stick to the US\$890 million target of the signed One Programme document.

⁹³ The One Fund provided less incentive to donors (in terms of decision-making power, monitoring, branding, etc.) than direct earmarked bilateral funding to organizations. This issue is not confined to Pakistan.

4. Programming and funding mechanisms—governance and resource allocation

Governance of the One Fund mechanism

17. The following mechanisms have been set up in Pakistan to govern Delivering as One and the One Fund:
 - **The High-Level Committee and its Finance Sub-Committee** oversee the UN reform process. Chaired by the Minister of State for Economic Affairs, the committee consists of key line ministries of the Government, major donors, the resident coordinator and the 10 UN country team members who chair thematic working groups. The sub-committee is chaired by the Secretary of the Economic Affairs Division; it includes the resident coordinator and one donor representing the donor community.
 - **The United Nations country team** discusses and makes decisions on all aspects of piloting UN reform. It is chaired by the resident coordinator. Overall management of the One Fund is led and coordinated by the resident coordinator, who provides the strategic orientation for the One Fund, mobilizes resources for it, and promotes synergies between joint programmes and joint programme components.
 - **The joint programme steering committees** are accountable to the High-Level Committee and decide on the management of each of the five thematic areas of the One UN Programme. They oversee and provide strategic guidance for programme implementation in their respective areas, and approve prioritization of outcomes and outputs. Through their subsidiary component allocation sub-committees, the joint programme steering committees make recommendations to the High-Level Committee's Finance Sub-Committee on the allocation of funds to each joint programme component.
 - **The task forces** of the joint programme steering committees are chaired by UN organizations and national implementation partners, and involve all concerned UN organizations. They make recommendations on resource allocations to organizations participating in the joint programme components, monitor the implementation of joint programmes, and promote synergies and collective accountability at the joint programme component level.
 - The *Multi-Partner Trust Fund Office* is the **administrative agent** of the One Fund.
 - Any **participating UN organization** that has signed a memorandum of understanding is eligible to submit project proposals for funding from the One Fund. Other non-UN participating organizations with similar financial regulations and rules may also submit proposals to the fund if they have signed a separate memorandum of understanding with the Multi-Partner Trust Fund Office. Implementing partners such as NGOs have access through participating UN organizations.
18. Since the Delivering as One apex body, led by the federal Government and including donors and provincial representation, is responsible for allocating unearmarked funding, and since it approves earmarked funding requests, it ensures national ownership and stakeholder decision-making.

Resource allocation criteria and fund performance

19. The High-Level Committee's Finance Sub-Committee and the Executive Committee of the One Programme decide on the allocation of unearmarked contributions at the One Programme level to one or more joint programmes, based on recommendations and inputs from the UN country team and in dialogue with technical ministries, national partners and donors. They also endorse allocations to the different joint programme components, based on recommendations and inputs of the respective joint programme steering committee and component allocation sub-committees.
20. The joint programme steering committees approve prioritization of outcomes and outputs at the joint programme level. Furthermore, through their subsidiary component allocation sub-committees, they recommend to the High-Level Committee Finance Sub-Committee the allocation of funds to each joint programme component. These decisions are then communicated to the sub-committee for endorsement.
21. The task forces at the joint programme component level are co-chaired by a UN organization and national implementation partners, and involve all participating UN organizations. Task forces make

recommendations on resource allocation within the joint programme component for approval by the joint programme steering committees in the form of an allocation plan to participating UN organizations. Task forces also monitor the implementation of joint programmes, and promote synergies and collective accountability at the joint programme component level.

22. The criteria for fund allocation performed as expected, despite the constraints and limitations imposed by external factors (delays, global financial crisis, humanitarian disasters, donor fatigue in Pakistan, etc.). However, some of the criteria of the Expanded Funding Window⁹⁴ allocation to Delivering as One pilots seemed to work against countries where chronic poverty and inequality remain a reality, despite the national middle-income status.
 - Earmarked funding from the One Fund: Allocation decisions were made within the space provided by the donor. The steering mechanism decided on inter-agency allocations, based on project work plans and the One Fund governance structure. In case of multi-tranche funding for a project, progress on earlier allocations (programmatic and financial delivery) was considered in decision-making. Indicators of satisfactory performance of the allocation criteria include the fact that consensus was maintained throughout, and that the end result was a more balanced and equitable distribution of resources within the earmarked joint programmes and joint programme components.
 - Unearmarked funding from the One Fund: The allocation criteria for unearmarked resources were a critical dimension of the One Fund. The Expanded Funding Window country allocation (by the Steering Committee in New York) is based on agreed criteria⁹⁵ between UN DOCO and donors. These factor in the annual budgetary gap (large in the case of Pakistan) and the 80 per cent/20 per cent allocation between the least developed and middle-income countries. Even though Pakistan is a low-middle-income country, poverty and disparities have been increasing dramatically over the past couple of years. The near-annual humanitarian crises, most notably the 2010 floods, have further slowed Pakistan's progress towards achieving the MDGs. Therefore, the 80/20 rule has not been sensitive to the wide range of urgent development needs of Pakistan.
23. The following basic criteria were adopted in the internal country allocation of unearmarked funds from the Pakistan One Fund:
 - Critical areas in the joint annual work plans not funded by conventional earmarked funding/bilateral assistance;
 - Current national priorities and joint programme priorities agreed by UN organizations and their respective line ministries;
 - Emphasis on enhanced inter-agency engagement;
 - Past performance on programmatic results and financial delivery (of organizations, joint programmes and joint programme components) on earlier unearmarked provisions of the One Fund;
 - Extent of mainstreaming of cross-cutting issues; and
 - Sustainability.
24. The application of this set of criteria resulted in the consensual selection of the most important interventions for funding under the Expanded Funding Window; in short, the internal criteria performed well. However, the UN country team felt that a fresh approach was needed to improve prioritization. With the next tranche of unearmarked funding, the team has agreed to try a new process of competitive proposal selection on the basis of results-based criteria, with proposals made on the basis of results-based management principles. Proposals will be graded by an inter-agency panel for final selection.

⁹⁴ The requirement that 80 per cent of the Expanded Funding Window's global resources be allocated to least developed countries, and 20 per cent to middle-income countries.

⁹⁵ Stipulated in the Expanded Funding Window operational document.

5. Highlights

Related to the One Programme, including joint programming

25. In Pakistan, with the launch of Delivering as One, it was decided to replace the (extended) 2004-2008 UNDAF with the pilot One UN Programme approved in early 2009, initially for a two-year period. Beyond 2010, it was envisaged that the One Programme would continue the remaining activities of the joint programmes, while also seeking new opportunities to increase the impact of joint programmes already delivered, and striving to address emerging priorities. The One Programme was designed to establish a direct link with overall UNDAF implementation, which would continue through the collaboration and individual work of participating organizations. Many agencies aligned their country programmes to the One Programme. The vision was that the One Programme would ultimately replace the UNDAF concept and directly respond to the priorities of the national development agenda. Upon the request of the Government of Pakistan, the One Programme was extended until end-2012.⁹⁶
26. The intention was to make the One Programme the UN's primary channel for delivering socio-economic support to Pakistan's development, while ongoing UN programmes and projects would run their previously agreed course to completion. The One Programme was grouped around five themes,⁹⁷ including four cross-cutting issues.

Related to the funding situation^{98 99}

44. The current commitment (up to 2014) of donors contributing to the One Fund is US\$100.6 million,¹⁰⁰ out of which US\$73.1 million has been provided. The balance is expected in accordance with the time-lines of agreed tranches.¹⁰¹ Of the sum received, US\$36.7 million has been provided as unearmarked funding. As of December 2010, expenditures from the One Fund were US\$25 million. Unearmarked funding comprises US\$20.9 million of Expanded Funding Window funds, US\$12 million of MDG-F¹⁰² funds and US\$3.8 million of bilateral funds.
45. Overall, the One Fund provisions (earmarked and unearmarked) encouraged UN country coherence, though this was more apparent for unearmarked funds. Inter-agency engagement was mandatory for all One Fund provisions. Although the One Fund is a small portion of the One Programme, nevertheless, its disbursement enabled inter-agency synergies in planning and programming, especially in the case of technical cooperation.¹⁰³ In some cases, there were examples of "in kind" technical contributions, data sharing and joint baselines as well.
46. The most significant feature of the funding situation for Delivering as One is the growth of humanitarian assistance. By 2010, it was nearly six times that of development assistance. With Delivering as One only really operational as of 2009, this constrained the time that the UN country team could

⁹⁶ Three months after the signing of the One Programme document in February 2009, the One Programme (2009-2010) was extended until the end of 2012.

⁹⁷ The themes referred to the five joint programmes of: Education; Environment; Disaster Risk Management; Health and Population; and Agriculture, Rural Development and Poverty Alleviation. The joint programmes comprise 21 joint programme components. Four cross-cutting issues are gender equality, human rights, civil society engagement and refugees.

⁹⁸ For details, see Table 3 at the end of the information sheet.

⁹⁹ The data upon which this analysis relies have been provided by the resident coordinator office, which collected and consolidated the information from country offices in Pakistan.

¹⁰⁰ Details are provided on the Multi-Partner Trust Fund website: <http://mdtf.undp.org/factsheet/fund/PK100>.

¹⁰¹ Source: Multi-Partner Trust Fund Office GATEWAY.

¹⁰² Pakistan received the MDG-F funding in the One Fund on the basis of the donor's (Spain) provisions for UN reforms and Delivering as One pilot countries, and not via bilateral assistance (provided to a list of 53 countries), which would have been outside the One Fund.

¹⁰³ For instance, the Paris Declaration Survey 2011, undertaken by the Government of Pakistan for 2010, highlights the overall joint technical cooperation of the UN system in Pakistan.

dedicate to the pilot. Within this broad context, the funding situation related to development evolved as follows:

- During 2007-2009, expenditure for development remained essentially stagnant (US\$169-188 million), after increasing by 29 per cent from US\$144 million in 2006. In 2010, the expenditure levels for development increased by 51 per cent to US\$285 million, mainly due to increases in non-core funding for activities within and outside the One Programme.
 - As of 2009, 70-79 per cent of all development expenditures were under the One Programme, mainly because most of the core funding (93 per cent) was allocated as of 2009 under the One Programme.
 - The share of non-core funding in overall expenditure for development increased from 59 per cent in 2006 to 77 per cent in 2010, and the share of unearmarked funding within the One Programme was only 16 per cent in 2010.
 - The One Fund, including the Expanded Funding Window, covered 11 per cent of non-core expenditures in 2010, with the remainder being mobilized by organizations directly. All resources under the One Fund were implemented through joint programmes.
47. As per the agreed mechanism with the Government, the One Fund is composed of unearmarked and earmarked funding. Despite its relatively small size, it was useful in filling the budgetary gap (especially via unearmarked provisions, which were allocated to strategic priority areas defined in the work plans). It also has been a key source of UN coherence.
48. Programmes under the One Fund and Expanded Funding Window were approved as planned, but the approval process of the multi-tiered Joint Programme Steering Committee was time-consuming. Typically, the period between submission and approval required six months. The new One Programme envisages substantially reducing this timeframe. There were also significant delays in the receipt of funding and its allocation:
- The **delay in funds released** by funding sources and major changes in payment schedules caused delays in programme implementation and fulfilment of commitments with counterparts (as envisaged in the joint annual work plans):
 - The concept behind the Expanded Funding Window was to provide predictable and unearmarked funding on a multi-year basis, in the beginning of the year; however, the funds were released much later in the year.
 - In one instance, where the donor was unable to provide agreed remaining tranches due to the global financial crisis, there were adverse consequences for ongoing work.
 - **Time-consuming endorsement process** of the Joint Programme Steering Committee, where the UN system, government counterparts and a donor representative have to agree on the allocation.
 - **Competing priorities** of the line ministries (present in the Steering Committee) for the unearmarked funds led to protracted discussions and delayed decisions.
49. Other events that resulted in delays or difficulties in implementing agreed work plans of programmes under the One Fund and Expanded Funding Window, were:
- The large-scale national humanitarian crises in Pakistan (the widespread floods of 2010 that affected 20 million people, the monsoon flooding in 2011 that affected over 5 million people and the IDP crisis due to the militant conflict of 2009-2010);
 - The Government's decision to postpone key overarching national programmes such as the National Census (not held yet, though planned in 2010) and the Nutrition Survey (only completed in 2011) affected implementation of related support activities funded by the earmarked One Fund provisions.
50. There have also been delays and difficulties in submitting progress and expenditure reports. Participating organizations faced a double burden of reporting to their own organizations and to the One

Fund/One Programme. Different reporting formats, protocols and processes among agencies further complicated this situation.

51. The Multi-Partner Trust Fund publishes the One Fund annual reports in May of the subsequent year, but expenditure/delivery figures are required much earlier to determine the overall One Fund/One Programme¹⁰⁴ delivery status, especially for government reporting and the joint government-UN system oversight mechanism. Some contributing donors also want earlier expenditure reports. One Fund delivery has to be factored into the resident coordinator annual reports, due on 30 January. Expanded Funding Window donors have been requesting provisional expenditure on the One Fund before the release of the next tranche. Figures collected manually from organizations as part of informal reporting are the only source of information—and create yet another layer of reporting—until the receipt of the One Fund financial report in May. On occasion, these figures do not tally with the Multi-Partner Trust Fund numbers, as there is the need to harmonize the treatment of expenditures.
52. The One Fund financial report, prepared by the Multi-Partner Trust Fund on the basis of organizations' country office reporting, does not show financial expenditure against the source of funding as the funds are co-mingled. Some donors are requesting reports on the use of their contribution, at least financially. Some donors who have provided earmarked funding to the One Fund have insisted on separate reports on their donor programmes/projects on a yearly basis, in addition to the One Fund/One Programme annual report prepared by the resident coordinator and UNDP, as administrative agent of the One Fund.

6. Business process harmonization

53. Sizeable earmarked funding (for example, Norway's ongoing contribution of NOK 245 million, spread over five years) in the One Fund enabled participating agencies to plan and budget accordingly for the multi-year programme. The shared, detailed budgeting enabled synergies in planning, which reduced duplication, and in monitoring the progress and establishing budgets. Agencies engaged with donors and national counterparts in a collective manner. When it comes times for reporting, the UN system sends one single donor report annually for programmes funded via the One Fund, but this is in addition to the regular annual One Programme/One Fund report, a duplication that is against the harmonized reporting envisaged as part of UN reforms. In the case of Norway, the donor insists on separate reporting for its funded programme, primarily because of the large amount, and secondly because it is required to do so by its Parliament.
54. In the context of the One Fund, the signing of one single agreement by the resident coordinator, donor and UNDP as the administrative agent¹⁰⁵ saves cost and effort, and reduces financing agreements for individual organizations.
55. On the other hand, the endorsement process of the Joint Country Steering Committee on the earmarked and unearmarked allocations has been time-consuming. While the steering mechanism of the One Fund is in accordance with the principles of the Paris Declaration on Aid Effectiveness and enhances national ownership of UN assistance, the process is perceived by organizations as time-consuming compared to direct bilateral funding. The inter-agency and sectoral (joint programme/joint programme component) allocation of unearmarked funds has also led to delays.

7. Use of national systems by UN organizations within the framework of Delivering as One

56. In the first One Programme, only three organizations—WHO, UNHCR and IFAD—are engaged in direct use of national systems, in accordance with the OECD definition of development expenditure using national systems. According to the Paris Declaration Survey for Pakistan 2011, in 2010 devel-

¹⁰⁴ The UN country team has been preparing the One Programme report, which includes the One Fund. This report shows the financials for the One Fund and parallel funding separately as well as together. The narrative is combined for both funding types.

¹⁰⁵ This is done on the basis of the One Fund memorandum of understanding signed by the resident coordinator, UNDP as administrative agent and each of the participating organizations of the One Programme.

opment expenditures of US\$52.3 million were disbursed by the three UN agencies using national systems.

57. UNDP, UNFPA and UNICEF are working together to implement HACT and are in the process of becoming compliant with it. The macro-assessment was completed in 2010, and micro-assessments are ongoing. The three agencies have also begun assurance visits, assuming “high” to “medium” risks for implementation partners until the micro-assessments are completed in mid-2012. The process is in line with the UNDG guidelines on HACT, with significant involvement of government counterparts, including the Economic Affairs Division as the government coordinating authority, the Accountant General of Pakistan, the Controller General of Accounts, the Auditor General of Pakistan and the Public Procurement Regulatory Authority, as well as federal and provincial finance, planning and development ministries and departments.
58. WHO, UNHCR and IFAD also use national systems in the areas of budget execution, financial reporting, procurement and auditing.

National systems used	Organizational disbursement in US\$ (millions), 2010		
	WHO	UNHCR	IFAD
Budget execution	21.37		20.15
Financial reporting			
Auditing		10.82	
Procurement		2.32	

8. Transaction costs for national partners, donors and the UN country team

42. The UN country team cooperates in an Office Management Team covering six areas: human resources, procurement, ICT, administration, common premises, and budget and finance. Groups in each of these areas devised annual work plans aimed at supporting the One Program.
43. Reduction of transaction costs has been one of the overall key objectives of Delivering as One. The focus of the UN country team was on human resources management, namely, the local recruitment process, where it identified potential savings of US\$1,700 per recruitment case. This was achieved after the Human Resource Working Group¹⁰⁶ created a common UN Job portal as a single platform for recruitment for all UN vacancies in Pakistan. The group is also developing common induction procedures and competency-based interviewing guidelines for all organizations. As a part of the One UN learning plan, Delivering as One training is planned to develop staff professionally and foster higher retention rates. Other attempts to harmonize practices and procedures include common rates for contractors.
44. The Procurement Working Group developed detailed procurement guidelines to facilitate common procurement. The results are a common UN security services contract; one banking contract with the same institution for all UN agencies; inter-agency sharing of all long-term agreements and purchase orders on a One UN GATEWAY; and common procurement advertisements on the One UN portal. The benefits of this work are reported to include: reduction of parallel processes and transaction costs; increased value for money through improved planning, requirements gathering, bulk discounts and better negotiation power; efficiency and effectiveness gains through information sharing; faster programme implementation and better procurement risk management.
 - The Common Premises Group is negotiating with government authorities regarding land inside the diplomatic enclave. Currently, 20 UN organizations operate from different locations and pay annual rent of US\$28 million. It is the general assumption that common premises will reduce the

¹⁰⁶ Human resources representatives from all UN agencies in Pakistan.

rental costs, even though it is not clear that the alternative options available through the Government would represent a cost saving in the absence of detailed calculations of overall costs. Furthermore, the current rental costs of UN organizations have been made artificially high because of the need for extensive security precautions.

- The ICT Working Group works on a business continuity plan, a disaster risk recovery plan and common ICT support services. It has established a common VSAT as a backup when all services go down. The group has also developed a common web-based telephone directory allowing UN organizations to have updated contact information for all UN staff in Pakistan.
- The General Administration Group has developed an online vehicle maintenance database for the entire UN country team as well as a tracking system to support processing of visas, diplomatic cards, exemption certificates, non-objection certificates, vehicle registrations, etc..
- The Budget and Finance Group has standardized the daily service allowance rates for non-UN staff, which has significantly reduced the costs of official visits by non-UN staff, with budgetary savings at project and programme levels.

45. The UN country team identified some proxy indicators to monitor transaction costs related to the recruitment portal.

Name of indicator	Designed to track what type of transaction cost	Date of implementation
Number of positions advertised on the portal	Tracked every six months, as this is a major input indicator	2009
Unit cost of recruitment advertisement prior to the portal	Baseline cost	2008
Unit cost of recruitment advertisement after the portal	Every six months, cost	2009
Number of candidates applying for UN positions	Qualitative, aiming to assess the outreach	2008

46. The UN country team performed stakeholder surveys of national agencies and donors in 2008, conducted a UN country team-wide survey on Expanded Funding Window indicators and programme modalities in 2011, and mapped specific business processes. Proxy performance indicators on transaction costs will be developed in 2012 as part of a revised Delivering as One results/monitoring and evaluation matrix. However, the absence of an agreed UN-system-wide methodology, including definitions, is a constraint to tracking transaction costs.

9. Cost of coordination¹⁰⁷

47. The UN country team was composed of 17¹⁰⁸ agencies between 2006 and 2011, of which nine are funds, programmes and entities (UNDP, UNFPA, UNAIDS, UNICEF, UNODC, UN-Habitat, UN Women, UNHCR and WFP), and six are specialized agencies (FAO, UNIDO, WHO, IFAD, ILO and UNESCO). The IOM is a member as well. UNEP is operational in Pakistan and is contributing towards the existing UNDAF/first One Programme. UNCTAD and IAEA will be contributing to the second One Programme as non-resident agencies, starting from 2013.
48. The resident coordinator office staffing has gone through many changes since 2006. From 1 professional staff member in 2006, the office currently has 10 professional staff members. Out of this, 5 staff members, although recruited by the office, are assigned to co-chair thematic working groups on the five joint programmes. They report to the head of the organization, which is the joint programme/

¹⁰⁷ For details, see Table 4 at the end of the information sheet.

¹⁰⁸ UNOPS joined the UN country team in 2011. However, official accreditation is in process. It has made no contribution towards the UNDAF/first One Programme, but will be part of the second One Programme. Other UN entities such as OCHA, UNIC and UNDS are observers on the UN country team.

sectoral lead of the UN country team.¹⁰⁹ Therefore, core resident coordinator office staff comprise five professional staff members, including two international staff members.

49. The funding of one international staff member comes from UNDP, while the other position is funded by the resident coordinator capacity gap effort for transition/crisis countries (managed by DOCO).¹¹⁰ Funding for national staff is provided by UN system contributions to the Common Services Budget. Earlier, a Transformation Fund (2007 to 2011) was mobilized via a few resident donors for change management for Delivering as One. A portion of the fund went towards national staff positions, but it has been totally consumed by now.
50. The funding mechanism for the resident coordinator office is not fixed or adequate to meet requirements identified by the UN country team, given the office's focus on the implementation of the current One Programme, the rollout of the second One Programme/UNDAF, post-devolution UN coordination, etc..
51. The staffing of the UN agencies is strongly influenced by the large-scale humanitarian assistance provided by the UN country team. Staffing patterns and costs therefore do not allow conclusions on the change of staffing in response to Delivering as One, beyond the fact that staffing of the resident coordinator office increased as of 2009, when the pilot was operationalized.
52. In view of the importance of humanitarian assistance, and the difficulty of separating staffing for humanitarian and development assistance, it is not possible to make any assessment with regard to the relationship between cost of coordination for development within the context of Delivering as One and the overall programme volume in support of development.¹¹¹

Statistical tables relating to the funding situation

Table 1: Deposits by donors to the One Fund in US\$ (millions), 2009-2011¹¹²

Contributor/partner	Commitments	Deposits	Share, %
Australia	12.4	12.4	17
UK Department for International Development	3.7	3.2	5
Expanded Funding Window	20.9	20.9	29
Netherlands	7.8	6.1	8
Norway	42.8	17.6	24
Spain	12.0	12.0	16
Switzerland	1.0	1.0	1
Total Deposits	100.6	73.2	100

¹⁰⁹ This UN country team arrangement is a manifestation of the One Leader concept (an empowered team led by an empowered resident coordinator).

¹¹⁰ Funding provided by a few donors supporting enhanced UN coordination in crisis countries.

¹¹¹ Although adequate efforts were made to strictly distinguish between the operational costs of development and humanitarian assistance for the evaluation questionnaire, particularly for staffing, there have been certain instances where this was not possible, as explained below. In many agencies, the same programme staff performed development and humanitarian actions.

¹¹² Source: Multi-Partner Trust Fund Office GATEWAY. Countries in bold also supported the Expanded Funding Window.

Table 2: Transfer of funds from the One Fund to UN organizations in US\$ (millions), (March 2012 status) (millions, end 2010)¹¹³

Organization	Total One Fund transfers	Share of transfers in total, %
UNAIDS	0	0
UNDP	10	14
UNEP	0	0
UNFPA	9	13
UNICEF	18	26
UN Women	2	3
WFP	1	1
Funds and programmes	40	57
FAO	2	3
ILO	2	3
UNESCO	5	7
UNIDO	3	4
WHO	13	18
Specialized agencies	25	36
IOM	1	1
UNEP	0	0
UN-Habitat	3	4
UNHCR	1	1
UNODC	0	0
Total other organizations	5	7
Total Funding One Fund	70	100

¹¹³ Source: Multi-Partner Trust Fund Office GATEWAY.

Table 3: Source of funding of UN development expenditure¹¹⁴

	Values in US\$ (millions)				
	2006	2007	2008	2009	2010
Total annual UN programme expenditure	225	239	231	691	1.813
Total estimated annual UN expenditure for development by programme and funding source ^a	144	186	169	188	285
Non-One Programme	144	186	169	40	84
Core funding	59	60	65	4	4
Non-core funding of non-One Programme activities, of which:	85	126	104	36	79
Other funding sources, e.g. international financial institutions, international NGOs, foundations, private sector, other donors	84	125	102	34	77
Self-supporting contributions (funded by Government)	1	1	2	2	3
One Programme	0	0	0	148	201
Core funding	0	0	0	58	61
Non-core funding	0	0	0	91	140
Share non-core funding in annual expenditure for development, %	59	67	62	67	77
Share non-core funding in One Programme, %	-	-	-	61	70
Types of non-core funding in One Programme	0	0	0	91	140
One Fund mobilized through headquarters, resident coordinator, Expanded Funding Window	0	0	0	2	23
One Fund mobilized through organizations	0	0	0	89	117
Share of One Fund in non-core funding, %	-	-	-	2	11
Total annual UN expenditure for development by execution modality, of which	144	186	169	188	285
Non-One Programme	144	186	169	40	84
Execution not through joint programmes	5.9	6.8	4.8	7.0	7.0
Execution through joint programmes outside One Fund (MDG-F)	0.0	0.0	0.0	0.0	0.0
One Programme	0	0	0	148	201
Execution through joint programmes within One Fund ^a	0	0	0	2	23
Joint programmes under parallel funding (core and non-core from organizations)	0	0	0	146	178
Share of joint programmes in One Fund, %	-	-	-	100	100
Core funding	59	60	65	62	65

¹¹⁴ The consolidated data reflect data submitted by all UN organizations.

	Values in US\$ (millions)				
	2006	2007	2008	2009	2010
Non-One Programme (unearmarked)	59	60	65	4	4
One Programme (unearmarked)	0	0	0	58	61
Earmarked and unearmarked funding under One Programme	0	0	0	91	140
Earmarked by donor (mobilized by organizations)	0	0	0	87	113
Unearmarked (mobilized by organizations)	0	0	0	2	4
One Fund	0	0	0	2	23
Share of unearmarked funding within One Programme, %	-	-	-	2	16
<p>a. Source: reports from UN country offices.</p> <p>b All resources under the One Fund are executed through joint programmes.</p>					

Table 4: Source of funding of UN development expenditure and staffing, and cost of supporting the One Programme¹¹⁵

	In US\$ (millions)			Change in % 2008-2010
	2006	2008	2010 ^a	
Total annual UN programme expenditure	225	231	1.813 ^b	-
Total estimated annual UN expenditures for development by programme and funding source ^c	144	169	285	+169
Non-One Programme	144	169	84	-50
One Programme	0	0	201	-
Support to programme (cost of resident offices)	Number of staff			
Human resources of resident coordinator office	1	6	11	-
Human resources of country offices of funds and programmes	159	224	429	-
Human resources of country offices of specialized agencies	101	169	255	-
	In US\$ (thousands)			
Estimated cost of resident coordinator office	99	576	857	-
Estimated cost of country offices of funds and programmes ^d	19.137	33.183	64.931	-
Estimated cost of country offices of specialized agencies	2.258	6.215	17.268	-
<p>a. Amounts are still estimates since 2011 final end-of-year figures were not available when this information sheet was prepared.</p> <p>b. The high level of annual expenditure is due to the large-scale humanitarian assistance programmes.</p> <p>c. Source: reports from UN country offices. Note that for an indicative total expenditure figure for 2011, the total amount is to be considered an estimate. Information for WHO and IFAD was not provided.</p> <p>d. Staffing is very high due to various large-scale humanitarian assistance programmes involving, in particular, IOM, WFP and UNHCR.</p>				

¹¹⁵ The consolidated data reflect data submitted by all UN organizations.

Rwanda¹¹⁶

1. Implementation of the Ones

1. Rwanda is classified as a least developed country. Its ODA¹¹⁷ increased steadily from US\$536 million in 2006 to US\$1.091 billion in 2010,¹¹⁸ but fell to only US\$562 million in 2011. According to the resident coordinator office, total UN assistance is in the range of US\$70-82 million. Information on UN humanitarian assistance is not available.
2. Delivering as One in Rwanda is built on four pillars, namely One Programme, One Budgetary Framework, One Leader and One Voice, and One Office.
3. The UNDAF 2008-2012 together with the common operational document constitute the One Programme, encompassing all active UN organizations in Rwanda. It provides the strategic framework for One UN support to national priorities in the areas of governance; health, HIV, nutrition and population; education; environment; and sustainable growth and social protection. Implementation of the UNDAF began in January 2008.
4. The common operational document, signed on 20 November 2007, is a programmatic document specifying how the UN system will operationalize the UNDAF. It provides full details on the implementation of UNDAF results, covering the code of conduct, management mechanisms as well as the monitoring and evaluation system.
5. The One Budgetary Framework is the financial framework for core, vertical and One Fund resources. It shows the total estimated amount of resources needed to implement the common operational document. A One UN Fund has been established to mobilize and allocate additional resources at the country level in a simplified, coherent manner consistent with the overall purpose of the One UN initiative. The One UN Fund is administered by the Multi-Partner Trust Fund Office in accordance with its financial regulations and rules.
6. The One Leader—the UN resident coordinator—chairs the UN country team and is responsible for ensuring that the One UN pilot is implemented in accordance with the principles laid out in the common operational document. Among other things, the resident coordinator is responsible for joint fundraising.
7. A joint communication strategy for both internal and external communication was approved by the UN country team in October 2007. Its aim is to help the UN speak with One Voice on the UN reform process as well as on key policy and advocacy issues. The strategy is supported by the UN Communication Group.
8. The One Office has two components: common services and One House. A number of common services have been established, such as a database for local vendors, and long-term agreements for stationary, travel services, translation and interpretation, cleaning, garages, printing and freight forwarding. Memorandums of understanding for common recruitment and common services have been signed. The One House is less advanced due to slow headquarters responses, although it is supported by the UN country team and the Government of Rwanda has allocated land for it.

2. Overall Management of Delivering as One

9. The One Programme is implemented within a governance and coordination structure with the highest body being the One UN Steering Committee, chaired by the Minister of Finance and Economic Planning. In addition, three other government ministers, the resident coordinator, four UN organizations

¹¹⁶ The analysis is based on statistical data provided by the resident coordinator office.

¹¹⁷ Source: amounts per official government sources on ODA, 2006-2011.

¹¹⁸ Source: resident coordinator office and Government.

and three development partners are members of the committee. Since 2011, all One Fund donors are members in addition to the European Union as representative of multilateral development partners.

10. The UN country team is composed of heads of participating organizations under the leadership of the resident coordinator. It is the key decision-making body, and is taking necessary steps to further improve One Programme delivery, and increase the efficiency and coherence of the One UN.
11. All UN country team members in Rwanda subscribe to this arrangement. The team has adopted a code of conduct, where members commit themselves to key principles for the success of Delivering as One. The code describes how UN organizations interact with each other to operationalize the common operational document, and provides their respective roles and responsibilities.
12. The Programme Planning and Oversight Committee, established by the country team in 2009, provides strategic policy advice to the team as well as technical oversight to the UNDAF thematic groups for more coherent planning and implementation of activities. The committee brings together deputies/heads of programmes, thematic group policy advisers, task force coordinators and the resident coordinator office. It has been an important element in Delivering as One. With the mandate to provide upstream advisory services to the country team as well as technical oversight to the UNDAF thematic groups, it plays a critical role in the planning, implementation and reporting processes for the One Programme, including its further harmonization and coherence.
13. Annual planning usually takes place during the last quarter of the previous year and the first quarter of the year, and is organized by thematic groups rather than organizations. Activities to be implemented are summarized in the consolidated action plan. All organizations, including non-resident agencies, participate in this process either in person or virtually. There are five groups: governance; health, HIV, nutrition and population (split into two sub-groups); education; environment; and sustainable growth and social protection (split into two sub-groups).
14. Four task forces on gender; human rights; planning, monitoring and evaluation; and disaster management provide operational support for the planning and implementation of the One Programme, and ensure the mainstreaming of cross-cutting issues. The Disaster Management Task Force ensures a prompt, effective and concerted country-level response by the UN system in the event of a disaster.
15. The Operations Management Team has the mandate to identify and implement appropriate common services, and measures to harmonize business practices and reduce transaction costs, where appropriate, and provide regular updates to the UN country team. The operations team is composed of operations officers/managers or unit heads of finance, administration and human resources from all resident organizations. Progress has been made with regard to common services, and memorandums of understanding for the implementation of common services and a common recruitment process have been signed.
16. The resident coordinator office serves as secretariat for the UN country team and supports the UN resident coordinator in the overall coordination of the One UN. The office includes the UN resident coordinator, a senior policy adviser, a communications officer, a human rights adviser, a coordination and executive officer, a non-resident agency coordination analyst, and a personal assistant. In 2011, the UN country team decided to financially contribute to a UN House project manager position and a UNV for common services.
17. An innovative tool is the One UN Programme Monitor. This web-based inter-agency monitoring and reporting system is funded and hosted by the resident coordinator office, and technically supported by the Programme Planning and Oversight Committee and Monitoring and Evaluation Task Force. It allows monitoring of all One UN Programme activities through quantitative and qualitative data collection.

3. Funding modalities within the framework of Delivering as One

Common Budgetary Framework

18. The One UN Fund ensures that financial gaps can be filled, to the extent possible, for continued and effective implementation of the One Programme. Work plans are developed in line with the common operational document; outline core, non-core and One Fund resources; and are approved on an annual basis. This is based on the concept of the One Budgetary Framework.
19. The One Budgetary Framework is a total estimated amount of resources (core, non-core and One Fund) needed to implement the common operational document. The One UN Fund has been established as a vehicle to pool new resources provided by donors to support the document's unfunded portions.

The estimated funding requirement in the original One Budgetary Framework was US\$488 million, with US\$332 million confirmed (32 per cent core and 37 per cent non-core funding). The remaining funding gap was US\$155 million. Core and non-core funding requirements and funding gaps were calculated for each of the six strategic results.

	Total	Core Resources	Vertical Funds	To be mobilized (=One Fund)
Governance	96.37	29.21	20.71	46.46
HIV	49.93	10.31	20.39	19.23
Health	70.51	23.48	25.10	21.93
Education	72.31	12.23	39.47	20.61
Environment	40.89	18.91	9.42	12.56
Sustainable Growth and Social Protection	157.60	60.60	62.31	34.68
Total (In millions US\$)	187.60	154.74	177.40	155.46
Percentage of total (%)	100	31.74	36.38	31.88

One Fund

20. In Rwanda, Delivering as One coincided with the preparation of the UNDAF 2008-2010, which is identical with the One Programme. It encompasses all active UN organizations in Rwanda, provides the strategic framework for One UN support to national priorities in seven areas, and consists of four elements: One Programme, One Budgetary Framework and Fund, One Leader and One Voice, and One Office. The common operational document specifies how the UN system in Rwanda will operationalize the UNDAF and covers all activities of signatory UN organizations; it served as a model for the UNDAF Action Plan developed by the UNDG and adopted in some other pilots.
21. The One UN Fund has been supported by five donors plus the Expanded Funding Window with US\$65.8 million; US\$47 million has been transferred to participating organizations, with the balance at the administrative agent. The approved budget was US\$58 million for six thematic areas.¹¹⁹

¹¹⁹ It is expected that a large amount of this balance will be transferred in due course to participating organizations for use in 2012. The reasons for the high year-end balance with the administrative agent are:

Predictability: The Delivering as One reform aimed at increasing the predictability of funding. In order to make this happen, the UN country team decided to always retain a small portion of the One Fund as a strategic reserve to allow immediate responses to emerging national needs.

Annual planning: After the first couple of years into the reform process, it was noted that spending all One Fund resources by 31 December and starting each year with nothing in the account made annual planning very difficult. True partnerships with stakeholders and implementing partners can only be built if the UN system can commit a concrete amount of resources when developing annual work plans. To that end, funds received during the year are kept for annual planning for the next fiscal year. This allows for continued implementation at the beginning of the next fiscal year, prior to the release of further One Fund contributions.

For details refer to Table 1 in the statistical tables

22. Nineteen organizations are cooperating in Rwanda with the funding of the One Fund. Funds and programmes received 66 per cent of resources, specialized agencies 23 per cent and other agencies 12 per cent.¹²⁰

4. Programming and funding mechanisms—governance and resource allocation

Governance of the One Fund mechanism

23. The following mechanisms have been set up to govern the One Programme and One Fund:

- The One UN Steering Committee guides and decides on the overall strategic orientation of Delivering as One. It is chaired by the Minister of Finance and Economic Planning, and is composed of four members of the Government, the UN resident coordinator, four members of the UN country team and three donors. Since 2011, all One Fund donors are members of the committee in addition to the European Union as the representative of multilateral development partners.
- The UN resident coordinator leads and coordinates the overall management of the One UN Fund in consultation with participating UN organizations; provides strategic leadership of the One UN Fund on the basis of the common operational document; mobilizes resources in collaboration with participating UN organizations; signs agreements with donors and participating UN organizations; approves allocation of funds based on principles and priorities identified within the common operational document as endorsed by the steering committee; and makes ultimate decisions on fund allocations.
- Each UNDAF outcome area is supported and overseen by an UNDAF theme group consisting of the UN organizations involved in it. They are responsible for preparing theme group work plans that are the basis for One Fund allocations and monitoring of progress, and are prepared on the basis of the criteria and process listed in the common operational document. Each theme group is co-chaired by two organizations. Organizations extract their work plans from the joint work plans. Policy advisers recruited by UN organizations support the theme groups.
- The UN country team Allocation Committee consists of the heads of participating UN organizations and focal points of non-resident agencies. It is responsible for formulating a joint resource mobilization strategy, approving prioritization of the allocation of funds from the One UN Fund, and providing oversight of the management and operations of the fund and its allocation decisions under the leadership of the resident coordinator. Decisions of the UN country team are made by consensus. In the event that no consensus is reached, the resident coordinator can make ultimate decisions on fund allocation, with a documented process and rationale for these decisions.
- The resident coordinator office supports the resident coordinator and the UN country team in the coordination and management of the One Budgetary Framework and One Fund, and the meetings of the One UN Steering Committee. It is expected specifically to provide strategic focus, including analysis of progress and lessons learned for future programme implementation. The senior policy adviser is fully dedicated to supporting the consolidation of narrative reports to support UN policy advisers and the UNDAF theme groups, and prepares and reports on consultations with stakeholders regarding the One Programme and One UN Fund.
- The Multi-Partner Trust Fund Office has authorized UNDP Rwanda to act as the administrative agent of the One UN Fund.
- In 2009, the Programme Planning and Oversight Committee replaced the previous Programme Advisory Team to provide advisory services on Delivering as One programming under the UN country team. It is composed of deputy representatives (or those in charge of programme functions), the senior policy adviser of the resident coordinator office, the policy advisers of the theme groups, and the task force coordinators. It coordinates and oversees the implementation of the One Programme, and helps ensure more harmonized and qualitative planning and use of resources.

120 For details refer to Table 2 in the statistical tables

es across the thematic areas. Its creation resulted in marked improvements in the quality and timely preparation of the consolidated action plans as well as the quality of reporting. It is viewed as a significant milestone in Delivering as One in Rwanda.

Resource allocation criteria and fund performance

24. Like Delivering as One in general, the One Fund allocation process entailed learning by doing. Several adjustments were made. Initial criteria for allocations worked satisfactorily, particularly the guideline that 75 per cent of funds should go to joint interventions and 25 per cent to the activities of individual organizations. In 2010, this shifted to 80 per cent and 20 per cent.
25. The online One UN Programme Monitor was established to monitor programme implementation and fund delivery, and ensure increased transparency, better monitoring and higher performance.
26. The One Fund clearly was an incentive for effective joint programming. It also fostered peer pressure among organizations as an incentive for better performance. But bringing 20 organizations together in joint planning and agreeing on the allocation of One Fund resources was a new experience. Common reporting guidelines and deadlines resulted in some delays, but improvements have been made. Organizations increasingly come together for joint interventions with their own resources—even without the One Fund incentive.
27. Delays and difficulties were mainly caused by non-alignment with the government fiscal cycle, the late transfer of One Fund resources due to late reporting by organizations, late finalization of the consolidated action plans and parallel funding in joint programmes. Pooled funding is currently under discussion by the UN country team.

5. Highlights

Related to the One Programme, including joint programming

28. The One Programme/UNDAF (2008-2012) and common operation document are the basis for joint programming. They are organized around five strategic results:
 - Good governance enhanced and sustained;
 - Under health, population, HIV and nutrition, maternal morbidity and mortality, the incidence and impact of HIV and AIDS and other major epidemics, and the population growth rate are reduced;
 - All children in Rwanda acquire a quality basic education and skills for a knowledge-based economy;
 - Management of the environment, natural resources and land is improved in a sustainable way; and
 - Through sustainable growth and social protection, all citizens benefit from economic growth and are less vulnerable to social and economic shocks.
29. The centrepiece of Delivering as One programming has been joint interventions supported by the One UN fund that are intended to show greater effectiveness when two or more organizations work collectively towards a similar outcome within a geographic region or with a focus on a specific population. A joint intervention includes a joint situational analysis, as well as joint planning, implementation, monitoring and evaluation. Joint Interventions build on synergies based on each organization's comparative advantages for greater impact and coherence. Clear management arrangements define the lead organization, which acts as the interlocutor with the Government in order to reduce duplication. Participating organizations contribute their own financial and human resources towards the joint intervention. The One Fund helps fill funding gaps, if need be. Joint interventions are approved at the country level, contrary to joint programmes, which have to be formally approved by headquarters. Joint interventions allowed the UN country team to respond to the challenges of fund unpredictability, avoid additional levels of bureaucracy and do joint programming in a flexible manner. The consolidated annual plans for 2011-2012 include 44 joint interventions.
30. Consultations for the next One Programme have started.

Related to the funding situation

31. The funding information provided by the UN country team in response to the evaluation survey was limited to the expenditure related to the One Fund,¹²¹ as additional reporting layers are being reduced, and the consolidated information is available at headquarters level.

6. Business process harmonization

32. Individual reports are still required by individual donors (not One Fund donors) and organizational headquarters. A One UN annual report has been suggested to replace individual reports, but has not yet been accepted by headquarters. This situation causes a double workload, distracts from the focus of organizations and may also detract from report quality.
33. The following steps were taken to harmonize business processes:
- Memorandum of understanding to implement common services;
 - Memorandum of understanding for common recruitment;
 - Several long-term agreements;
 - Database for local vendors and existing long-term agreements, allowing UN organizations to piggyback on the procurement processes of each other;
 - Calculated potential savings in a number of areas, such as hotel and conference management, car purchase vs. car leasing, car maintenance, interpretation and translation, and fuel services;
 - Regarding common premises, entrusted UNDP with the duty to contract for and administer the premises;
 - Established performance indicators that will help to assess efficiency gains in time and/or money of common services in procurement; and
 - Expansion of common services.

Table 2: Existing and planned common services

Existing common services	Planned common services
Travel services	Banking services
Cleaning	Event management (conferences, hotels, catering)
Freight forwarding	Telephone services
Interpretation and translation	Insurance services (assets, facilities, vehicles)
Stationary	Fuel services
Printing (in progress)	Courier services
Security	Transportation services (car/bus rentals)
TV spots (in progress)	Newspaper advertisement
Car maintenance (in progress)	IT maintenance service

7. Use of national systems by UN organizations within the framework of Delivering as One

34. The UN system has shifted the UNDAF programming cycle to begin aligning with the national programming cycle, and initiated annual planning with two-year planning cycles (one year is firm with

¹²¹ The information available through the Multi-Partner Trust Fund Office GATEWAY is limited to the One Fund only, and therefore is not sufficient for assessing the performance of the One Programme in relation to other funding sources (core and non-core funding).

an additional one year of indicative planning).¹²² The new UNDP 2013-2018 will be fully aligned with the national programming cycle.

35. Four organizations are using HACT: UNDP, UNFPA, UNICEF and UN Women.

8. Transaction costs for national partners, donors and the UN country team

36. The resident coordinator reports that detailed consultations have been held with the Government and development partners within the One UN Steering Committee on the reduction and quantification of transaction costs. Subsequent to the country led evaluation, the Government requested the UN system to emphasize the reduction and quantification of transaction costs. A DOCO support mission (January/February 2011) supported the UN country team through the Operations Management Team and the Programme Planning and Oversight Committee in identifying some areas to reduce transaction costs in programme and operations. The Operations Management Team was also trained in the quantification of transaction costs and their reduction. The support mission was used for individual meetings with government and development partners to update them on the progress made by the One UN approach, and inform them of potential cost saving areas and the way forward.
37. The resident coordinator office reports that the code of conduct introduced as part of Delivering as One has reduced transaction costs for both UN organizations and partners. The former cooperate and communicate as One UN, and the code prohibits individual organizations from raising funds at the country level—funds are centrally raised in a harmonized way by the resident coordinator and UN country team.
38. The resident coordinator prepares requests for funding from the Expanded Funding Window on behalf of the One UN; these flow into the common One UN basket fund. This practice has greatly reduced transaction costs for both partners and the One UN regarding fund mobilization efforts and reporting, and has strengthened the spirit of Delivering as One.
39. The UN country team surveyed the cost of various suppliers to establish baselines, and also mapped business processes to implement common services and long-term agreements to help reduce transaction costs.
- A UN country team roster with the best three candidates from recruitment processes in individual organizations is accessible to any organization hiring staff with the same profile.¹²³
 - Business process mapping indicates potential savings of US\$434,000 per year from UN country team using long-term agreements, as follows:
 - Car leasing option versus car purchase for all organizations over five years: US\$142,000;
 - Hotel and conference services: US\$211,000;
 - Fuel services: US\$12,000;
 - Interpretation services: US\$35,000; and
 - Translation services: US\$35,000.
40. Two proxy performance indicators developed to monitor the evolution of transaction costs in relation to processes covered by long-term agreements since June 2011 are:
- The amount charged per service; and
 - Staff time on transactions.

¹²² Alignment with national systems is defined by the resident coordinator office as alignment of the UN programming cycle with the national programming cycle; the UN annual planning cycle with the national planning and budgeting cycle; reflection of UN support in the national budget; provision of UN support through national budget execution procedures, financial management systems and audit procedures; and use of national procurement procedures.

¹²³ The resident coordinator office reported the expectation of 95 per cent savings on local recruitment costs.

41. The main constraints experienced in defining and tracking transaction costs are:
- The absence of a standardized concept available to quantify transaction costs in programmes, where significant efficiency gains are thought to be made through Delivering as One;
 - Insufficient individual staff commitment;
 - Difficulties in data generation due to organization-specific financial and procurement systems; and
 - Fear that the drive for reduction of transaction costs is used for reducing staff positions.

9. Cost of coordination

42. The UN country team increased from 13 to 20 organizations between 2006 and 2010. Of these 20 organizations, 10 are resident, of which 8 are funds or programmes, and 2 are specialized agencies. A total of 10 non-resident agencies operate in Rwanda, including 3 without resident officers or staff.
43. The professional staffing of the resident coordinator office has grown from one in 2006 to two in 2011. The additional position is funded from DOCO and a project called “Strengthening UNCT Capacity for One Programme”, which draws on voluntary contributions from UN organizations in Rwanda.

Statistical tables relating to the funding situation

Table 1: Deposits by donors to the One Fund in US\$ (millions), 2006-2011¹²⁴

Contributor/partner	Deposits	Share, %
Expanded Funding Window	35.3	54
Netherlands	6.1	9
Norway	3.7	6
Spain	6.0	9
Sweden	4.2	6
United Kingdom	10.5	16
Total deposits	65.8	100

Table 2: Transfer of funds from the One Fund to UN organizations in US\$ (millions), end 2011¹²⁵

Organization	Transfers at end 2011		Share of total transfers at end 2011, %
	Approved budget 2011	Transfers 2011	
UNAIDS	1.0	0.4	1
UNCDF	0.2	0.2	0
UNDP	8.8	6.9	15
UNDP (UNV)	0.2	0.1	0
UNFPA	9.5	8.3	18
UNICEF	9.6	8.9	19

¹²⁴ Source: Multi-Partner Trust Fund Office GATEWAY. Countries in bold also supported the Expanded Funding Window.

¹²⁵ Source: Multi-Partner Trust Fund Office GATEWAY. Figures on transfers reflect the situation at the end of 2011. Transfers do not reflect the actual expenditure situation, which was available in May 2012 and can be accessed at the Multi-Partner Trust Fund Office GATEWAY.

Organization	Transfers at end 2011		Share of total transfers at end 2011, %
	Approved budget 2011	Transfers 2011	
UN Women	2.8	2.6	6
Funds and programmes	32.1	27.4	63
FAO	4.0	3.0	6
ILO	1.3	0.9	2
UNESCO	1.9	1.5	3
UNIDO	3.3	2.4	5
WHO	4.3	3.0	7
Specialized agencies	14.8	10.8	25
ECA	1.1	1.1	2
ITC	0.1	0.0	0
UNCDF	0.2	0.2	0
UNCTAD	0.7	0.5	1
UNEP	0.2	0.2	0
UNHABITAT	2.2	1.4	3
UNHCR	2.7	2.1	5
Total other organizations	7.2	5.5	12
Total funding One Fund	54.1	43.7	100

Table 3: Source of funding of UN development expenditure¹²⁶

Source of funding of UN development expenditure	Values in US\$ (millions)					
	2006	2007	2008	2009	2010	2011
Non-One Programme	No UN activities outside the One Programme (common operational document)					
One Programme	n.a.					
Non-core funding—One Fund	n.a.	3.7	12.8	24.9	14.2	10.3
Share non-core funding in One Programme	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Types of non-core funding						
One Fund	n.a.	3.7	12.8	24.9	14.2	10.3
One Fund mobilized through headquarters	n.a.	3.7	0.0	0.0	2.6	2.1
One Fund mobilized through resident coordinator	n.a.	0.0	12.8	7.6	1.7	0.0
One Fund supported by Expanded Funding Window	n.a.	0.0	0.0	17.2	9.8	8.2

¹²⁶ No data on the One Programme were provided by the resident coordinator office in response to the evaluation survey.

Source of funding of UN development expenditure	Values in US\$ (millions)					
	2006	2007	2008	2009	2010	2011
Other (non-core) resources (MDG-F and other sources)	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Share of non-core resources mobilized through resident coordinator in One Programme	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Share of other (non-core) resources in One Programme	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.

Table 4: Staffing and cost of supporting the One Programme¹²⁷

Support to programme (cost of resident offices)	Number of staff		
	2006	2010	Change, % 2007-2010
Total UN country team			
Human resources of resident coordinator office	2	4	100
Human resources of country offices of funds and programmes	118	144	22
Human resources of country offices of specialized agencies	51	48	-6
Human resources of non-resident agencies operational at country level	6	10	60
	US\$ (thousands)		
	2006	2010	Change, % 2007-2010
Total UN country team			
Estimated cost of resident coordinator office	192	624	225
Estimated cost of country offices of funds and programmes	3.700	6.497	76
Estimated cost of country offices of specialized agencies	2.133	2.685	26
Estimated cost of non-resident agency staff at country level	140	392	180

United Republic of Tanzania¹²⁸

1. Implementation of the Ones

1. Many development partners see the United Republic of Tanzania as a very important country. It is member of several regional political and economic organizations. UN assistance needs to be seen in the context of overall official development assistance, excluding debts, which ranged from US\$1 billion in 2006 to US\$1.7 billion in 2010. Total UN assistance increased from US\$73 million in 2005 to US\$122 million in 2010, about 5.5 per cent of total official development assistance.
2. Delivering as One evolved in two phases. The first phase focused on the design and implementation of 11 joint programmes under the UNDAF 2007-2011. The second phase took a joint programming approach under the UNDAF 2011-2015. This information note focuses on 2007-2011, but where appropriate refers to the subsequent period covering the UNDAF.
3. Delivering as One began in 2006 shortly after the Government agreed on the Joint Assistance Strategy for Tanzania with 18 development partners. The strategy is a government-led, medium-term framework for managing development cooperation. It recognizes national ownership of the develop-

¹²⁷ No data on the One Programme were provided by the resident coordinator office in response to the evaluation survey.

¹²⁸ The analysis is based on statistical data provided by the UNCT Tanzania.

ment process, the need for more demand-driven and innovative approaches to capacity development, the move towards greater domestic accountability, and the requirement for reduced transaction costs and a rationalized dialogue architecture given the high donor presence in the country.

4. One UN initially focused on four pillars of UN reform: One Programme, One Leader, One Fund and One Office. The One Voice component was subsequently added.
5. Delivering as One was launched after approval of the UNDAF (2007-2010), which was extended to June 2011 to permit realignment with the Government's fiscal cycle. The approach adopted was to design, through a joint programming approach, joint programmes that would draw upon areas of joint interest related to but without modifying the approved UNDAF. They were thus derived from the UNDAF, but retrofitted from activities originally designed for implementation by individual organizations. Seven joint programmes covering six programmatic areas began in 2008. This One Programme intended to reflect the move "upstream" towards policy advisory services building on experience gained through community-based work. It was established as a subsection of the UNDAF under which participating UN organizations were to define joint work plans, joint budgets and common results frameworks, and to agree on a clear division of labour and shared accountability.
6. In a subsequent step, these joint programmes were supplemented by two further components in 2008: One Office, entailing the harmonization of business practices, and One Voice for communications. In 2009, 2 joint programmes on education and environment were added; the number eventually grew to 11. The link between the One Programme and overall UNDAF implementation was established through organization-specific and collaborative work.
7. The One Fund as a joint funding mechanism was set up in late 2007 with a memorandum of understanding by UN organizations. It is the mechanism through which donors support the One Programme, One Office and One Voice.
8. The UN country team operates in two locations: the mainland of the United Republic of Tanzania and the island of Zanzibar. The One Office was given high priority, with a focus on pooling support services, and harmonizing procedures and business practices in procurement, finance, ICT and human resources. While for the mainland the team found it difficult to identify one building, due to difficulties in securing appropriate land and premises from the Government, on the island of Zanzibar, all organizations were brought together in one location. This enabled a system under which a management agent supervises common services, which include security, cleaning, utilities, communications and stationery.
9. The role of the resident coordinator was strengthened through the One Leader strategy. The resident coordinator is responsible for providing strategic leadership and guidance to the One Programme, as well as holding the UN country team accountable for reaching agreed joint outputs and co-managing the One Fund with the Government. The UN country team agreed on a code of conduct in 2007; it was revised in 2011. It defines the resident coordinator as the main interlocutor for all common matters with the Government, while representatives of UN organizations have continued collaborating with the Government in line with their mandates through sector ministries and other stakeholders. With the appointment of a UNDP country director, a firewall was set up between the functions of the resident coordinator and the UNDP resident representative.
10. The UN country team agreed to harmonize and standardize communication processes under One Voice in order to maintain continuous and systematic information sharing on Delivering as One. One Voice was designed to promote internal understanding and support for Delivering as One, and to provide external audiences with coordinated, comprehensive and timely information about the reform, the joint programmes and their results.

2. Overall management of Delivering as One

11. The Joint Government and UN Steering Committee was set up in 2007. It consisted of participating UN organizations and a member of the Development Partners Group. After launching Delivering

as One, its task was to provide overall guidance to the pilot process in terms of policy, programme design, resource mobilization, monitoring and evaluation, strategic partnership and communication

12. The UN country team is composed of 21 organizations: FAO, IFAD, ILO, UNAIDS, UNCDF, UNDP, UNEP, UNESCO, UNFPA, UN-HABITAT, UNHCR, UNIC, UNICEF, UNIDO, UN Women, ICTR, UNIDO, WFP and WHO, plus the World Bank and IMF. The IOM maintains an observer status. The resident coordinator office has six staff members. Three non-resident agencies (OHCHR and IAEA, ITC-UNCTAD) are currently engaged in Delivering as One. Other main stakeholders include central government planning ministries and donors, particularly members of the Friends of the UN Group.
13. The UN country team expected that Delivering as One would bring substantial benefits, notably it would:
 - Encourage convergence of UN policy advice and programme priorities;
 - Help UN organizations reform so that they see themselves as one institution, and deliver results more efficiently, which is particularly important now that external funds have become scarce;
 - Enable the Government to understand the full range of technical capacity available in the UN system, so that it can access exactly what it needs; and
 - Promote cost reductions through the One Office, which could make the UN system more attractive to donor partners.

3. Funding modalities within the framework of Delivering as One

Common Budgetary Framework

14. A One Budgetary Framework has been developed for the joint programmes (2008-2011), defining organizational and One Fund funding needs and contributions on an annual basis. However, details of the entire expenditure of the UNDAF 2007-2011, incorporating all organizational funds, are not readily available.

One Fund¹²⁹

15. The One Fund began in 2007 as a mechanism through which donors could support three elements of Delivering as One: One Programme, One Office and One Voice. The Joint Government and UN Steering Committee, with development partner representation, was established for its overall management.
16. By the end of 2011, nine donors plus the Expanded Funding Window had committed US\$172 million to the One Fund for disbursement up to 2015. By early 2012, US\$135 million had been deposited, of which US\$110 million was transferred to participating organizations.¹³⁰ The balance is with the administrative agent awaiting transfer. Donors supporting the Expanded Funding Window cover 72 per cent of all deposits, including the Expanded Funding Window.
17. The funds and programmes (UNAIDS, UNCDF, UNDP, UNFPA, UNICEF, UN Women and WFP) received 66 per cent of total transfers up to 2011, with UNDP absorbing two-thirds of the total. Specialized agencies (FAO, ILO, UNESCO, UNIDO and WHO) received 29 per cent. Seven other agencies (IOM, ITC, OHCHR, UNCTAD, UNEP, UN-HABITAT and UNHCR) received 5 per cent.¹³¹

¹²⁹ With the alignment of the UN programming cycle to national budgeting cycles, the UNDAF was extended to mid-2011. The new UNDAF began in mid-2011. However, the data available from the Multi-Partner Trust Fund Office GATEWAY do not permit distinguishing mid-year periods. For this reason, this analysis focuses on the cumulative resource mobilization up to the end of 2011. This may be somewhat inaccurate if one wants to see the performance of resource mobilization in relation to the two different management concepts (UNDAF versus UNDAF). As the focus of the evaluation is on the performance of Delivering as One since its inception, presenting the cumulative results of resource mobilization is appropriate.

¹³⁰ For details see Table 1 in statistical tables

¹³¹ For details see Table 2 in the statistical tables

18. For the 2011-2015 programming cycle, the UN country team prepared an UNDAF that is fully aligned with national priorities and the government fiscal cycle. With an overall budget of US\$777 million, it builds largely on the achievements and lessons learned from the UNDAF 2007–2011, in particular the experiences of the joint programmes. It is a single, coherent business plan for all UN organizations in the country, including development and humanitarian assistance, with each organization responsible for the delivery of a set of key actions that jointly contribute to shared results. The new approach is in line with the undg-approved guidelines on UNDAF simplified programming and action plans. The UNDAF was endorsed by the Government in December 2010, and began on 1 July 2011.
19. The UNDAF is expected to enhance national ownership and UN accountability by articulating precise UN contributions to national priorities. It includes a One Budgetary Framework, incorporating organizational requirements sourced from core, non-core and One Fund resources. On an annual basis, expenditure is provided at the working group level.

4. Programming and funding mechanisms—governance and resource allocation

Governance of the One Fund mechanism

20. The following mechanisms have been set up to govern the One Programme and One Fund:
 - The Joint Government and UN Steering Committee, co-chaired by the Permanent Secretary of the Ministry of Finance and the resident coordinator, provides strategic guidance and leadership, makes fund allocation decisions, monitors overall programme implementation, and conducts an annual review of the One Programme and the One Fund. Members are representatives of the Government, the United Nations country management team and development partners.
 - The resident coordinator co-chairs and facilitates the work of the steering committee, recommends fund allocations based on UN country management team suggestions, and provides strategic focus to consolidated reports, including analyses of progress and lessons learned for future programme implementation. S/he also holds country directors, representatives and other heads of participating UN organizations accountable for programme implementation, utilization of funds allocated from the One UN Fund and results achieved under organizational components of joint programmes. Participating UN organizations assume full programmatic and financial accountability in their respective roles.
 - The representatives, country directors and other heads of participating UN organizations are responsible for programme implementation, utilization of funds allocated from the One UN Fund and results achieved by their organizations. They provide relevant reports and statements defined in the memorandum of understanding to respective managing and administrative agents.
 - Under the UNDAF, there was one managing agent for each joint programme. Participating UN organizations appointed the agent, who was responsible for administering funds and supporting national partners in managing the programme. Under the UNDAF 2011-2015, this modality is no longer used.
 - The Multi-Partner Trust Fund Office was appointed the administrative agent of the One UN Fund.

Resource allocation criteria and fund performance

21. Under the UNDAF 2007-2011, joint programmes had to comply with a set of eligibility and performance criteria to receive funds from the One Fund. Review of past delivery plus detailed annual work plans by the joint programme participating organizations in consultation with partners was undertaken by the Inter-agency Performance Assessment Team. This was followed by a UN Country Management Team review before submission to the steering committee for approval. The process enhanced inter-agency collaboration and reduced competition for funds.
22. During this period, several operational issues emerged, most of which were largely addressed locally. Consistent dilemmas that were not easily resolved and continue to challenge effective and timely implementation of programmes include:

- Delays in funds transfer through the Exchequer: Funds are transferred from UN participating organizations to implementing partners through the Government's Exchequer, which functions as a pass-through mechanism for all funds transfers to multilateral development agencies for implementation of development programmes. However, there was a minimum three-month lag between the transfer of funds by participating organizations and the funds reaching some implementing partner accounts. The issue has not been resolved, as this would mean modifying the business processes of the Exchequer.
 - Weak implementing partner capacity resulted in slow programme implementation; efforts to address gaps through micro assessments and action plans were only partially effective. Further capacity building efforts addressing shortfalls identified by micro assessments are under way.
 - Weak implementing partner capacity resulted in delayed and inaccurate reporting of advances. UN organizations worked with the implementing partners to address this weakness, but this meant a substantial increase in transaction costs for those using HACT. The UN country team requested a UN system wide comprehensive approach to building implementing partners' financial capacity.
 - Some joint programmes had overly ambitious delivery targets that could not be achieved in the given time frame, resulting in the impression of minimal or slow progress in their implementation.
 - Some implementing and other partners have indicated insufficient understanding of UN reform and Delivering as One, especially in terms of the use of harmonized tools, new ways of engagement, business process requirements, etc.. This has proved to be a challenge.
23. In order to tighten the results focus of programming under the UNDAF 2011-2015, the initial One Fund allocation criteria were revised:
- The original concept was that a UN organization would be acting as managing agent, and would be the single contact point for implementing partners with regard to transferring One Fund resources, and all related financial management issues, including reporting. In practice, tools and authorities were not sufficient. Channeling funds for national execution did not reduce transaction costs and delivery rates slowed. Under the UNDAF, the managing agent function has been eliminated, but a programme "lead agency" function has been retained, with a coordinating/reporting responsibility for different working groups, including on operations.
 - The new allocation criteria now require fulfillment of eligibility criteria for the first disbursement year, and fulfillment of both eligibility and performance criteria for subsequent years.¹³² Annual allocations are released in two tranches: 60 per cent of funds are immediately released, with the remaining 40 per cent released only on demonstration of 50 per cent delivery of the first tranche.
 - Conditions for the eligibility of working groups—10 on programmes, 5 on operations and 3 on cross-cutting issues—for funding by the One UN Fund were revised,¹³³ and weighted performance criteria were introduced.
24. The value added of the One Fund was the system of centralized performance-based allocations. Since Joint Government and UN Steering Committee was led by the Government, it ensured UN responsiveness to national priorities, while financing key components of the reform. The One Fund did not replace organization-specific resource mobilization and required its own instruments (e.g., memoranda of understanding, terms of reference, monitoring and evaluation mechanisms, and reporting systems). It therefore did not completely reduce workloads, but it simplified reporting for UN organizations and development partners:

¹³² Full details, including differences in allocations based on 100 per cent, 50-99 per cent and less than 50 per cent of funds required, can be found in the One Fund terms of reference.

¹³³ Including presentation of a detailed UNDAF working group annual work plans, budgets and procurement schedules; demonstrated capacity of the UN system to deliver the agreed annual work plans (i.e., indication of staff with primary responsibility for delivery of each activity); and measures to redress implementing partner deficiencies for successful UNDAF implementation, as identified through the HACT micro-assessment.

- Only one standard administrative agreement was required involving development partners, the administrative agent and the resident coordinator—through this, it was possible to fund a range of programmes rather than establishing individual funding agreements;
 - There was only one report sent to all local development partners covering all UN country team activities—it is generated by the locally developed reporting system, with low staff time input; and
 - Organizations could have separate development partner agreements, but reporting through the One Fund reduced reporting requirements.
25. Under the joint programmes, the funds from the One Fund were disbursed by the administrative agent directly to the managing agent and participating UN organizations, according to the instruction received from the Joint Government and UN Steering Committee via the resident coordinator. The funds disbursed to the managing agent covered both the national execution components and the funds for activities directly implemented by them. The share of funds channeled to the managing agent varied considerably from one joint programme to another. The disbursements to the participating UN organizations covered activities they implemented directly, or technical assistance they provided. The administrative agent tracked disbursements from the One Fund by joint programme and UN organization.

5. Highlights

Related to the One Programme, including joint programming

26. The first phase of Delivering as One focused on joint programmes separate from the UNDAF. The second phase has taken an all-inclusive approach through the UNDAF.
27. The One Fund was an additional source of funding for both the joint programmes and the UNDAF; it has not replaced organizational resources, although dependency on the latter is reduced. Apart from supporting the joint programmes, the One Fund was used to back other reforms, such as the One Office, where a number of innovative business practices have been possible. They include a common ICT platform; a part-time common procurement team that introduced long-term agreements with attendant cost-savings to service needs such as for stationery, security, etc.; and a One UN communication strategy.
28. The reasons for focusing initially on joint programmes were:
- Their architecture required joint work plans, joint budgets, common results, division of labour and shared accountability;
 - Their fund management and resource delivery approach could be streamlined and used for delivery through national systems, thereby creating the potential for reducing transaction costs for UN organizations and national counterparts; and
 - They allowed a clear management structure with a managing agent,¹³⁴ including the centralization of certain functions and procedures as a precursor of harmonization in various areas (e.g., procurement, financial management and reporting), while at the same time permitting participating organizations to focus on their areas of programme expertise rather than on operational management.
29. In total, 14 UN organizations were involved with the 11 joint programmes. Specialized agencies and non-resident agencies whose technical areas were not fully addressed in the initial UNDAF were able to incorporate their areas of work in the One Programme.
30. With the conclusion of the UNDAF (2007-2011), the new UNDAF (2011-2015) was designed from the start as a joint effort between UN organizations, the Government and development partners, as well as civil society. The new approach moved from the focus on a limited set of joint programmes as

¹³⁴ The managing agent was responsible for the overall management of the programme and had programmatic accountability for development results.

a subset of the UNDAF, to a joint programming approach covering the entire One Programme, leading to a more coherent, comprehensive and implementable approach. The UNDAP allowed the One Programme to be more focused, with results pitched at a lower level to enable greater transparency and accountability. Its approach was more needs-driven and enhanced awareness in ministries of what they could expect from each programme. Within each thematic working group, a participating UN organization is appointed as a lead agency by the UN country management team to ensure coordination and strengthening of partnerships both within the UN system and with other partners in the country. Each working group has a programme management committee co-chaired by a government lead counterpart nominated by the Government and UN co-chairs of the steering committee. The programme management committee is responsible for: agreeing on annual work plans, including budgetary requirements and key implementation modalities, for submission for One Fund allocations; finalizing biannual reports on annual work plans; and providing strategic and technical guidance for proposed revisions of relevant sections of the UNDAP programme matrix, based upon biannual reports.

31. Overall, UN country team staff felt that the planning process under the UNDAP was more inclusive than during the first phase of Delivering as One, and that the programmes are more results focused, building on organizations' comparative advantages and responding to national priorities. They are more coordinated, create space for more organizations and are transparent. Since there are no separate programmes outside the UNDAP, there is much more coherence. A detailed, web-based results monitoring system, with indicators, means of verification and annualized targets at the outcome and output levels has been developed and is operational. It provides biannual review and reporting processes, responds to organizations' periodic reporting requirements and meets the Government's planning needs.

Related to the funding situation¹³⁵

32. The original UNDAF was funded from core and non-core organizational resources. The One Fund covered only the activities of the One Programme, which was composed of the original 11 joint programmes from 2007 to June 2011. The new UNDAP (2011-2015) incorporates all activities, for both development and humanitarian assistance, by resident and non-resident agencies, and is resourced through core and non-core resources and the One Fund.
33. The resident coordinator reported that the approach of the One Fund dramatically reduced competition for resources between UN organizations, and the burden on donors in terms of negotiating funding with a multitude of organizations. Nevertheless, despite agreed resource mobilization guiding principles, some organizations continue directly approaching donors, as the One Fund only covers 28 per cent of the UNDAP.
34. Despite many improvements, the process of transferring the resources of the One Fund to organizations at country level still experiences delays, with an adverse impact on the implementation of the annual work plans of the UNDAP 2011-2015:

¹³⁵ For details, see Table 3 of the statistical tables. The data upon which this analysis relies have been provided by the resident coordinator office. The reporting at country level has been limited to resources channeled through the One Fund. The UN country team cannot provide consolidated statistics and reports on all of its activities (development and humanitarian) for the period 2007-2010. No UN country-team-wide information system exists, and data concerning funding and delivery of activities outside the One Fund, namely those under core and non-core funding not covered by the One Programme, have to be retrieved manually from the organizations. In January 2012 floods destroyed many records in the resident coordinator office and organizational offices. It was not possible to provide comprehensive information on the overall assistance of the UN country team, including to give a perspective on the One Programme and One Fund in relationship to other UN country team activities. The following analysis therefore is limited to information available on the One Fund and the joint programmes funded by it.

- One Fund allocations for the first year of the UNDAF included Expanded Funding Window funds, with planned release of two tranches in May and September 2011. Actual disbursement, however, slipped.¹³⁶
- Up to three months of delays were observed in the transfer of funds from UN headquarters to the country level.
- The delay in funding impacted implementation—organizations with their own resources launched programming while others with a large dependency on the One Fund were forced to delay implementation, with negative implications for the concept of joint operation.

6. Business process harmonization

35. Business process harmonization was supported by a joint programme funded from the One Fund. The approved budget of US\$3.4 million includes resident coordinator office personnel. Under the UNDAF, the work on harmonizing business processes has continued under five operations working groups on procurement, ICT, HACT/finance, human resources and One House. These have a combined budget of US\$1.86 million, across the four-year programme of cooperation. They are focused on increasing operational efficiency, reducing transaction costs for UN organizations and their partners, and improving overall cost-effectiveness. The One Fund also supports the Operational Management Team with a full-time post of resident coordinator office operations adviser. The move towards business harmonization has resulted ultimately in some cost-savings. The negotiation of 45 long-term agreements for local and small-scale products used across the UN country team created at least US\$500,000 in savings in terms of workload and costs.
36. The business harmonization process, supported by the Operational Management Team, has been work and time intensive, and required efforts by the UN country team leadership and communication to achieve staff engagement. Staff at middle to junior levels faced challenges in getting fully involved. The distribution of Operational Management Team tasks was perceived as unbalanced, with funds and programmes taking lead roles on key issues.
37. Achievements include:
 - Forty-five long-term agreements are in place and are expected to result in financial savings of about US\$500,000, due to reduced transaction costs
 - IT connectivity has improved, making inter-agency work more efficient;
 - In Zanzibar, internet protocol telephony has been installed pending integration in all organizations' telephone systems;
 - Initiation of UN-wide system orientation and induction courses, as of 2009;
 - A common web-based human resource system is operational and expected to enhance strategic work force planning in line with the new country programme; and
 - The One UN House and common services in Zanzibar are fully operational under a full-time facilities manager—all resident organizations there share these common services.
38. Under the UNDAF, the One Office strategy will be used to continue seeking ways to expand the use of national systems and the building of their capacities, relating to procurement, the harmonized approach to cash transfers and finance. Further harmonization of local recruitment, and benefits and appraisal processes will build upon the consultancy database as well as existing long-term agreements. There will be increased Government engagement regarding the One House.
39. Key areas that are still subject to agreement and require additional support from headquarters include:
 - A possible assessment of inclusion of staff contributions to Delivering as One in staff performance appraisal processes across the UN country team;

¹³⁶ A first tranche from the Expanded Funding Window was only released in September and part of the second in October. By the end of 2011, the remainder of the second tranche was waiting for disbursement pending confirmation that half of the first tranche was spent.

- Need for a common definition of costs across UN organizations, as without it, the capacity to assess and report on increased efficiencies under Delivering as One is significantly diminished; this is particularly pertinent in today's aid environment; and
- The common country-level planning and monitoring and evaluation system runs in parallel to organization-specific corporate enterprise resource planning, which has implications for the use of the system beyond simply information sharing.

7. Use of national systems by UN organizations within the framework of Delivering as One

40. The UN system in the United Republic of Tanzania defines alignment with national systems as the use of the government Exchequer to transfer programme funds and the use of the government procurement system. This facilitates effective input into government planning processes and fosters aid predictability. It allows the Government to include the UN system's contribution in its planning and budgeting framework.
 - Organizations, such as UNDP, that apply the national implementation modality also use national procurement systems.
 - All organizations have committed to using the government Exchequer system, including for goods in kind.
41. As part of the drive to reduce transaction costs and increase efficiency, HACT has been increasingly used to apprise, through micro-assessments, whether or not government national implementing partners have management, accounting and control capacities to effectively manage programmes. The main challenge with HACT is the number of national implementing partners. There were 150 partners for the first annual work plans, and there will be more under the UNDAF.
42. The following organizations are using HACT:
 - Since 2007, UNDP, UNFPA, UNICEF and WFP; and
 - Since 2011/2012, UNESCO, UNIDO, ILO and FAO.

8. Transaction costs for national partners, donors and the UN country team

43. In 2008, the UN country team developed a framework for calculating programme costs over administration costs to determine whether or not the UN system is doing business in a cost-effective way. This was time consuming, taking several months to secure the requisite data, as each organization operates different financial management systems, with different cost definitions. The process and analysis were therefore carried out manually by each organization with coordination from the resident coordinator office.
44. Business process mapping was undertaken for procurement of local goods. New initiatives such as long-term agreements were implemented to reduce the time and costs of procurement processes. A common ICT platform is also expected to lower UN internal transaction costs. Following a 2010 DOCO mission, guidelines were issued for the definition and assessment of transaction costs. For the second half of the 2011-2012 annual work plan period, a mechanism is planned based on the UNDG methodology for measuring transaction costs.
45. Business processes were mapped for the UN country team in the following areas:
 - For procurement of local goods, 45 long-term agreements resulted in an estimated savings of about US\$500,000 for three years;
 - Common ICT infrastructure for inter-agency information sharing is being implemented, with cost savings not yet calculated;
 - A human resources grade classification for national staff is in progress;
 - One UN banking is in progress; and
 - An organization/host country agreement is in progress.

9. Cost of coordination¹³⁷

46. The composition of the UN country team remained essentially unchanged during Delivering as One, with six funds or programmes (UNAIDS, UNCDF, UNDP, UNFPA, UNICEF, UN Women and WFP), five specialized agencies (FAO, ILO, UNESCO, UNIDO and WHO) and six other organizations (IOM, ITC, OHCHR, UNCTAD, UNEP, UNHABITAT and UNHCR). UNEP and UNCDF are represented in the country through local officers. There are three non-resident agencies (OHCHR, UNCTAD and ITC).
47. The professional staffing of the resident coordinator office has grown from eight in 2006 to nine in 2011. There are two special assistants to the resident coordinator (funded by the Swedish and Spanish governments); three national officers, including a non-resident agency coordinator funded by UNDP; and five additional posts, four of which are for international staff, including the Zanzibar liaison officer. The office is funded through the One Fund at just over 1 million a year in the UNDP US\$777 million four-year budget.
48. Increases in staff and costs to manage Delivering as One, largely in the resident coordinator office, have been largely met from One Fund resources. This emphasizes the importance of having a large fund, which can be used to support the necessary costs of developing Delivering as One.

Statistical tables relating to the funding situation

Table 1: Deposits by donors to the One Fund in US\$ (millions), 2007-2011¹³⁸

Contributor/partner	Commitments	Deposits	Share, %
Canada	45.0	20.2	15
Expanded Funding Window	32.3	32.3	24
Finland	10.7	8.2	6
Ireland	7.0	7.0	5
Netherlands	10.6	10.6	8
Norway	21.4	13.7	10
Spain	6.0	6.0	4
Sweden	6.2	6.2	5
Switzerland	5.3	3.2	2
United Kingdom	27.9	27.9	21
Total	172.4	135.3	100

¹³⁷ The resident coordinator office was not in a position to provide any information on the staffing or cost of the UN country team for the period 2007-2011: "10 Agencies affected by severe flooding of UN Compound; soft and hard copies of records have been lost. As yet no access to the shared drive (awaiting technical assistance from HQ), most agencies are therefore not currently in the position to provide requisite data. Remaining agencies did not respond in the given timeline."

¹³⁸ Source: Multi-Partner Trust Fund Office GATEWAY. Countries in bold also supported the Expanded Funding Window.

Table 2: Transfer of funds from the One Fund to UN organizations in US\$ (millions), end 2011¹³⁹

Organization ¹³	Transfers at end 2011		Share of transfers in total, %
	Budget	Transfers	
UNAIDS	0.4	0.4	0
UNCDF	0.4	0.4	0
UNDP	50.0	47.5	44
UNFPA	7.6	7.6	7
UNICEF	10.6	9.2	9
UN Women	0.5	0.4	0
WFP	6.7	5.8	5
Funds and programmes	76.2	71.3	66
FAO	5.9	5.9	5
ILO	8.0	7.4	7
UNESCO	7.0	6.0	6
UNIDO	6.1	5.6	5
WHO	6.4	6.4	6
Specialized agencies	33.4	31.3	29
IOM	1.6	1.6	1
ITC	0.4	0.4	0
OHCHR	0.0	0.0	0
UNCTAD	0.1	0.1	0
UNEP	0.2	0.2	0
UNHABITAT	0.2	0.2	0
UNHCR	2.6	2.6	2
Total other organizations	5.1	5.1	5
Total funding One Fund	114.7	107.7	100

Table 3: Source of funding of UN development expenditure

	Values in US\$ (millions)					
	2006	2007	2008	2009	2010	2011 ^a
Total annual UN programme expenditure	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Total estimated annual UN expenditure for development by programme and funding source	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.

¹³⁹ Source: Multi-Partner Trust Fund Office GATEWAY.

	Values in US\$ (millions)					
	2006	2007	2008	2009	2010	2011 ^a
Non-One Programme	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
One Programme	n.a.	n.a.	24.1	29.7	55.8	n.a.
Types of non-core funding in One Programme						
One Fund mobilized through headquarters	-	13.6	22.1	15.1	22.7	17.7
One Fund mobilized through resident coordinator	-	-	-	11.8	6.7	13.8
Total annual UN expenditures for development by execution modality, of which						
Non-One Programme	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
One Programme ^b	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
Execution through joint programmes within One Fund ^c	-	-	9.9	17.5	30.3	n.a.
Other execution modalities if any ^d	n.a.	n.a.	14.2	11.9	n.a.	n.a.
Share of joint programmes in One Fund, % ^e	n.a.	n.a.	45	65	n.a.	n.a.
Unearmarked			9.9	17.7	30.3	
Share of unearmarked funding within One Programme	n.a.	n.a.	n.a.	n.a.	n.a.	n.a.
<p>a. Amounts are still estimates since final 2011 end-of-year figures were not yet available.</p> <p>b. Under the joint programmes, reported data were not disaggregated according to core and non-core funding. They were defined as One Fund, parallel and pooled funding. It is therefore not possible to distinguish which resources were part of an organization's core funds and which were part of their non-core funds.</p> <p>c. Data provided in the 2008-2010 fields accounts for joint programmes only. The joint programmes are aligned with the Government's fiscal cycle, July to the following June of each year. Figures provided for 2011 are projected, extrapolated from 19 annual work plans running July 2011-June 2012, encompassing all UN system activities. Expenditure for the first six months were available until completion of the first mid-year review, at the end of February 2012, which was not in time for the preparation of this country information sheet.</p> <p>d. Figures defined as parallel or pooled funding. Data for 2010 cannot be verified. Data for 2011 are not yet available.</p> <p>e. The remainder of the One Plan Fund is managed and coordinated through UN organizations.</p>						

Uruguay¹⁴⁰

1. Implementation of the Ones

1. In 2006, Uruguay volunteered to be one of eight countries to implement Delivering as One; it is the only pilot in Latin America and the Caribbean. As the only upper-middle-income country at the start of Delivering as One, it has very small cooperation resources compared with GDP (0.1 per cent in 2005) and the National Budget. However, Uruguay faces a number of extremely serious structural weaknesses and vulnerabilities that jeopardize the sustainability of its development. The Government opted to participate in the pilot process to test the effectiveness of high-impact, limited-resource interventions that use the support of the UN system to overcome these challenges.
2. Uruguay's ODA¹⁴¹ ranged from US\$21 million in 2006 to US\$51 million in 2011. Including government resources, total assistance through the UN system is reported to be between US\$20 million in 2006

¹⁴⁰ Source of information: Delivering as One survey, field interviews, document research and Multi-Partner Trust Fund Office GATEWAY. This note has been reviewed and verified by the resident coordinator office and UN country team.

¹⁴¹ ODA amounts per official government sources, 2006-2011.

and US\$44 million in 2010. No humanitarian assistance is reported for Uruguay during this period. Since Uruguay is classified as a high-middle-income country, it has limited access to donor resources, as evidenced by the low level of ODA.

3. The Delivering as One pilot initiative is composed of five pillars: One UN Programme, One Budgetary Framework, One Leader, One Office and One Voice.
4. The One Programme 2007-2010 was supported by a One Budgetary Framework. It presented the outcomes and outputs of the One Programme as well as the resources and funding sources that participating UN organizations planned to mobilize.
5. By allocating resources in a pooled fund, the One UN Coherence Fund was designed to provide a funding framework, with utilization, implementation and disbursement defined at the country level according to the national priorities established in the UNDAF and the One Programme.
6. The resident coordinator plays a key role by articulating and coordinating the implementation of the UNDAF and the One Programme, and represents the UN country team as a whole, including the non-resident agencies. As leader of the UN country team, the resident coordinator makes the ultimate decision in the event that the UN country team cannot reach agreement on a given issue. The resident coordinator, jointly with the designated government representative, also oversees resource allocations under the One UN Coherence Fund.
7. An Operations Management Team composed of the operation officers or chief administrators of UN organizations was established to manage and supervise common services and address administrative-operational issues, including progress in the application of HACT.
8. The UN country team developed a common communication strategy to deliver a coherent message, dealing with the UN system as a whole.

2. Overall management of Delivering as One

9. The implementation of the One Programme and the management of the One UN Coherence Fund are overseen by a steering committee that consists of the Government, the resident coordinator, participating UN organizations and donors as observers.
10. The resident coordinator represents the UN Secretary-General and the UN country team in front of the Government; however, UN organizations' autonomy and relevance with national counterparts are not affected. The resident coordinator and UN country team may delegate the discussion of a specific issue to the UN organization that can best represent and defend the UN system's position. In these cases, the UN organization reports to the resident coordinator and UN country team on results achieved. An effective firewall was instituted with the establishment of a UNDP country director.

3. Funding modalities within the framework of Delivering as One

Common Budgetary Framework

11. The original 2007-2010 UNDAF, signed in 2006 before Delivering as One began, did not include a One Budgetary Framework showing identified regular resources (core), extra-budgetary resources (non-core), or a funding gap (Uruguay was not required to have an UNDAF signed for the time period). Hence, mobilization targets and reported execution for the UNDAF did not include government resources or reimbursable contributions from the international financial institutions.
12. The 2007-2010 One Programme signed in October 2007 covered all activities of the signatory UN organizations. Its One Budgetary Framework included mobilization target estimates by regular resources (core), other UN resources (non-core resources from UN sources or bilateral cooperation), government resources (budget or reimbursable contributions from the international financial organizations) and a funding gap for the four agreed programmatic areas.
13. The funding gap was US\$15 million at the start of the One UN Programme. It was fully covered by the end of 2010 with contributions of US\$10.3 million to the One UN Coherence Fund, US\$2.2 million by

the Expanded Funding Window and US\$3.3 million from the MDG-F. The overall achievement is 106 per cent over the original goal for 2007-2010.

14. As PAHO/WHO did not sign the One UN Programme, its activities were not included in delivery figures; also, ad hoc activities by non-resident, non-signatory agencies were not included in the UNDAF or the One UN Programme.
15. Based on the experience with the One UN Programme and the One Budgetary Framework, the UN country team adopted the UNDAF Action Plan, or UNDAP, for the 2011-2015 UNDAF. The UNDG promoted this model, which consolidates the country programme action plans of UNDP, UNFPA and UNICEF into one document. The 2011-2015 UNDAF maintains a strategic focus on direct outcomes, which are disaggregated into outputs and key activities in the UNDAP. It is perfectly aligned with national priorities established by the Government for 2011-2015, as it was drafted jointly with government technical experts while the five-year National Budget was being drafted and debated. The One Budgetary Framework is the basis for the UNDAP, and it covers all activities of signatory UN organizations, including PAHO/WHO, which signed the new programme document.

One Fund¹⁴²

16. The One UN Coherence Fund was established to bridge the funding gap of US\$15 million shown in the One Budgetary Framework between existing resources and the total estimated cost of the One UN Programme. It covered nine outputs of the programme and less than 10 per cent of mobilized resources.
17. Only UN organizations that signed the One UN Programme and its memorandum of understanding could access One UN Coherence Fund resources.
18. Based on experience during Delivering as One, the UN country team agreed to extend the One UN Coherence Fund into the new UNDAF and UNDAP through an amendment to the original memorandum of understanding. Again, only signatory organizations can access funds, but all organizations can participate in joint programming, collaborating with their expertise and core funds. So far, US\$1.3 million has been deposited for 2011-2015.
19. The Multi-Partner Trust Fund Office, as the assigned administrative agent, delegated significant functions to the UN Resident Coordinator's office. This enhanced local ownership and national leadership through transparent and rapid access to information.

4. Programming and funding mechanisms—governance and resource allocation

Governance of the One Fund mechanism

20. Governance mechanisms established for managing the 2007-2010 UNDAF remain active for the 2011-2015 UNDAF.
 - The Steering Committee of the UNDAF/UNDAP is co-chaired by the director of the Budget and Planning Office of the Presidency¹⁴³ and the UN resident coordinator. It is composed of the Ministry of Foreign Affairs, participating UN organizations and donors as observers. It establishes allocation criteria for the One UN Coherence Fund, allocates resources, approves programmes, and consults with other stakeholders, especially civil society.
 - The UN resident coordinator provides strategic leadership, makes the ultimate decisions on One UN Coherence Fund allocations, and is accountable and responsible for consolidated fund reports based on reports from participating UN organizations, with the support of the administrative agent.

¹⁴² For details, please see Tables 1 and 2 at the end of this country information sheet.

¹⁴³ The new Agency for International Cooperation is expected to take on the co-presidency role as the Government's leading organization for administering international cooperation.

- The Consultative Committee allows space for dialogue with stakeholders not part of the Steering Committee. It considers strategic and overall priorities, and progress of implementation of the UNDAF, UNDP and One UN Coherence Fund. A very broad committee, it involves the Budget and Planning Office of the Presidency, the resident coordinator, non-Steering Committee members of the UN country team, donor representatives, and representatives from civil society, including the Uruguayan Federation of Cooperatives and the National Association of Micro and Small Businesses. Ministries may be associated as permanent members, and representatives from other sectors of society, such as academia, foundations, the private sector or trade unions may be invited to participate. The committee may make recommendations about activities funded under the One UN Coherence Fund and their harmonization with those funded bilaterally by donors.
 - Each joint programme under the One UN Coherence Fund is governed by a management committee including government representatives and participating organizations. Whatever minor delays typical in inter-agency work were resolved in the corresponding management committee.
 - The Multi-Partner Trust Fund Office acts as the administrative agent of the One UN Coherence Fund. It delegates certain functions to UNDP's country director.
21. The One UN Coherence Fund in Uruguay is unique in allowing non-UN organizations with similar financial regulations and rules to submit proposals for funding, provided they sign a separate memorandum of understanding with the Multi-Partner Trust Fund Office. This is the case with the IOM. NGOs can function as implementing partners through participating UN organizations.

Resource allocation criteria and fund performance

22. Joint programmes are eligible for funding under the One UN Coherence Fund if they contribute to the achievement of at least one of the MDGs, are linked to national priorities and outcomes of the UNDAF, ensure the adequate participation of key stakeholders among national counterparts and the UN system (at least two), and complement other initiatives financed by the Government and/or other UN organizations. Disbursements are subject to performance (70 per cent of resources delivered) and significant achievement of the deliverables for each joint programme. In case of under-performance, up to two grace periods are granted (less than 11 months) to allow the participating organizations to assist national counterparts in reaching established national targets.
- The fund allocation process of the One UN Coherence Fund performed as expected.
 - The criteria were supported by the UN country team allowing for an effective decision-making process. They are seen to have enhanced predictability and ensured transparency in the processes involved.
 - The allocation criteria for the Expanded Funding Window also performed as expected and as designed, but are not seen as responding to the needs of middle-income countries.
 - There were some adjustments to the locally developed terms of reference of the One UN Coherence Fund based on lessons learned throughout the process and other requirements from the national, regional and international levels.
 - The joint programmes under the One UN Coherence Fund were approved as planned under the terms of reference endorsed at the national level, without any significant modification between the drafting and the approval.
 - Expanded Funding Window funds were channeled to the One UN Coherence Fund and implemented according to the fund's terms of reference.
23. The new funding mechanisms enhanced synergy across UN organizations working jointly at the national level. Many of the results have gone beyond expectations, as the process ensured long-term joint lines of action and concrete achievements that would not have been possible without combined UN system action.
24. The financial flow within the One UN Coherence Fund was effective. Financial resources were received and allocated to participating organizations in due time. The in-country management of the

One UN Coherence Fund facilitated and expedited the flow of resources and the approval of joint programmes in accordance with the locally developed terms of reference. However, Expanded Funding Window contributions to the One UN Coherence Fund were often received only in the later part of the year for execution by that year's end. This resulted in delays in several programmes.

25. There have been no delays or difficulties submitting progress and expenditure reports. Financial reporting to the Multi-Partner Trust Fund by organizational headquarters is on an annual basis each April, and it is clear, transparent and efficient. Annual reporting is not sufficient, however, for regular monitoring of joint programme delivery; instead, local reporting continues to ensure proper follow-up and delivery as required by the locally developed terms of reference.
26. The One UN Coherence Fund allows participating organizations to charge seven per cent for their administrative/management costs for implementing joint programmes, but only a few country offices receive any portion of these funds from their respective headquarters. This practice is seen to hinder execution capacity and commitment at the country level. For this reason, some UN country team members are reluctant to engage in joint programmes financed by the One UN Coherence Fund, as they consider that in-country administrative costs are not being offset.

5. Highlights

Related to the One Programme, including joint programming

27. Overall UN expenditure in Uruguay is entirely covered by the UNDAF or One UN Programme during 2006-2011, as UN organizations' cooperation programmes are covered by one or both programmatic documents.
28. The development of the One UN Programme was based on the previous 2005 common country assessment and the voluntary formulation of the 2007-2010 UNDAF. The UNDAF was based on the national priorities established by the Government and identified the advantages from the differential capacities of the UN system. The harmonization of the 2007-2010 UNDAF programmatic cycle and the current 2011-2015 common country assessment and UNDAF with the Government's budgetary cycle provided a basis for the UN system to work according to national priorities set by the new Government that took office.
29. The One UN Programme was developed with a human rights based approach and oriented towards strengthening the country's development policies. It focused on the four national priorities set forth in the 2007-2010 UNDAF, and established 63 outputs, of which 25 had an inter-agency dimension, 29 had strategic significance in terms of the UNDAF, and 9 were considered key for the country and were to be financed through the One UN Coherence Fund. The criteria for drafting the One UN Programme were:
 - National priorities defined in the common country assessment;
 - Strategic action areas identified by the Government;
 - Areas of the UNDAF with more concentration of inter-agency work within the UN system thematic groups; and
 - Issues where the joint action of the UN system would add value.
30. The One UN Coherence Fund supported 12 joint programmes that corresponded to the 9 outputs with funding gaps identified in the One UN Programme. One additional joint programme, "Strengthening the Cultural Industries and Improving Access to the Cultural Goods and Services of Uruguay" under the MDG-F is considered an integral part of Delivering as One, as it implemented the pilot's principles and was part of the One UN Programme.
31. Each joint programme is managed by management committees coordinated by the joint programme coordinator. Government representatives and UN organizations participate in planning, managing, monitoring and ensuring the execution of established programme goals. One of the tasks is to ensure compliance with the terms of reference in meeting the joint programme's financial delivery goal for subsequent disbursements from the One UN Coherence Fund.

32. Since 2008, the One UN Coherence Fund bases subsequent distribution of resources for each approved joint programme on results and performance criteria. Each joint programme has incorporated monitoring and evaluation systems to ensure that the established results and goals are attained. For a joint programme—and its national implementing partners as well as UN organizations—to become eligible for subsequent distributions or allocation of funds, the One UN Coherence Fund requires an overall expenditure of at least 70 per cent of the last disbursement.
33. One of the joint programmes financed by the One UN Coherence Fund had catalytic and coordination functions in relation to the reform of the prison system, as it increased partnership with the European Union and Spanish Government.

Related to the funding situation¹⁴⁴

34. All One UN Coherence Fund resources mobilized by the resident coordinator and Expanded Funding Window were implemented through joint programmes. With the exception of the One UN Coherence Fund resources, all other funding sources under non-core funding were earmarked.
35. The original funding target of the UNDAF 2007-2010 was US\$33 million. The One UN Programme established a funding target of US\$95 million as agreed in 2007; US\$80 million was reported as mobilized at the time of approval. The One UN Programme's share within overall UN system expenditure for development is about 85 per cent.
36. By the end of 2010, actual funding and expenditure by the UN system had reached US\$163 million, of which US\$140 million was for the One UN Programme. Non-core resources represent 78 per cent of funds for the One UN Programme, and reached 86-92 per cent in some years from 2007-2010.
37. However, US\$74 million of overall funding came from government cost-sharing and reimbursable contributions from international financial institutions, reported under non-core contributions. Other non-core resources reached US\$53 million.
38. The biggest share of non-core funding comes from the Government and the international financial institutions, which are all part of the One UN Programme (58 per cent in 2007 and 55 per cent in 2010). The bulk of funding for the One UN Programme comes from the Government, international financial institutions and other extra-budgetary funding.
39. The resources mobilized by the resident coordinator and the Expanded Funding Window are the only funds in the One UN Coherence Fund, which covers only 3-4 per cent of annual requirements, with the exception of 2009, when it covered 18 per cent. During 2008-2009, the One UN Coherence Fund relied exclusively on locally mobilized resources, but in 2010, it was supported by the Expanded Funding Window with US\$2.3 million.
40. Considering their share in the overall funding of the One UN Programme, it is significant that Government and reimbursable contributions from the international financial institutions are included in the One UN Programme, thus ensuring overall coherence of the UN system's contribution to Uruguay's development.

6. Business process harmonization

41. The UN country team and resident coordinator office report that the main efforts towards business process/practice harmonization related to setting up a memorandum of understanding on common services, mainly to establish long-term agreements to take advantage of consolidated procurement power:
 - A long-term agreement on travel agency services was signed, resulting in reductions on airfares. Several airlines have agreed to provide preferential rates to all UN organizations and their staff.

¹⁴⁴ The data upon which this analysis relies have been provided by the resident coordinator's office, which collected and consolidated the information from organizational offices. For details, see Table 3 at the end of the information sheet.

No commitment to a specific purchase volume is required; the potential volume of services was sufficient to leverage better prices.

- Joint purchasing of paper and office supplies.
 - Reduced telecommunications rates as the UN system is considered to be a large client.
 - Reduced courier costs.
 - Common procedure on human resources selection and the procurement of goods and services for joint programmes; staff selection panels now include national counterparts, the Government, participating UN organizations and the resident coordinator office.
 - Agreement on common conditions for locally contracting human resources, covering salary scales and benefits; this allows the specific rules and procedures of the contracting organization to remain in place.
42. According to the UN country team and resident coordinator office, the absence of harmonized rules and regulations at headquarters levels for all UN organizations obliges the country team to apply different standards, processes and policies according to the organization that leads procurement.
43. The UN country team and resident coordinator office maintain that the new funding mechanisms have reduced transaction costs, as reporting to cooperation partners and UN headquarters is easier. There continues to be duplication of efforts and increased workload and cost, however, as organizations are still required to comply with their own policies and procedures.

7. Use of national systems by UN organizations within the framework of Delivering as One

44. Since 2007, UNDP, UNFPA and UNICEF have implemented HACT (macro-assessment, micro-assessment, use of the funding authorization and certificate of expenditure). As of 2008, FAO, ONUDI and UNESCO have attempted to implement HACT, but not completely.
45. The UN country team is using national systems in a few instances, but there are no formal discussions with the Government on using national systems for UN activities. National counterparts often consider the UN system more effective and view it as the preferred administrator of funds.

8. Transaction costs for national partners, donors and the UN country team

46. Stakeholders perceive transaction costs as a challenge, and not just in terms of time and procedures, but also in terms of the additional investments that they have to make to work with the UN system. They indicate that transaction costs have increased under Delivering as One, while recognizing that there has been greater delivery, cooperation and coordination by the UN system vis-à-vis country priorities and needs for development. Transaction costs changed due to a greater level of participation and involvement by UN organizations with a greater number of national counterparts.
47. Reduction of transaction costs has been one of the overall key objectives of Delivering as One. The UN country team has discussed transaction costs with national partners and donors. The Government in particular has indicated the need for UN organizations to harmonize their practices, rules and regulations to reduce the burden of the many rules applied. Especially for joint programmes, several national counterparts have had to follow different rules for each participating UN organization. Reducing costs has been a strong message from the Government through every step of Delivering as One, and the implementation of joint programmes financed by the One UN Coherence Fund and the MDG-F.
48. Perception surveys indicate that some transaction costs have increased, while others have declined:
- Government: Delivering as One has implied additional coordination efforts; however, the UN system is more effective and better aligned with national priorities.
 - Donors at the country level: Coordination efforts with the UN system increased, but with great gains in developing joint efforts and enhancing coherence in collective actions.

- Common services and collective bargaining efforts have resulted in substantial savings for UN organizations.
- 49. Business processes in the areas of individual procurement, common services procurement and joint programming have been mapped, but with limited results, as most procedural changes cannot be implemented at the country level. Substantial reductions in transaction costs are expected through lower prices due to increased purchasing power from collective bargaining, resulting in annual savings of approximately US\$165,000 for the entire UN country team. Savings will accrue to the UN country team and the Government. Joint programming, on the other hand, increased transaction costs for all partners. Reduced transactions costs are expected from better-aligned programmes, reduced duplication, enhanced coherence and higher national ownership.
- 50. The UN country team monitors, as of 2010, the evolution of administrative costs in relation to overall delivery in the country as a proxy indicator for transaction costs. According to the resident coordinator office, some UN organizations have reported improvements in costs related to their delivery.

9. Cost of coordination¹⁴⁵

- 51. The UN country team increased from 11 to 22 organizations between 2006 and 2010, of which 3 are funds or programmes, 7 are specialized agencies, and 6 are non-resident agencies. An additional four non-resident agencies operated in Uruguay without resident officers or staff.
- 52. The professional staffing of the resident coordinator office has grown from 2¹⁴⁶ in 2006 to 11 in 2011, mainly through the use of consultants. These additional positions are funded by donors (the Transformation Fund from the Netherlands and Spain), DOCO (Delivering as One specific funds) and the office provides secretariat functions for the Steering Committee and to some extent UN organizations.
- 53. The staffing of the UN country team shows diverging trends:
 - Funds and programmes (2006-2011): While most positions remained relatively stable, the number of consultants increased from 23 in 2007 to 52 in 2011.
 - Specialized agencies (2006-2011): The number of international professional positions increased by 27 per cent, from 15 in 2006 to 19 in 2011. Those of national professionals increased by 43 per cent from 7 in 2006 to 10 in 2011, and those of General Service staff rose by 46 per cent from 28 in 2005 to 41 in 2011. The number of consultants peaked in 2008; it declined from 31 in 2006 to 28 in 2011.
 - The capacity of non-resident agencies doubled in the two professional categories (international and national) from 5 positions in 2006 to 12 in 2011. The number of consultants went from 0 to 4 in 2011.
- 54. The cost of operational support to programme work, from the resident coordinator and country offices of funds and programmes, doubled during 2006-2010. Including international, national and General Service staff positions, along with non-staff allocations, it rose from US\$2.6 million in 2006 to US\$5.2 million in 2010.
- 55. In 2011, the cost of the resident coordinator office was 9 per cent of the total cost of the UN country team offices, from 4 per cent in 2006. Funds and programmes contributed 63 per cent of the cost, from 61 per cent in 2006. Specialized agencies contributed 19 per cent, from 20 per cent in 2006, while non-resident agencies provided 10 per cent, from 14 per cent in 2006.
- 56. Taking into account the programme delivery figures and using 2007-2010 as reference framework, the following emerges:
 - Overall UN programme expenditure increased by 91 per cent; One UN Programme expenditures rose by 67 per cent.

¹⁴⁵ Source: response to survey. For details, see Table 4 at the end of the information sheet.

¹⁴⁶ Of which one is an international officer.

- While core-funding hardly increased, non-core funding doubled.
- The increase in staff and cost of UN offices corresponds with the overall increase of activities.

Statistical tables relating to the funding situation

Table 1: Deposits by donors to the One Fund in US\$ (millions), 2006-2011¹⁴⁷

Contributor/partner	Deposits	Share, %
Expanded Funding Window	3.56	26
Netherlands	0.69	5
Norway	1.83	13
Spain	7.80	56
Total deposits	13.88	100

Table 2: Transfer of funds from the One Fund to UN organizations in US\$ (millions), end 2011¹⁴⁸

Organization	Transfers at end 2011	Share of transfers in total, %
UNDP	3.9	32
UNEP	0.3	2
UNFPA	1.3	11
UNICEF	0.5	4
UNOPS	0.5	4
UN Women	0.5	4
Funds and programmes	7.0	57
FAO	0.7	6
ILO	0.9	7
UNESCO	1.2	10
UNIDO	1.3	11
Specialized agencies	4.1	34
IOM	1.0	8
UNODC	0.1	1
Total other organizations	1.1	9
Total funding One Fund	12.2	100

¹⁴⁷ Source: Multi-Partner Trust Fund Office GATEWAY. Countries in bold also supported the Expanded Funding Window.

¹⁴⁸ Source: Multi-Partner Trust Fund Office GATEWAY.

Table 3: Source of funding of UN development expenditure¹⁴⁹

	Values in US\$ (millions)				
	2006	2007	2008	2009	2010
Total annual UN programme expenditures (annual reports) ¹⁹	19.7	23.3	46.8	48.8	44.4
Total estimated annual UN expenditures for development by programme and funding source ²⁰	19.7	23.3	46.8	48.8	44.4
Non-One Programme	19.7	1.2	6.5	7.5	7.9
Core funding	0.0	0.1	0.1	0.1	0.1
Non-core funding of non-One Programme activities	0.0	1.1	6.4	7.4	7.7
One Programme	0.0	22.1	40.3	41.4	36.6
Core funding	0.0	3.1	4.3	2.8	3.1
Non-core funding—extra-budgetary (does not include One Fund)	0.0	6.1	13.1	11.5	9.8
Non-core funding—Government and reimbursable contributions from international financial institutions	0.0	12.9	21.6	19.5	20.1
Non-core funding—One Fund	0.0	0.0	1.4	7.6	3.6
Share of non-core funding in One Programme, %		86	89	93	92
Types of non-core funding	0.0	19.0	36.0	38.6	33.5
Extra-budgetary not included in One Fund	0.0	6.1	13.1	11.5	9.8
Government and reimbursable contributions from international financial institutions	0.0	12.9	21.6	19.5	20.1
One Fund	0.0	0.0	1.4	7.6	3.6
One Fund mobilized through headquarters	0.0	0.0	0.0	0.0	0.0
One Fund mobilized through resident coordinator	0.0	0.0	1.4	7.6	1.4
One Fund supported by Expanded Funding Window	0.0	0.0	0.0	0.0	2.3
Other (non-core) resources (MDG-F and other sources)	0.0	0.0	0.0	0.0	0.0
Share of non-core resources mobilized through resident coordinator in One Programme, %	-	0	3	18	4
Share of other (non-core) resources in One Programme, %		100	96	80	89
Total annual UN expenditure for development by execution modality, of which	19.7	23.3	46.8	48.8	44.4
Non-One Programme	19.7	1.2	6.5	7.5	7.9
Execution not through joint programmes	19.7	1.2	6.5	7.5	7.9
Execution through joint programmes outside One Fund (=MDG-F)	0.0	0.0	0.0	0.0	0.0
One Programme	0.0	22.1	40.3	41.4	36.6
Execution through joint programmes within One Fund ²¹	0.0	0.0	1.4	7.6	1.4

¹⁴⁹ The consolidated data reflect data submitted by all UN organizations.

	Values in US\$ (millions)				
	2006	2007	2008	2009	2010
Execution through joint programmes outside One Fund (= MDG-F)	0.0	0.0	0.0	0.9	1.0
Other execution modalities if any	0.0	22.1	38.9	32.9	34.2
Share of joint programmes in One Fund, %			100	100	100
Earmarked and unearmarked funding under One Programme	0.0	19.0	36.0	38.6	33.5
Earmarked	0.0	19.0	34.7	31.0	29.9
Unearmarked	0.0	0.0	1.4	7.6	3.6
Share of unearmarked funding within One Programme, %	0	0	3	18	10

Table 4: Source of funding of UN development expenditure and staffing, and cost of supporting the One Programme¹⁵⁰

	In US\$ (millions)		Change, % 2007-2010
	2007	2010	
Total annual UN programme expenditure (annual report)	23.3	44.4	91
Total estimated annual UN expenditure for development by programme and funding source	23.3	44.4	91
Non-One Programme	1.2	7.9	558
One Programme	22.1	36.8	66.5
Core funding	3.1	3.1	0
Non-core funding	19.0	33.6	76.8
Of which			
One Fund mobilized through headquarters			
One Fund mobilized through resident coordinator		1.4	
One Fund supported by Expanded Funding Window		2.1	
Other (non-core) resources (MDG-F and other sources)			
Support to UN Programme (cost of resident offices)	Number of staff		
Total UN country team	158	240	52
Human resources of resident coordinator office	2	11	450
Human resources of country offices of funds and programmes	61	100	64
Human resources of country offices of specialized agencies	81	101	25
Human resources of non-resident agencies operational at country level	14	28	100
	In US\$ (thousands)		
Total UN country team	2.557	5.156	102

¹⁵⁰ Consolidated data reflect data submitted by all UN organizations.

	In US\$ (millions)		Change, % 2007-2010
	2007	2010	
Estimated cost of resident coordinator office	117	448	283
Estimated cost of country offices of funds and programmes	1.564	3.246	107
Estimated cost of country offices of specialized agencies	516	960	86
Estimated cost of non-resident agency staff at country level	360	502	39

Viet Nam¹⁵¹

1. Implementation of the Ones

1. The One UN initiative in Viet Nam started in February 2006. At first it focused on five pillars of UN reform: One Plan, One Budget, One Leader, One Set of Management Practices and One Green UN House. Viet Nam later added One Voice.
2. Under the One Plan, in early 2006 the UN country team agreed on a two-track approach. Organizations ready to join the unified structure could do so immediately, while the specialized agencies would opt in or out depending on their specific circumstances and within their own timeframes. After the first One Plan was developed and before implementation could start, five non-participating organizations intervened, arguing that they had been excluded from discussions and decisions, and that the arrangements failed to adequately support national development objectives. Accordingly, the approach was revised to include all 14 agencies, but with a change in scope. The second One Plan started in 2008.
3. The One Plan seeks to combine and synthesize the work of the 14 resident UN organizations in Viet Nam—FAO, IFAD, ILO, UNAIDS, UNDP, UNFPA, UN-HABITAT, UNIDO, UNESCO, UNICEF, UN Women, UNODC, UNV and WHO—within a single planning framework to better support the Socio-Economic Development Plan (2006-2010) of Viet Nam and the achievement of the MDGs.
4. To put the One Plan into action, a One Plan Management Plan was finalized and agreed upon by all participating agencies. It outlined how the UN organizations participating in One UN in Viet Nam would organize themselves in the most effective ways, so as to successfully implement the One Plan and other key elements of One UN.
5. The One Plan Fund Mobilization and Allocation Committee was established under the chairmanship of the resident coordinator. It consists of UN heads of organizations and is intended to ensure that the mobilization and allocation of funds for programme priorities within the One Plan are strategic, coherent, and in line with the harmonization and simplification agenda of the Hanoi Core Statement. Based on experiences in funding the second One Plan and subsequent One Plan fund allocation rounds, refined allocation criteria have been developed in three key areas: eligibility, programme priority and performance.
6. Under the One Plan Management Plan, programme coordination groups were established in 2008 as an inclusive mechanism for UN organizations to work with each other and with partners on key shared issues such as HIV and AIDS, social and development policies, education and governance. The groups coordinate implementation of specific sets of outputs from the One Plan. They are a joint working mechanism, co-owned by the Government and the UN system, and as such are co-convened by a government ministry and a UN organization. Each group consists of staff nominated from various government ministries, UN organizations and other partners working together in a specific pro-

¹⁵¹ Sources: Delivering as One survey, field interviews, document research and the Multi-Partner Trust Fund Office GATEWAY. This note has been reviewed and verified by the UN country team.

grammatic area. Diverse in size, structure and coordination modalities, the groups aim to ensure high-quality coordination, institutional learning and staff development. While the groups are essential to the overall Delivering as One process, the number was consolidated from 11 to 8 following the recommendations of an independent assessment in 2009. Another recommendation was to change the status of the groups from being internal UN coordination mechanisms to being joint working mechanisms, co-convened by the Government and the UN system.

7. Implementation of the One Plan is overseen and coordinated by the One Plan Steering Committee, in order to ensure achievement of plan outcomes and its contribution to national development results. The committee provides broad strategic advice on the allocation of resources from the One Plan Fund. It is co-chaired by the Vice-Minister of the Ministry of Planning and Investment and the resident coordinator, and has eight other members—four representatives of government aid coordination agencies and four members of participating UN organizations.
8. The new One Plan (2012-2016) was developed on the basis of the UNDAF guidelines. This included conducting an independent analysis of the country situation, which drew on: available studies, including a joint country analysis commissioned by the UN system and the Like-Minded Donor Group, internal UN analytical work, a strategic prioritization process, and extensive consultations with the Government donor community and civil society. The overall programme framework was designed in close partnership with the Government and donor partners, and in consultation with other key stakeholders, including civil society. The new One Plan is a clear move away from agency-based planning to joint UN programming with Government and donor partners. It outlines the programme of work that participating UN organizations will undertake, in line with the priorities identified in the Socio-Economic Development Strategy 2011-2020 and the Socio-Economic Development Plan 2011-2015.
9. In December 2006, the One UN Communications Team was officially formed with the participation of staff from UNDP, UNFPA and UNICEF. Later, staff from UNAIDS and UNV joined the team. It sits together in one office, works from a joint work plan, and reports to a single, neutral manager. It is considered “a pilot within a pilot”. The One UN Communications Team led the development of a common communications plan/strategy,¹⁵² and the UN country team regularly discusses key advocacy messages to focus on during interactions with national and international partners.
10. A memorandum of understanding on One Leader, UN country team terms of reference and a code of conduct is seen as a major step towards improved management and accountability. A voluntary agreement among UN organizations, it offers a stronger framework for financial management and includes provisions for performance evaluation of UN country team members and the resident coordinator.

2. Overall Management of Delivering as One

11. UN reform in Viet Nam is a three-party undertaking involving the Government, the UN country team and the donor community. To implement One UN in a collaborative manner, a Tripartite National Task Force has been established under the leadership of the Government and within the context of the Hanoi Core Statement on Aid Effectiveness. The task force consists of representatives of the Ministry of Planning and Investment, the Ministry of Foreign Affairs, the Ministry of Finance, the Office of the Government, participating UN organizations and bilateral donors. It has been responsible for providing general oversight of all aspects of Delivering as One.
12. The resident coordinator office is responsible for support to the resident coordinator and the UN country team in the following areas:
 - Implementation of the global UN reform agenda;
 - One UN coordination for results, including support to One Plan 2012-2016 development;

¹⁵² Up to the end of 2011, the Management Board for the communications team was composed of participating heads of organizations and the head of the resident coordinator office. As of 1 January 2012, the Management Board was officially abolished. The communications team manager now reports to the resident coordinator and by extension to the UN country team.

- Resource mobilization via the One Plan Fund;
 - Results-based management;
 - Enhanced One UN policy capacity and aid effectiveness;
 - Liaisons with non-resident agencies and joint programmes;
 - Support to change management; and
 - Other support to the resident coordinator and UN country team as required.
13. Several programmes under the One Plan have substantive linkages with activities of other sources of external aid to Viet Nam. UN support played a catalytic role in enhanced overall coordination and partnerships between the UN system and different donors (e.g., the Global Fund to Fight AIDS, Tuberculosis and Malaria; the US President's Emergency Plan for AIDS Relief, USAID, the European Union, and in the context of South-South cooperation) as well as in several thematic areas, especially for topics deemed sensitive or innovative.

3. Funding modalities within the framework of Delivering as One

Common Budgetary Framework

14. The One Plan Funding Framework is used as a common budgetary framework; it provides a comprehensive resource estimation, including both regular and other resources required to implement the One Plan as reflected in the One Plan Results and Resources Framework. The One Plan Fund is part of other resources, and is a mechanism to mobilize and allocate donor funds for the non-core, unfunded part of the One Plan, and new initiatives responding to emerging needs within the context of the One Plan. The rationale behind introducing the One Plan Funding Framework is that it allows coordination of financial management of the One Plan at country level, the more effective and efficient use of resources, and reduced management cost.
15. The One Plan Funding Framework is a rolling budget updated on a quarterly basis by all organizations.

One Fund

16. The total value of the One Plan for 2006-2010 was US\$403 million, of which US\$308 million came from non-core resources. At the time of the approval of the UNDAF/One Plan, US\$302 million was already secured (about 75 per cent). By the end of 2010, an additional US\$72 million had been mobilized, so that actual resources were US\$380 million. The One Plan Fund contributed about 36 per cent or US\$85 million to non-core resources, within the One Plan 2006-2010. Expenditures from funds outside the One Plan were US\$4.8 million, negligible compared to the total expenditure of US\$345.8 million.
17. By the end of 2011, 13 donors¹⁵³ supported the One Plan Fund. Four of these donors also supported the Expanded Funding Window, which provided 44 per cent of the One Plan Fund, while the other nine donors contributed 37 per cent. The Expanded Funding Window covered the remaining balance of 19 per cent. It is treated as a donor to the One Plan Fund and therefore does not have its own projects/programmes. Its contributions are comingled with other donor funds.
18. The concept behind the One Plan Fund is to pool funds in order to mobilize and allocate new un-earmarked resources in support of the unfunded part of the One Plan, along with new initiatives in response to emerging needs within the context of the One Plan. The overall administration of the One Plan Fund is with the Multi-Partner Trust Fund Office of UNDP.
- Under the One Plan Phase II (2006-2011), the funding model focused on five outcomes or thematic areas, within which funds are transferred to organizations at the project level (there were 5 agencies under One Plan Phase I, 13 agencies under One Plan Phase II). The five outcome areas include: social and economic policies, social and protection services, environment, governance and disaster management.

¹⁵³ For details, see Table 1 in the statistical tables.

- Of the total resources¹⁵⁴ made available to the One Plan Fund Phase I and II from 2006-2011, about 73 per cent were used by Funds and Programmes, including 68 per cent by UNDP, UNICEF and UNFPA. The specialized agencies were only involved with the One Plan Fund II, and used the remainder. The five larger agencies (FAO, ILO, UNESCO, UNIDO and WHO) absorbed between 3-8 per cent each. Smaller agencies (UNODC and UNHABITAT) used about 4 per cent together.

4. Programming and funding mechanisms—governance and resource allocation

Governance of the One Fund mechanism

19. The following mechanisms have been set up to govern Delivering as One:

- The Tripartite National Task Force has been established under the leadership of the Government and within the context of the Ha Noi Core Statement on Aid Effectiveness. It consists of representatives of the Ministry of Planning and Investment, the Ministry of Foreign Affairs, the Ministry of Finance, the Office of the Government, participating UN organizations and bilateral donors. The task force provides general oversight of all aspects of Delivering as One.
- The One Plan Steering Committee, co-chaired by the Vice Minister of the Ministry of Planning and Investment and the UN resident coordinator, approves the guiding principles for fund allocation relating to the One Plan Fund, and provides guidance and recommendations on priority actions.
- The One Plan Fund Mobilization and Allocation Committee, chaired by the UN resident coordinator and consisting of the heads of participating UN organizations, is responsible for developing a joint resource mobilization strategy, for prioritizing the allocation of funds from the One Plan Fund, and for providing oversight of the management and operations of the One Plan Fund.
- The UN country team, involving heads of participating UN organizations, is responsible for programme implementation; heads of organizations are accountable to the resident coordinator for their organization delivering results under initiatives funded through the One Plan Fund.
- The UN resident coordinator leads and coordinates the overall management of the One Plan Fund in consultation with participating UN organizations. On behalf of the UN country team, the resident coordinator leads the resource mobilization process in a unified and simplified way, replacing previous organizational fundraising. This has resulted in a considerable reduction of overall transaction costs, both for organizations and donors contributing to the One Plan Fund, as they are no longer approached bilaterally by multiple entities seeking funding. The resident coordinator makes ultimate decisions on fund allocation, with a documented process and rationale for these decisions. Programme implementation is the responsibility of the heads of participating UN organizations.

Resource allocation criteria and fund performance

20. As the One Plan Fund is an innovative funding mechanism, its instruments and allocation processes were adjusted based on experience. Since inception, the fund's allocation modalities have been revised twice, in 2009 and 2011.
21. Under the current model,¹⁵⁵ a clear delineation of functions exists between the submission of funding requests, their review and rating, and final allocation decisions. There are three core criteria¹⁵⁶ with 19 more detailed indicators, including weighting of the three core criteria—eligibility (15 per cent), programme priority (25 per cent) and performance (60 per cent)—to address cross-cutting issues (e.g., gender equality, human rights, environmental sustainability and culturally appropriate programming). In 2011, a four-member Independent Review Panel assessed and scored all submissions.

¹⁵⁴ For details, please see Table 2 of the statistical tables.

¹⁵⁵ Following a recommendation from the country-led evaluation.

¹⁵⁶ Eligibility, e.g., the quality of programming and capacity of organizations to implement a proposed programme; programme priority, or the extent to which programmes support key national development priorities, are based on UN comparative advantages and mainstream cross-cutting issues; and performance, considering past performance in terms of results and financial delivery.

22. The criteria for Expanded Funding Window allocations are agreed by the Expanded Funding Window Steering Committee. The UN country team provided feedback and suggestions on possible indicators in 2011, but agreed indicators for 2011 and 2012 differed from initial proposals. They proved fairly cumbersome to report on due to a lack of standard definitions and data. Different levels of income in middle-income countries are not considered sufficiently reflected in the Expanded Funding Window allocation.
23. Only minor problems are observed in approval, fund allocation and transfer, once funds for the One Plan Fund and Expanded Funding Window are actually available. The main constraints reported relate to delays in fund transfers from donors (leading to subsequent delays in programme implementation) and the capacity constraints of national partners in complex development areas.
24. There have been no problems in the submission of progress and expenditure reports, but the fact that the certified annual financial statements on programme expenditures by organizations are only available by June means that the final One Plan annual reports can usually only be disseminated in June/July.

5. Highlights

Related to the One Programme, including joint programming

25. The focus in Viet Nam is on joint programming and coordination through the programme coordination groups. This approach allows for managing coordination through thematic programme coordination groups¹⁵⁷ rather than joint programmes, as has been the case in some of the other pilots.
26. The role of the six joint programmes in the One Plan Fund (Phase I and II) is therefore not significant, involving only 1 per cent of its overall disbursement. They absorbed about US\$42 million during that period, of which US\$3.2 million came under the One Plan Fund. Only the joint programme on basic social services in Kon Tum Province is partly funded from the One Plan Fund. Other joint programmes are funded through other channels, such as the MDG-F (three joint programmes), UN-REDD (1 joint programme) and avian influenza (1 joint programme), and involve a minimum of 3 and maximum of 11 UN organizations. The joint programme in Kon Tum Province is co-funded by UNICEF, UNDP and UNFPA.
27. Outside the joint programmes, agencies continued to manage the funds allocated to them through projects.¹⁵⁸

Related to the funding situation^{159, 160}

28. The following are some highlights of funding the One Plan in Viet Nam:
 - Only 1 per cent of total UN expenditure was not included in the UNDAF/One Plan during 2006-2010 and is thus negligible; the One Plan de facto covers the entire UNDAF.
 - The share of non-core funding in overall expenditure for development from 2006-2010 has been in the range of 67 per cent to 80 per cent. The peak in resource mobilization for non-core funding for the One Programme was achieved in 2010, which coincides with the increase in resource mobilization through the resident coordinator, which also peaked in 2010. Resource mobilization

¹⁵⁷ See also the section on business process harmonization.

¹⁵⁸ This is the reason the Multi-Donor Trust Fund Office GATEWAY reports a high number of projects, including 62 in relation to the One Plan Fund I and 95 in relation to the One Plan Fund II, and only six joint programmes.

¹⁵⁹ The data upon which this analysis relies have been provided by the resident coordinator office, which collected and consolidated the information from organizational country offices. Regular reporting on One Plan expenditures (as in the UN annual reports) provides a breakdown by the following three categories: regular (core) resources, One Plan Fund resources and other resources. Since regular reporting is not done by earmarking or execution modality, these data had to be collected separately. This explains the discrepancies between some of the figures. Some annual figures were estimates by some organizations that report on a biennial basis. In other cases (e.g., WHO), data for 2006 and 2007 were not available due to the transfer to a new financial system.

¹⁶⁰ For details, see Table 3 of the statistical tables.

through the One Plan Fund mechanism was effective as the resources available to the UN system for development activities mobilized through this channel increased significantly. The share of the One Plan Fund in non-core funding increased from 6 per cent in 2007 to 42-49 per cent from 2009-2011. Donors seem to have largely agreed to channel a substantial share of their resources to unearmarked funding through the One Plan Fund.

- The significant drop in non-core resource mobilization in 2011 is caused by the drop in resources mobilized through the resident coordinator from a peak of US\$28 million in 2010 down to US\$19 million in 2011. This is explained by the end of the funding cycle—2011 being a transition year whereby some of the programmes under the One Plan had ended, while others were extended until the end of 2011—and the shift to a new resource mobilization cycle (the next One Plan) starting in 2012.
- Resources through other channels, namely One Plan Fund resources mobilized through headquarters and the Expanded Funding Window, continued to increase slightly, while other non-core resources (MDG-F and others) remained relatively stable, in the range of US\$30-40 million per year. Their share in overall non-core resources declined, as other funding sources, such as local resource mobilization and the Expanded Funding Window, gained importance.
- Local donors continue to support the One Plan Fund model, but there is pressure for earmarked funding and a decline in support for unearmarked funding, mainly as a result of policy decisions and ODA budget cuts at various donor headquarters.

6. Business process harmonization

29. Savings in administrative costs have been made and are expected in the following areas:

- Joint procurement of specific common services has already led to certain cost savings, for example, through long-term agreements in banking, event management, translation and interpretation services, communication, security, transportation and travel services.
- A reduction of the UN vehicle pool is currently under study, with a reduction of 25-35 per cent of the vehicle fleet currently anticipated. Part of transport provision has been shifted to a local taxi company through a long-term agreement.
- Additional long-term agreements are currently being developed for several common services, such as procurement of paper, in-house printing services, external messenger services, etc..
- The co-location of the various agencies in eco-friendly common premises (the Green One UN House) is expected to result in significant savings in several areas:
 - Currently, organizations spend US\$780,000 on annual real estate leasing costs. Occupation of the Green One UN House is expected to result in net savings for the first 10 years.
 - In-house conference services will replace renting hotel space for meetings and conferences (expected cost reduction, 50 per cent).
 - Reduction of inter-office transportation will cut 24 per cent of road transportation costs.
 - One reception desk versus the current 10 will reduce costs on reception service staff.
 - Power consumption is expected to decrease by 20 per cent due to a solar panel rooftop and other energy-saving measures.
 - The expected reduction in the cost for security services for 1 building versus the current 10 will probably be offset by investments required for upgrades to comply with minimum security standards.

7. Use of national systems by UN organizations within the framework of Delivering as One

30. Alignment of UN agencies with Vietnamese national systems started before Delivering as One with the application of a number of government rules and procedures to funds executed by national counterparts, following the Hanoi Core Statement on Aid Effectiveness in 2005. As one example, UNDP introduced a NEX Manual for its supported projects, which was adapted and applied to UNFPA-funded projects. The UN system is working closely with the Government on the revision of Decree

131/2006/ND-CP (2011), which guides the design and implementation of UN-supported programmes and projects.

31. Delivering as One further initiated or accelerated harmonization in three distinct areas:
 - Harmonized Programme and Project Management Guidelines: The Government and UNDP, UNFPA and UNICEF developed these for the management and implementation of UN-supported programmes and projects as of July 2010. They are tailored to the business models of funds and programmes. The guidelines define accountability based on a two-track governance system. Government rules are applied when the Government implements project activities, and UN organization-specific rules are applied when a UN organization implements activities. The guidelines incorporate the UNDG's harmonized country programming guidelines, HACT guidelines and locally agreed guidelines on the preparation of the One Plan.
 - Government-UN system-European Union cost norms were agreed in 2009, ensuring a gradual alignment of donor and government cost norms to better reflect market conditions. They are a key element of HACT, and have been applied by all UN organizations since 2009.
 - UNDP, UNFPA and UNICEF have used HACT and implemented a joint HACT assurance plan since the 2009 joint HACT audit in Viet Nam. These three organizations together account for over 50 per cent of the One Plan budget. Other organizations use HACT partially or are planning to introduce it during 2012-2016. For example, WHO partially uses HACT in its direct financing cooperation, and FAO has started using it within the framework of UN-REDD. For the One Plan 2012-2016, the UN system will actively seek opportunities to expand, partly or fully, the engagement of other UN agencies to the extent possible.

8. Transaction costs for national partners, donors and the UN country team

32. Reduction of transaction costs has been one of the overall key objectives of Delivering as One. A number of processes relating to planning, programming, budgeting, reporting, funding, common services and management practices have been streamlined. HACT, the Harmonized Programme and Project Management Guidelines and the Government-UN system-European Union cost norms are all important supports.
33. The UN country team conducted stakeholder surveys of national agencies and donors in 2008, carried out a UN country-team-wide survey on Expanded Funding Window indicators and programme modalities in 2011, and mapped specific business processes. Proxy performance indicators on transaction costs will be developed in 2012 as part of a revised Delivering as One results and monitoring and evaluation matrix. However, the absence of an agreed UN-system-wide methodology including definitions constrains tracking transaction costs.
34. New modalities on the programme side resulted in reductions in workload and transaction costs:
 - The One Plan 2012-2016 has been designed to enhance the quality and effectiveness of aid, work towards simplifying and harmonizing business processes, and progressively align with government systems to the maximum extent possible. It includes a One Plan results matrix based on a results-based management approach to programming in order to avoid programmatic overlap, prior to engaging in the development of organization-specific country programmes.
 - UNDP, UNICEF and UNFPA use a common country programme document; country programme action plans are no longer prepared, as all outcomes and outputs are defined in the One Plan.
 - Funding and reporting processes related to the One Plan Fund will be streamlined. Fund allocation from the One Plan Fund to different UN organizations is centralized at the UN country team level through the One Plan Fund Mobilization and Allocation Committee. Reporting on One Plan development results and One Plan Fund expenditures is done by the UN resident coordinator office and the administrative agent (since 2011, the Multi-Partner Trust Fund Office), respectively.
 - As evident from the statistics, the resident coordinator leads the resource mobilization process—on behalf of the UN country team—in a unified and more simplified way. However, this does not completely replace previous organization-based fundraising, as they still had to mobilize 40-41

per cent of One Plan resources during 2009-2011. The One Plan Fund resulted in a reduction of overall transaction costs, both for organizations and donors, with the latter no longer approached bilaterally by multiple entities seeking funding. While the transaction costs of fund management are seen to have been significantly reduced, however, there has been an increase in workload for the resident coordinator and resident coordinator office relating to resource mobilization and support to the One Plan Fund Mobilization and Allocation Committee. The annual allocation of One Plan Fund resources and dependence on mobilizing donor funds complicates multi-year budget planning for certain projects and programmes.

- Since 2008, the programme coordination groups have been one of the unique and innovative features of Delivering as One in Viet Nam. They constitute the overall coordination structure in support of joint programming and harmonization between UN organizations. They are responsible for: coordination, joint planning and delivery of One Plan results; ensuring policy coherence and providing a policy forum for specific programmatic areas; and monitoring and reporting on achievements against planned results. Joint programme coordination group annual reviews have replaced all organization-specific annual reviews. They are the basis for the UN annual report, which highlights progress towards achieving One Plan outcomes, as well as how the UN is working together to Deliver as One with other key stakeholders in Viet Nam. Since 2007, the single UN annual report has been intended to replace organization-specific reports, but the executive boards of funds and programmes still require the latter, meaning there is double reporting. Where organizations receive funds from donors that are not contributing to the One Plan Fund, additional reports must be prepared. The same applies to annual reporting to donors that have earmarked funds to specific organizations.
- The UN country team reports that the new funding mechanism resulted in various transaction cost reductions, but that these gains were partially offset by the necessity of continued organization-specific reporting, as in the case of the funds and programmes.

35. A number of steps have been taken to reduce transaction costs.

- Programme coordination groups aim to increase coordination and reduce transaction costs. The annual reviews of these groups have replaced the previous organization-specific reviews. A single annual report is produced, based on the annual reports of the eight programme coordination groups.
- The Harmonized Programme and Project Management Guidelines have become a useful tool for daily work. They contribute to simpler business processes and lower transaction costs by establishing clear roles and responsibilities for those managing and implementing programmes and projects.
- New working modalities have been introduced: e.g., small task forces have reduced transaction costs compared to large multi-agency working groups.
- The One Plan Fund is seen as reducing the transaction costs for donors as well as for UN organizations.
- It is expected that the Green One UN House will reduce costs significantly—e.g., today 24 per cent of journeys by car are between separate UN offices.

36. With regard to attempts to increase efficiency:

- A comprehensive change management strategy and structure are in place.
- There have been several efforts to harmonize business practices linked to: the Harmonized Programme and Project Management Guidelines, HACT, the adoption of International Public Sector Accounting Standards, the Government-UN system-European Union cost norms, long-term agreements (banking services, travel agency, taxis, etc.), a mapping of common services, a fleet management survey, IT hardware and establishing a One UN Communications Team.
- Delivering as One also triggered some simplification and harmonization within the Government.
- However, it is difficult to demonstrate how much has actually been saved. The Green One UN House is expected to results in a net savings for the first 10 years, compared to the current an-

nual US\$780,000 in real estate leasing costs. Other expected savings have been outlined in paragraph 29 above. However, at this point, it is not yet clear how much these savings will be.

9. Cost of coordination¹⁶¹

37. The UN country team increased from 17 to 21 agencies between 2006 and 2011, of which 8 are funds or programmes (UNDP, UNFPA, UNAIDS, UNV, UNICEF, UNODC, UN-HABITAT since 2007 and UNIFEM/UN Women since 2007), 6 are specialized agencies (FAO, UNIDO, WHO, IFAD, ILO and UNESCO) and three are non-resident agencies (ITC, UNCTAD and UNEP¹⁶²). Other agencies that are not signatories of the One Plan II include IOM and UNHCR (since 2009). The IMF and World Bank are not part of the United Nations country team.
38. The staffing of the UN country team shows the following trends.
 - Funds and programmes (2006-2011): While the number of General Service staff positions remained essentially constant at around 100, the number of international professional staff positions increased from 30 to 36, or by 20 per cent, and the number of national professional staff rose from 69 to 92, or by 33 per cent. About half of these positions are counted under programme delivery.
 - Specialized agencies¹⁶³ (2008-2011): the number of international professionals increased by from 36 in 2008 to 43 in 2011, or by 19 per cent. National professional posts increased from 28 in 2008 to 35 in 2011, or by 25 per cent, while General Services positions remained stable at around 72.
39. The professional staffing of the resident coordinator office has grown from four positions¹⁶⁴ in 2006 to eight in 2011, which includes five international officers, two national professional officers and one General Service post. While the two national positions have been funded by DOCO and UNDP, and one international Special Assistant to the Resident Coordinator (SARC) position by Sweden, the remaining posts have been funded from the One UN Support Facility, including funds specifically mobilized from donors in Viet Nam. The number of General Service positions has remained unchanged at one, which is funded by DOCO.
40. The cost of operational support to programme work, i.e., of the resident coordinator office and the country offices of organizations, increased¹⁶⁵ during 2008-2011, including for international, national and General Service staff positions, and for non-staff allocations:¹⁶⁶
 - The costs of the offices of funds and programmes increased from US\$3.8 million in 2008 to US\$4.6 million in 2011.
 - The costs of the offices of specialized agencies increased from US\$7.5 million in 2008 to US\$8.9 million in 2011.
 - The costs of the resident coordinator office increased from an estimated US\$638,203 in 2008 to US\$868,394 in 2011. The post of head of the office (senior advisor, UN reform) was seconded and funded during 2006-2008 by the Netherlands Ministry of Foreign Affairs.
41. Part of the increase in the numbers and cost of international staff can be explained by the increased use of policy advisers in several areas. As Viet Nam achieved middle-income country status, demand for policy advisers has increased.

¹⁶¹ For details, see Table 4 at the end of the information sheet.

¹⁶² ITC and UNCTAD are not signatories to the One Plan II, but partner with UNIDO to implement some activities under it. In 2010, UNEP and ITC joined the UN country team.

¹⁶³ Comparison is limited to 2008-2011 due to a lack of data from WHO prior to 2008; this related to a transfer to a new financial system.

¹⁶⁴ Of which one is an international officer.

¹⁶⁵ One of the reasons for the increase in expenditure on national professional and General Service staff between 2006-2011—over and above the changes in staff numbers—has been a significant increase in salary levels, following the recommendations of respective salary surveys.

¹⁶⁶ In the absence of data for WHO prior to 2008, 2008-2011 is used as a reference period.

42. Taking into account the above figures for programme delivery, and using only the period 2008-2011 as a reference framework, the following emerges:
- Overall UN programme expenditure increased by 28 per cent, which corresponds to the increase in expenditure for the One Programme, considering that non-One Programme activities were negligible. Expenditure from core funding increased by 30 per cent, compared to those from non-core funding, which rose 26 per cent.
 - The staffing of UN offices increased as well, but very differently across types of organizations. The staffing of offices of funds and programmes remained nearly stable, rising just 4 per cent, while their costs increased by about 20 per cent. Staffing of the offices of specialized agencies increased by 9 per cent, and their costs increased by about 19 per cent. The staffing of the resident coordinator office increased by 14 per cent (from 7 to 8), and its costs increased by 36 per cent.
43. Overall UN expenditure for development increased by 28 per cent, and the capacities and related costs across all UN offices increased by about 19-20 per cent. However, the cost of coordination only takes into account actually incurred expenditure, and may not take into account additional staff time in terms of overtime work that does not always show as expenditure. The actual cost for supporting the UN programme may thus be higher than is visible from recorded expenditure.
44. Even though these findings are based on estimated responses submitted from the UN country offices, they are indicative of orders of magnitude. The substantial growth of the cost of human resources may be explained partially by the increase in salaries for national professional officers and General Service staff. However, the fact that staffing in the resident coordinator office doubled between 2006 and 2011 is evidence of increased workload related to coordination, which may have been justified for setting up new processes and tools. But the question must be raised as to whether such levels are justified and sustainable in the long run. The additional question, which cannot yet be answered, is whether the increase in cost is resulting in a proportional increase in development effectiveness.

Statistical tables relating to the funding situation

Table 1: Deposits by donors to the One Fund in US\$ (millions), 2006-2011¹⁶⁷

Contributor/partner	Deposits	Share, %
Australia	3.7	4
Canada	3.6	4
Expanded Funding Window	18.1	19
Finland	5.2	5
France	1.0	1
Ireland	6.7	7
Luxembourg	6.2	7
Netherlands	6.6	7
New Zealand	5.1	5
Norway	11.7	12
Spain	12.1	13
Sweden	1.3	1
Switzerland	2.3	2
United Kingdom	11.9	13
Total deposits	95.5	100

¹⁶⁷ Source: Multi-Partner Trust Fund Office GATEWAY. Countries in bold also supported the Expanded Funding Window.

Table 2: Transfer of funds from the One Fund to UN organizations in US\$ (millions), end 2011¹⁶⁸

Organization	Transfers at end 2011			Share of total transfers at end 2011, %
	One Plan Fund I	One Plan Fund II	Total One Plan Funds	
UNDP	11	14	25	26
UNICEF	13	18	31	33
UNV	1	1	2	2
UNFPA	5	4	9	9
UNAIDS	1	1	2	2
UN Women	0	1	1	1
Funds and programmes	31	39	70	74
FAO		3	3	3
ILO		4	4	4
UNESCO		3	3	3
UNIDO		3	3	3
WHO		8	8	8
Specialized agencies	-	21	21	22
UN-HABITAT		1	1	1
UNODC		3	3	3
Total other organizations		4	4	4
Total funding One Plan Fund	31	64	95	100

¹⁶⁸ Source: Multi-Partner Trust Fund Office GATEWAY. Figures on transfers reflect the situation at the end of 2011. Transfers do not reflect the current expenditure situation, which was available in May 2012 and can be accessed at the Multi-Partner Trust Fund Office GATEWAY.

Table 3: Source of funding of UN development expenditure¹⁶⁹

	Values in US\$ (millions)					
	2006	2007	2008	2009	2010	2011 ^a
Total annual UN programme expenditures (annual reports) ^b	56.9	58.0	72.2	78.6	95.2	n.a.
Total estimated annual UN expenditures for development in Viet Nam by programme and funding source ^c	47.8	49.4	73.3	76.3	99.1	93.8
Non-One Programme	0.6	0.7	0.8	1.6	1.1	1.8
Core funding	0.1	0.1	0.2	0.2	0.4	0.4
Non-core funding of non-One Programme activities	0.5	0.6	0.6	1.4	0.7	1.4
One Programme	47.1	48.7	72.5	74.7	98.0	92.1
Core funding	14.2	16.1	17.7	18.9	19.6	23.1
Non-core funding	32.9	32.6	54.8	55.8	78.4	69.0
Share of non-core funding in annual expenditure for development, %	70	67	76	75	80	75
Share of non-core funding in One Programme, %	70	67	76	75	80	75
Types of non-core funding in One Programme	32.9	32.6	54.8	55.8	78.4	69.0
One Plan Fund mobilized through headquarters	1.9	2.0	6.0	5.4	6.1	6.8
One Plan Fund mobilized through resident coordinator	0.0	0.0	9.5	16.2	28.4	18.5

¹⁶⁹ The consolidated data reflect the data submitted by all UN organizations. Organization-specific data were made available to the Delivering as One independent evaluation. However, some organizations were not in a position to complete all the information due to the unavailability of detailed data. In some cases, more detailed information is inconsistent due to varying interpretations of data headings. The resident coordinator office considers the breakdown by funding source more reliable than the breakdown by execution modality and by earmarking, which can only be used as indicative but are sufficient for analysis by order of magnitude.

a. Source: Information provided by the resident coordinator offices.

	Values in US\$ (millions)					
	2006	2007	2008	2009	2010	2011 ^a
One Plan Fund supported by Expanded Funding Window	0.0	0.0	2.5	2.6	4.0	4.0
Other (non-core) resources (MDG-F and other sources)	31.0	30.5	36.9	31.6	39.9	39.7
Share of One Fund in non-core funding, %	6	6	32	42	49	42
Total annual UN expenditure for development in Viet Nam by execution modality, of which	45.7	46.9	61.0	63.9	81.5	78.9
Non-One Programme	5.9	6.8	4.8	7.0	7.0	7.9
Execution not through joint programme	5.9	6.8	4.8	7.0	7.0	7.8
Execution through joint programmes outside One Plan Fund (= MDG-F)	0.0	0.0	0.0	0.0	0.0	0.0
One Programme	39.8	40.2	56.3	57.0	74.5	71.0
Execution through joint programmes within One Plan Fund ^d	0.0	0.2	0.5	0.5	1.1	1.0
Other execution modalities if any	39.8	40.3	55.8	56.4	73.4	70.0
Share of joint programmes in One Plan Fund, % ^e	0	10	3	2	3	3

^{a.} Amounts are still estimates since final 2011 end-of-year figures were not available at the time this information sheet was prepared.
^{b.} Source: UN Viet Nam annual reports.
^{c.} Source: Reports from UN country offices. Note that the indicative total expenditure figure for 2011 is an estimate.
^{d.} Financial figures have been included in the table as reported by organizations. Data related to the joint programmes funded by the MDG-F have been reported in different rows by organizations (e.g., IOM) that are not signatories of the 2006-2011 One Plan and those that are signatories.
^{e.} The remainder of the One Plan Fund is managed and coordinated through UN organizations.

Table 4: Source of funding of UN development expenditure and staffing, and cost of supporting the One Programme¹⁷⁰

	In US\$ (millions)			Change, % 2008-2011
	2006	2008	2011 ^b	
Total annual UN programme expenditures (annual report) ^a	56.9	72.2	n.a.	-

¹⁷⁰ The consolidated data reflect data submitted by all UN organizations. Organization-specific data were made available to the Delivering as One independent evaluation. In certain cases, organizations complete all information due to the unavailability of detailed data. In some cases, more detailed information appears inconsistent due to different interpretations of data headings.

	In US\$ (millions)			Change, % 2008-2011
	2006	2008	2011 ^b	
Total estimated annual UN expenditures for development by programme and funding source ^c	47.8	73.3	93.8	28
Non-One Programme	0.6	0.8	1.8	123
One Programme	47.1	72.5	92.1	27
Core funding	14.2	17.7	23.1	30
Non-core funding	32.9	54.8	69.0	26
Of which				
One Plan Fund mobilized through headquarters	1.9	6.0	6.8	13
One Plan Fund mobilized through resident coordinator	0.0	9.5	18.9	95
One Plan Fund supported by Expanded Funding Window	0.0	2.5	4.0	60
Other (non-core) resources (MDG-F and other sources)	31.0	36.5	39.7	8
Support to programme (cost of resident offices) ^d	Number of staff			
Human resources of resident coordinator office	4	7	8	14
Human resources of country offices of funds and programmes	196	220	229	4
Human resources of country offices of specialized agencies	n.a.	138	151	9
	In US\$ (thousands)			
Estimated cost of resident coordinator office	303	638	868	36
Estimated cost of country offices of funds and programmes	2,607	3,804	4,571	20
Estimated cost of country offices of specialized agencies	n.a.	7,481	8,902	19

a. Amounts are still estimates, since 2011 final end-of-year figures were not available when this information sheet was prepared.

b. Source: UN Viet Nam annual reports.

c. Source: Reports from UN country offices. Note that the indicative total expenditure figure for 2011 is considered an estimate.

d. In the absence of data for WHO prior to 2008, 2008-2011 is used as a reference period.

ANNEX VIII: GOVERNANCE OF RESOURCE ALLOCATION AND PROGRAMME MANAGEMENT

Country ^a	Joint oversight mechanisms			Programme coordination	UN organizations and resident coordinator
Albania	<p>The Government Modernization Committee</p> <ul style="list-style-type: none"> Chaired by the Minister of Innovation and Information and Communication Technology; involves all relevant line ministers. Government's highest-level policy, coordination and decision-making authority for the One UN Programme. Determines strategic priorities. Monitors progress on an annual basis. <p>Ensures coordination of the One UN Programme with other inter-ministerial and cross-sectoral policies and priorities.</p>	<p>The UN Joint Executive Committee</p> <ul style="list-style-type: none"> Co-chaired by the Director of the Department of Strategy and Donor Coordination of the Council of Ministers and the UN resident coordinator. Consists of the heads of participating UN organizations; endorses programme annual work plans. Reviews and approves funding priorities. Prioritizes and approves the allocation of resources mobilized through the One UN Coherence Fund. Oversees the fund's management and operations. <p>If the committee does not reach agreement on the allocation of One UN Fund resources, the matter is referred to the resident coordinator for an ultimate decision.</p>	<p>Government inter-ministerial working groups</p> <p>Consist of line ministries at the secretary-general level. Support the Government Modernization Committee and the UN Joint Executive Committee with technical advice on subjects falling within the scope of a given programme.</p>	<p>Programme working groups</p> <p>are responsible for supporting the implementation and the achievements of results of the One Programme.</p> <ul style="list-style-type: none"> Five groups each contribute to the One UN annual work plan. One lead organization for each of the five pillars of the One Programme. Monitor the overall implementation of a given pillar and report back to the UN resident coordinator/country team on progress. Report to the UN Joint Executive Committee on a regular basis through their chairs. Coordinate between each other and with cross-cutting working groups (gender and HIV/AIDS), as well as with national sector working groups to provide optimal support within the programme, and to avoid duplication of efforts by other international partners. 	<p>The UN country team, chaired by the resident coordinator, functions in a collegial and participatory manner. It engages in dialogue on reform and development priorities for Albania. The team has designated substantive leadership to organizations for each of the One UN Programme outcome and thematic areas.</p> <p>The resident coordinator provides strategic leadership and coordination throughout the programming process as the One UN Leader and as a member of the UN Joint Executive Committee, and jointly with the Government.</p>

Country ^a	Joint oversight mechanisms		Programme coordination	UN organizations and resident coordinator
Cape Verde	<p>The One UN Steering Committee is the most senior oversight level, comprising representatives from UN organizations; central, line and municipal government ministries; and civil society. Its aim is to provide the UN system in Cape Verde with a strategic reference to support national development priorities and the MDGs.</p>	<p>The Programme Management Team is composed of the UN organizational leaders of the teams responsible for thematic axes, where the UN system and national partners work side by side. The team promotes synergies between the different axes of the UNDAF, focusing on coherence as well as quality assurance in the planning of the work and the submission of progress reports for every work group before final submission to the UN country team.</p> <p>The Programme Management Team takes care of programming for joint activities of the UN system and the Government. This team provides guidelines and suggestions for planning and report submission, on the basis of suggestions from the resident coordinator office. Suggestions or recommendations to the UN country team are also made on the highlighted themes, either for information or action.</p>	<p>Pillar leaders in charge of working groups for each thematic axis come from one lead and one co-lead organization. The groups assume the responsibility for supporting the coordination of all participating organizations and national partners so that they may attain results defined for each pillar. They guarantee internal coordination and the transmission of progress reports on thematic axes, promote joint programming, coordinate involvement with relevant government counterparts, prepare work plans and transmit progress reports to the Programme Management Team. Relevant institutions participate in all work sessions and provide updates to the pillar leaders.</p>	<p>The UN country team involves all resident and non-resident UN organizations. It supervises the development and implementation of the UNDAF/One Programme, and examines different questions affecting or potentially having an impact on the execution of UN operations and activities in the country. Strategic and programmatic decisions are taken collectively, and afterwards accepted by the resident coordinator office and the Programme Management Group, through its leaders of the thematic axes in the UNDAF, and/or by the working groups or individual organizations.</p> <p>As leader of the UN country team and co-chair of the One UN Steering Committee, the resident coordinator provides strategic leadership and coordination in all aspects of the UN reform at the country level.</p> <p>The Resident Coordinator has a leadership function in mobilizing resources for the One UN Transition Fund, and is responsible for leading management in collaboration and consultation with participating UN organizations. In these functions, the resident coordinator is supported by the resident coordinator office.</p>

Country ^a	Joint oversight mechanisms			Programme coordination	UN organizations and resident coordinator
Mozambique	<p>One UN Steering Committee composed of five representatives from the Government and five from the UN country team.</p> <ul style="list-style-type: none"> Co-chaired by the Minister of Foreign Affairs and Cooperation and the UN resident coordinator. Oversees the pilot process. Takes strategic decisions to facilitate its progress. Approves allocation of One Fund resources. 	<p>Tripartite Consultative Group composed of representatives from the Government, the UN system and donors.</p> <ul style="list-style-type: none"> Supported and provided objective views on Delivering as One. Assisted/guided the UN system's transformation at the country level. Provided policy advice, comments and technical recommendations for programmes and monitoring and evaluation; was active in resource mobilization; supported implementation of the communication plan. <p>Members have been integrated in the One UN Steering Committee</p>	<p>Civil Society Advisory Committee: established to promote dialogue and engagement, and influence issues that contribute to the national development agenda.</p> <ul style="list-style-type: none"> Strengthens and supports the ability of the UN system to implement the UNDAF and UN reform, with a focus on the role of civil society in the development process. Contributes to policy development and thinking, not only with regard to policies directly affecting and involving civil society, but on broad development policies. Provides strategic guidance on policies and programmes to reach UNDAF results and improve development effectiveness. Revises and oversees the preparation and implementation of UNDAF interventions to empower civil society. Proposes stakeholder dialogues and engagement on issues that contribute to the national development agenda. Recommends areas of potential UN system/civil society partnership within the UNDAF. 	<p>Programme Management Team made up of deputy programme officers to manage the development and implementation of the UNDAF, including the One Programme.</p> <ul style="list-style-type: none"> Team provided technical and advisory support to the UN country team on inter-agency programmatic issues. Through the pillar leads supported the development, operationalization and review of UNDAFs, including the One Programme. Steered coordination of UN organizations in their provision of technical and financial assistance to programmes. <p>In the new UNDAF One Programme (2012-2015), the team was abolished. Development results groups aligned to each UNDAF focus area were created as the new inter-agency programme coordination entities.</p> <p>The groups are led by heads of organizations. They coordinate UNDAF planning, monitoring and evaluation, and reporting in each of the three focus areas.</p> <p>Joint teams on HIV/AIDS and gender equality were created as part of the new management structure to ensure mainstreaming of the issues throughout UNDAF outputs, and to coordinate advocacy work.</p>	<p>The UN country team provides strategic leadership of the One UN Fund on the basis of the joint programmes in the One Programme chapter of the UN Operational Plan, and makes decisions on fund allocation based on agreed criteria and a documented process that outlines the rationale for each decision.</p> <p>Representatives of UN organizations are responsible for implementing joint programmes. They are held accountable by the resident coordinator for the utilization of One Fund resources allocated to their organization, implementation of components of the joint work plan supported by their organization, and achievement of results under the components.</p> <p>The UN resident coordinator is responsible for the overall management and coordination of the One UN Fund in consultation with the UN country team. This includes providing strategic leadership in the use of One UN Fund resources; deciding, in consultation with the UN country team, on the allocation of funds from the One Fund, based on agreed criteria; and leading resource mobilization for the One UN Fund in collaboration with participating UN organizations.</p>

Country ^a	Joint oversight mechanisms			Programme coordination	UN organizations and resident coordinator
Pakistan	<p>High-Level Committee Members: key line agencies, key donors, the resident coordinator, 10 UN country team members who chair thematic working groups. Meeting: quarterly. Tasks: oversees the UN reform process in Pakistan.</p>	<p>Finance Sub-Committee of the High-Level Committee Members: includes the resident coordinator and one donor representing the donor community; chaired by the Secretary of the Economic Affairs Division. Meeting: quarterly. <ul style="list-style-type: none"> Decides on the allocation of unearmarked contributions at the One Programme level to one or more joint programmes. Endorses allocations to the different joint programme components. </p>	<p>Joint programme steering committees Accountable to the High-Level Committee <ul style="list-style-type: none"> Oversee and provide strategic guidance for the implementation of the joint programmes. Decide on the management of each of the five thematic/sectoral areas of the One Programme. Approve prioritization of outcomes/outputs at the joint programme level. Recommend the allocation of funds for each joint programme component to the High-Level Committee Finance Sub-Committee. </p>	<p>Joint programme steering committee task forces Consist of national implementation partners and participating UN organizations; chaired by a UN organization. <ul style="list-style-type: none"> Recommend resource allocations to participating UN organizations within the joint programme components. Submit recommendations for approval to the joint programme steering committee component allocations sub-committees. Monitor the implementation of joint programmes. Promote synergies and collective accountability. </p>	<p>The UN country team discusses and makes decisions regarding all aspects of piloting UN reform. The resident coordinator chairs the UN country team. The overall management of the One Fund is led and coordinated by the resident coordinator who provides strategic orientation, mobilizes resources, and promotes synergies between joint programmes and joint programme components.</p>

- b. The new Agency for International Cooperation is expected to take on the co-presidency role as the Government's leading organization for administering international cooperation.

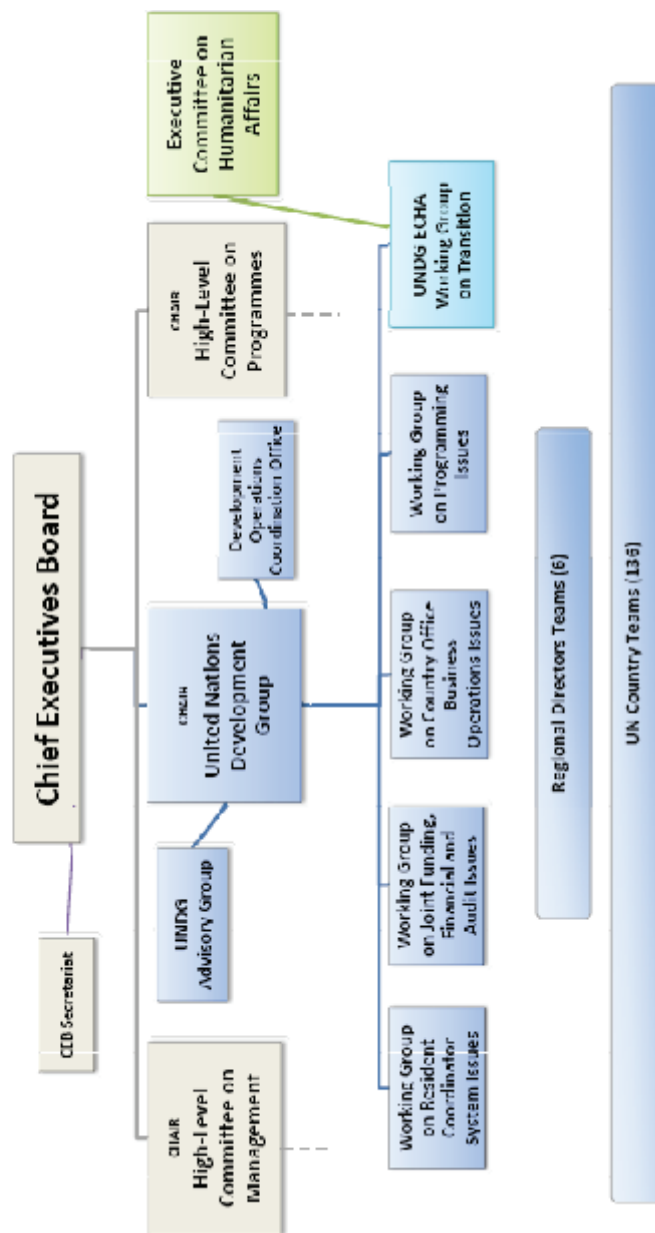
Country ^a	Joint oversight mechanisms			Programme coordination	UN co
Rwanda	<p>The One UN Steering Committee</p> <p>Composed of four members of the Government, the UN resident coordinator, four members of the UN country team and three donors.</p> <ul style="list-style-type: none"> ▪ Chaired by the Minister of Finance and Economic Planning ▪ Guides and decides on the overall strategic orientation of Delivering as One . ▪ Administrative agent participates as an observer. 	<p>The Programme Planning and Oversight Committee in 2009 replaced a previous Program Advisory Team to provide advisory services on Delivering as One programming activities under the UN country team.</p> <p>Composed of the deputy representatives or those in charge of programme functions in the UN organizations, the senior policy adviser of the resident coordinator office, the policy advisers of the theme groups, and task force coordinators.</p> <ul style="list-style-type: none"> ▪ Coordinates and oversees the implementation of the One Programme by bringing together all relevant groups, including the resident coordinator office. ▪ Ensures more harmonized and qualitative planning and use of resources across the thematic areas. <p>The Programme Planning and Oversight Committee resulted in marked improvements in the quality and timely preparation of the consolidated action plans for 2010 as well as the quality of reporting for 2009. Viewed as a breakthrough in Delivering as One in Rwanda.</p>	<p>Each UNDAF outcome area is supported and overseen by an UNDAF theme group consisting of participating UN organizations. Each theme group is co-chaired by two agencies.</p> <ul style="list-style-type: none"> ▪ Responsible for preparing work plans that are the basis for One Fund allocation and monitoring of progress, and are prepared according to criteria and the process listed in the common operational document. Agencies extract their work plans from these joint work plans. ▪ Supported by policy advisers recruited by UN organizations based on their area of expertise. ▪ Rwanda's common operational document does not outline joint programmes as such; they have been developed on an annual basis and revised for following years, if needed. 	<p>The UN country team's Allocation Committee is composed of heads of participating UN organizations.</p> <p>Formulates a joint resource mobilization strategy.</p> <p>Approves prioritization of the allocation of funds from the One UN Fund.</p> <p>Oversees the management and operations of the One UN Fund, and its allocation decisions under the leadership of the resident coordinator.</p> <p>Decisions of the UN country team are made by consensus.</p>	<p>Th</p> <ul style="list-style-type: none"> ▪ ▪ ▪ ▪ ▪ ▪ ▪ <p>Th</p> <p>off</p> <p>co</p> <p>co</p> <p>rel</p> <p>an</p> <p>Bu</p> <p>Fu</p> <p>Or</p> <p>Or</p> <p>is</p> <p>an</p> <p>ma</p> <p>an</p> <p>pa</p> <p>In</p> <p>co</p> <p>res</p>

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Country ^a	Joint oversight mechanisms			Programme coordination	UN organizations and resident coordinator
Viet Nam	<p>Tripartite National Task Force</p> <ul style="list-style-type: none"> Consists of representatives of the Ministry of Planning and Investment, the Ministry of Foreign Affairs, the Ministry of Finance, the Office of the Government, participating UN organizations and bilateral donors. Established under the leadership of the Government within the context of the Ha Noi Core Statement on Aid Effectiveness. Responsible for general oversight of all aspects of Delivering as One. 	<p>The One Plan Steering Committee is co-chaired by the Vice Minister of the Ministry of Planning and Investment and the UN resident coordinator.</p> <ul style="list-style-type: none"> Approves the guiding principles for fund allocations under the One Plan Fund. Provides guidance and recommendations on priority actions. 	<p>The One Plan Fund Mobilization and Allocation Committee is chaired by the UN resident coordinator and consists of heads of UN organizations.</p> <ul style="list-style-type: none"> Develops a joint resource mobilization strategy. Prioritizes the allocation of funds from the One Plan Fund. Oversees management and operations of the One Plan Fund. 	<p>The programme coordination groups were established in 2008 to support the coordination, harmonization and effective delivery of One Plan development results. They constitute the overall coordination structure for joint programming and harmonization across UN organizations.</p> <ul style="list-style-type: none"> Coordinate timely, efficient and effective joint planning and delivery of a distinct set of One Plan results. Ensure policy coherence and provide a policy forum for distinct programmatic areas. Monitor and report on achievements against planned results. <p>Since 2008, the joint programme coordination group annual reviews have replaced organization-specific annual reviews, reducing transaction costs for UN staff, national partners and donors. The groups' annual reports provide the basis for the single UN Viet Nam annual report.</p>	<p>UN country team, comprising heads of UN organizations.</p> <ul style="list-style-type: none"> Responsible for programme implementation; accountable to the resident coordinator for organizational results under initiatives funded through the One Plan Fund. <p>The UN resident coordinator</p> <ul style="list-style-type: none"> Leads and coordinates the overall management of the Viet Nam One Plan Fund in consultation with participating UN organizations. On behalf of the UN country team, leads the resource mobilization process in a unified and more simplified way, replacing the previous organization-based fundraising. Makes ultimate decisions on One Plan Fund allocations.

Table 1:

United Nations Development Group structure within the Chief Executives Board (CEB)



Source: www.CEB.org.

Table 2: Summary of findings from the 2010 country-led evaluations of Delivering as One and assessments of their robustness

Evaluation criteria	Evaluation sub-criteria	Albania		Cape Verde		Mozambique		Rwanda		United Republic of Tanzania		Uruguay		Viet Nam	
		Finding	Robustness	Finding	Robustness	Finding	Robustness	Finding	Robustness	Finding	Robustness	Finding	Robustness	Finding	Robustness
Contribution of Delivering as One to the relevance of UN development work	Responsiveness to country needs and priorities	1	A	1	A	1	A	1	A	1	A	1	A	1	A
	Enhanced relevance and coherence of the UN development system	1	A	2	B	1	B	2	C	2	B	1	A	1	A
Contribution of Delivering as One to development effectiveness	National ownership and leadership	1	A	1	A	1	B	1	A	1	A	1	B	1	A
	Capacity-building	1	B	2	B	2	B	?	C	1	C	2	C	?	C
	Development results, including cross-cutting issues (gender equality, human rights)	1	B	?	C	?	C	?	C	?	C	?	C	?	C
Contribution of Delivering as One to the efficiency of the UN development system	Reduction of transaction cost	2	B	?	C	2	C	?	C	2	C	2	C	2	C
	Reduction of cost and overheads	2	B	1	B	2	C	?	C	2	C	?	C	2	C
	New business practices	2	B	1	B	1	A	2	B	2	B	1	B	2	B
	Simplification and harmonization of rules, regulations and procedures	2	B	2	B	3	B	2	B	2	B	2	B	2	B
	Additional, more predictable and more flexible funding mechanisms	2	B	1	B	1	B	3	B	1	B	1	B	1	B
Sustainability of the Delivering as One approach	--	3	B	2	B	3	B	1	C	2	B	2	B	1	B

Key:

Findings:

Assessment of robustness of findings by the evaluation team based on evidence provided in the country-led evaluations:

1 = positive
A = robust

2 = mixed
B = not fully robust

3 = critical
C = not robust

? = no clear

Source: Country-led evaluation reports from 2010, “Inception Report of the Independent Evaluation of Lessons Learned from DaO”, September 2011.

* No country-led evaluation was conducted for Pakistan. Instead, the evaluation team reviewed the “Scoping Mission to Pakistan” report (UN-DESA, 2011), the “Stocktaking Report of DaO” (United Nations, 2010), and the “UNEG Evaluability Study of the Pilot Initiative for Delivering as One” (2008). This review is not reflected in Table A.6.1.

Table 3: Overview from the country-led evaluations on the difficulties in assessing development effectiveness

Pilot countries	Difficulties in assessing effectiveness	Source
Albania	The country-led evaluation states that the assessments of effectiveness are based on a consideration of interim results. It suggests that a more complete and objective assessment of effectiveness can only be undertaken after a substantial level of completion of programme activities, which is not likely before the end of 2011.	“Country-led Evaluation of Delivering as One—UN Pilot Initiative in Albania”, 2010.
Cape Verde	Overall, the country-led evaluation focuses more on the effectiveness of the individual “pillars”, rather than on Delivering as One’s overall contribution to development effectiveness. It deems it too early to assess this broader issue. It also notes shortcomings in the results monitoring framework and system at country level, which limits the assessment of the effectiveness of Delivering as One.	“Country-led Evaluation of Delivering as One—UN Pilot Initiative in Cape Verde”, 2010.
Mozambique	The country-led evaluation highlights that it is occurring roughly three years after the launch of Delivering as One, and that it is premature to evaluate results in terms of programme goals.	“Country-led Evaluation of Delivering as One—UN Pilot Initiative in Mozambique”, 2010.
Pakistan	No country-led evaluation was conducted.	
Rwanda	The country-led evaluation makes it clear that it was difficult to review progress at the outcome level (contribution to development results). Similarly, with regard to capacity building and cross-cutting issues, it contains little evidence of results achieved. The evaluation reported substantial difficulties in data gathering, because only two years had elapsed since the first programming year for Delivering as One, and it took place prior to a scheduled UNDAF mid-term review. (The review was never conducted.)	“Country-led Evaluation of Delivering as One—UN Pilot Initiative in Rwanda”, 2010.
United Republic of Tanzania	The country-led evaluation assesses each of the five pillars against “effectiveness”. However, this is understood as operational effectiveness, not development effectiveness. The evidence on capacity development, and the contribution of the UN system to development results and cross-cutting issues is limited, in particular with regard to outcome evidence.	Country-led Evaluation of Delivering as One—UN Pilot Initiative in Tanzania, 2010.
Uruguay	The evaluation period is restricted to only one programmatic cycle (2007–2010), which does not provide a proper assessment of the achieved effects. The country-led evaluation refers to the absence of a reliable results-monitoring framework and any system to measure the work of the UN system in the context of Delivering as One, or to assess the UN’s contributions to the development outcomes stated in the One Programme.	“Country-led Evaluation of Delivering as One—UN Pilot Initiative in Uruguay”, 2010.

Pilot countries	Difficulties in assessing effectiveness	Source
Viet Nam	<p>The country-led evaluation states that there are limitations to evaluating progress. The period of time since the One UN initiative started is very short; performance reports are limited in scope and coverage, and deal primarily with activities and outputs, rather than outcomes; and the scope of reform is very complex, without a clear intervention logic that explains how changes to institutional arrangements and ways of working lead to improved development effectiveness. The evaluation stresses that it would be very difficult to identify the contribution of the UN system as a whole to Viet Nam's development during this time period; to attribute improved effectiveness to the One UN initiative is even harder. It notes that there are many weak performance statements, such as processes being described as "enhanced" with no baseline or quantification against which the extent of achievement could be judged.</p>	"Country-led Evaluation of Delivering as One—UN Pilot Initiative in Viet Nam", 2010.

Table 4: Examples from 2010 annual reports on the added value of Delivering as One for development results

Pilot countries	Excerpts on added value	Source
Albania	"Among other benefits, common advocacy on key policy areas of gender equality and social inclusion has yielded results that individual agencies would not have been able to achieve alone."	"2010 O Report",
Cape Verde	No concrete examples.	"One UN Report",
Mozambique	"Initially only covering improved agricultural production techniques—such as cultivation methods, type of seeds, compost making, pest control, preservation, storage and protection against animals—the programme now addresses agro-processing, literacy, gender equality, HIV and the prevention of violence against women. This broadened approach results from the participation of various United Nations agencies in the programme."	"UN in 2 Mozamb
Pakistan	"Some of the key gender equality results contributed to by this joint initiative include: Ensuring all JPs are vetted by the Cross Cutting Issues Working Group and Inter-Agency Thematic Group on Gender, so that the entire One UN pilot is anchored in the core principles of a Rights Based Approach leading to integration of the four (cross-cutting issues) at every stage of delivery."	"One UN Report",
Rwanda	No concrete examples.	"Deliveri 2010", U
United Republic of Tanzania	<p>"JP4 (joint programme) has provided an effective technical platform for promoting DaO by identifying and exploiting synergies among PUNs33 in the formulation and implementation of activities. This is evidenced in a number of results including: the successful production of MDG reports and roll-out of PER (public expenditure review) in the districts, made possible through collaboration of UNDP and UNICEF in support of PMORALG34; advancing gender equality, with collaboration between UNIFEM and UNFPA in support of the MCDGC35; preparatory work for the 2012 population census, resulting from collaboration between UNDP and UNFPA....</p> <p>"Joint planning under JP11 has been useful to avoid overlaps across agencies and address gaps related to environmental interventions. There is a strong feeling that JP11 is a good platform for strengthening linkages and synergies as well as knowledge and information sharing among environment stakeholders. This can therefore be capitalized to provide a mechanism for realising emerging international funding opportunities for climate change."</p>	"Deliveri Annual R Republic
Uruguay	<p>"The inclusion of civil society organizations (CSOs) has been identified as key element of cooperation for development, and the UN (system) in Uruguay has made several efforts to strengthen and include it into the implementation of how cooperation for development is delivered especially in a so-called (middle-income country). This joint programme implemented by UNDP, UNESCO and UNFPA aimed at strengthening and developing capacities amongst CSOs at an institutional level....</p> <p>"Synergies were generated between ... components. CSOs met in regional workshops to discuss the characteristics of local organizations, to develop a diagnosis of their weaknesses and strengths collectively, and to generate a common action plan to be implemented throughout the joint programme's activities. The resulting action plan aimed at improving capacities to evaluate policies, autonomy and impact of the actions performed by the CSOs. In addition, the workshops reached a wider range of organizations and individuals than was originally foreseen including many grassroots level organizations."</p>	"Consoli on Activi Uruguay Uruguay

Pilot countries	Excerpts on added value	Source
Viet Nam	<p>"As a result of joint UN advocacy efforts, (the Ministry of Education and Training) has committed to integrate gender, sexuality education and HIV into the 2011-2020 Education Development Strategy."</p> <p>"To address poverty reduction more coherently and comprehensively, the UN supported the Government in organising the Poverty Reduction Policy Dialogue (May 2010) and the Ethnic Minority Development Forum (December 2010), widely considered as critical advocacy milestones. These policy dialogues provided an important opportunity for Government, the UN, development partners, academia and civil society to share ideas on the next phase of the National Target Programme on Poverty Reduction (Programme 135) and the SEDP36. The UN provided substantial inputs and coordinated development partner's contributions for the draft Resolution on the 2011-2020 Poverty Reduction Strategy. As a result, the focus has now shifted towards a multi-dimensional approach to addressing chronic and transient poverty."</p> <p>"The Partnership on Avian and Human Influenza (PAHI) within MARD37 represents another important multi-sectoral partnership. With UN support, the PAHI Secretariat assisted MARD and MOH38 to develop the Integrated National Operational Programme on Avian Influenza, Pandemic Preparedness and Other Emerging Infectious Diseases (AIPED) for the period 2011-2015."</p> <p>"The UN continued to play a leading role in facilitating stronger coordination between key stakeholders to ensure an integrated approach to disaster risk management (DRM). This is being done through the joint (Government)-UN Programme Coordination Group as well as through the Disaster Management Working Group and the Climate Change Working Group. The regular 'UN Situation Reports' and technical support to the DMC39 further improved the timely sharing of critical information and led to a more coordinated and effective response to disasters when these happen."</p> <p>"Co-chaired by the UN Resident Coordinator, the Ambassadors/UN Heads of Agencies Informal Coordination Group on HIV is another example of the UN's convening role in support of donor coordination and policy coherence. The Coordination Group plays a key role in advocating for a strategic and inclusive national response to HIV. The HIV Programme Coordination Group works closely with the Government and all key stakeholders to scale up HIV prevention, treatment, care and support in Viet Nam."</p> <p>"During 2010 the 'Mini-Dublin Group', an informal consultation and coordination mechanism facilitated by the UN, continued to address specific problems of illicit drug trafficking. The Group developed a range of recommendations to the Government on suggested priority actions in key areas."</p>	"Annual 2011.

Table 5: One Fund Participating Organizations in 2011

			Total	Albania	Cape Verde	Mozambique	Rwanda	United Republic of Tanzania	Uruguay
Report 2010", UN Viet Nam,	Programmes and funds	UNCTAD	4	-	Yes	Yes	Yes	Yes	-
		UNCTAD/ITC	4	-	Yes	Yes	Yes	Yes	-
		UNDP	8	Yes	Yes	Yes	Yes	Yes	Yes
		UNDP/UNV	3	-	Yes	-	Yes	-	-
		UNDP/UNCDF	2	-	-	Yes	-	Yes	-
		UNEP	6	Yes	Yes	-	Yes	Yes	Yes
		UNFPA	8	Yes	Yes	Yes	Yes	Yes	Yes
		UN-Habitat	6	-	Yes	Yes	Yes	Yes	-
		UNHCR	4	-	-	Yes	Yes	Yes	-
		UNICEF	8	Yes	Yes	Yes	Yes	Yes	Yes
		UNODC	5	-	Yes	Yes	-	-	Yes
		UN Women	8	Yes	Yes	Yes	Yes	Yes	Yes
		WFP	5	-	Yes	Yes	Yes	Yes	-
	Specialized agencies	FAO	8	Yes	Yes	Yes	Yes	Yes	Yes
		IFAD	1	-	-	Yes	-	-	-
		ILO	7	-	Yes	Yes	Yes	Yes	Yes
		IOM	5	-	Yes	Yes	-	Yes	Yes
		UNESCO	8	Yes	Yes	Yes	Yes	Yes	Yes
		UNIDO	8	Yes	Yes	Yes	Yes	Yes	Yes
		WHO	7	Yes	Yes	Yes	Yes	Yes	-
	Offices	OHCHR	2	-	-	-	Yes	Yes	-
	Other entities	UNAIDS	5	-	-	Yes	Yes	Yes	Yes
		UNOPS	1	-	-	-	-	-	Yes
	Regional commissions	ECA	1	-	-	-	Yes	-	-
	Total		124	9	17	19	19	19	12

Source: Multi-Partner Trust Fund website. The table includes only organizations that participated at least once in a One Fund.

ANNEX X: REFORM OF FUNDING AND BUSINESS PROCESSES AT COUNTRY LEVEL AS KEY ELEMENTS OF THE DELIVERING AS ONE PILOT PROCESS

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I. Introduction

1. The independent evaluation of the Delivering as One Pilot Initiative is part of the process of the reform of operational activities of the United Nations, to which this annex contributes with its specific focus on¹⁷¹:
 - A review of the innovative funding frameworks and instruments (e.g. Budgetary Frameworks, One Funds as well as on the Expanded 'Delivering as One' Funding Window for Achievement of MDGs¹⁷²) and their intervention logic and performance against the background of the overall funding of operational activities for development of the United Nations system in the pilot countries (core and non-core funding);
 - An analysis of both intended and unintended effects of the new funding mechanisms, e.g. the simplification and harmonization of budgeting by UN organizations, the use of harmonized cash transfers (HACT), the use of and coordination with national systems, the enhancing of financial transparency and accountability, the coordination with other forms of external funding (e.g. aid, South-South Cooperation) etc.;
 - Information on efforts in Delivering as One eight pilot countries¹⁷³ to reduce transaction costs for the UN itself as well as for national and external partners, and analyse systemic issues related to the reduction of transaction cost, e.g. definitions of transaction cost across the system, methods of cost classification and business practices that have helped or hindered Delivering as one attempts to reduce transaction cost in pilot countries.
2. The purpose of this annex is to provide some historical and analytical background to key elements of the independent evaluation of the DaO pilot initiative, such as funding and business practices. The annex will therefore
 - Place the DaO process into the context of overall aid flows to assess whether the DaO resulted in an increase of aid flows;
 - Review the funding structure of the DaO process in terms of donors providing the resources and in terms of UN agencies executing programmes funded from these resources;
 - Analyse the concept of the new funding models introduced as result of DaO in relation to the established funding models for the UN system;
 - Analyse the impact of the business model of the UN agencies concerned on their role in the implementation of the DaO pilot initiative;
 - The approaches adopted by UNCTs in the pilot countries to deal with innovation in real-life settings of ongoing or newly starting UNDAFs;
 - The achievements of UNCTs in simplifying and harmonization of business practices, as well as constraints encountered, including their achievements in reducing transaction cost;
 - The system-wide support mechanisms to support the new funding mechanism and reform processes.

II. The context

a) Some historical background

3. The origins of the UN development system in its current configuration¹⁷⁴ are two-fold:

¹⁷¹ As the entire report of the independent evaluation of Delivering as One, this Annex describes the situation, as it prevailed until December 2011. More recent developments have not been taken into consideration.

¹⁷² Referred to in the text throughout as Expanded Funding Window or EFW.

¹⁷³ Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay, Viet Nam.

¹⁷⁴ Olave Stokke, The UN and Development, From Aid to Cooperation, 2009 and Stephen Browne, The UN Development Programme and System, Global Institutions, 2011.

- The establishment of a number of specialized agencies with independent and technical governance between 1945-1948 (FAO, ICAO, UNESCO, WHO); and
 - The establishment of UNDP (after the EPTA¹⁷⁵ and the Special Fund) as the central funding mechanism of UN technical assistance particularly to support new nations after decolonization in the 1960s.
4. Under this system, UNDP was the central funding mechanism while Specialized Agencies would bring in their technical expertise and operate national, regional and global projects. Most of the funding was "core", and the mechanism was guided by the Indicative Planning Figure (IPF), UNDP's resource allocation/country programming mechanism, which was an envelope of expected requirements to fund technical cooperation through the UN system agencies. This arrangement was in accordance with absorptive capacities at national level. The system further evolved, during the 1980s and mid-1990s, with:
- The change in the relative position of UNDP as a funding source, as donors increasingly channelled resources directly to Specialized Agencies and other UN programmes (e.g. WFP, UNICEF);
 - The introduction of new approaches to resource mobilization outside of core funding, including as of the 1990s of funding by recipient governments, due to budget constraints faced by UNDP;
 - The introduction of national execution, as the main pillar of UNDP assistance, and its abandoning of its role as central funding mechanism of the UN system;
 - The disproportional increase of non-core (i.e. earmarked) funding and the establishment of resource mobilization in all agencies to compensate for the disappearance of UNDP as central funding mechanism;
 - The transformation of UNDP from a fund to a development organization, with its own execution capacity and technical mandates in particular in the areas of poverty alleviation, governance, environment, and crisis prevention and recovery;
 - The establishment of country-level office networks by many of the Specialized Agencies, while others maintained the status as non-resident agencies; and
 - More agencies were established by the UN General Assembly to deal with specific situations or requirements (e.g. UNCTAD, ITC, UNIDO, UNEP etc.).
5. At the same time, the role and functions of the UNDP Resident Representatives were expanded to represent the UN Secretary-General as UN Resident Coordinator (mid-eighties) to represent the UN system as a whole at country level. Most UN agencies accepted the role of the UN RC as *primus inter pares* and the interagency meetings at country-level gradually evolved into what is known today as UN Country Team. A significant shift in concepts and modalities for UN system collaboration at both the country and inter-agency level was heralded as from the late 1990s by the then Secretary-General's packages of reform.
6. The reforms in 1997, called for, inter alia, the accelerated establishment of UN Houses with common services and more harmonized business practices and the introduction of the UNDAF as the strategic document articulating the main objectives and areas of collaboration for UN agencies in the field.
7. The package also included re-grouping of the main UN departments, entities, funds and programmes into Executive Committees, of which one covered the "UN Development Group" (UNDG)¹⁷⁶. Under the reform, the UNDG was initially limited to the Executive Heads of UN Funds and Programmes and other bodies under the authority of the Secretary General. It was also supported by the (UN) Development Group Office (DGO), which became a support centre for the UNDAF and Resident Coordinator system. This structure co-existed with the existing ACC¹⁷⁷ (renamed Chief Executive Board or the CEB) structure, comprising all organizations of the UN system with various committees for policy and

¹⁷⁵ Expanded Programme of Technical Assistance

¹⁷⁶ Other Executive Committees were established for Humanitarian Affairs, Peace and Security, Social and Economic Affairs.

¹⁷⁷ ACC: Administrative Committee for Coordination; CEB: United Nations System Chief Executives Board for Coordination

operational questions and administrative issues. However, in the development cooperation arena, it soon became clear that UNDG had a more operational focus—as opposed to the more informal policy coordination and information exchange in the ACC subsidiary bodies. The UNDG structure was therefore expanded to include all the main organizations involved in development cooperation activities.

8. The result of the above-mentioned process is described by the Secretary-General in his past reports to ECOSOC (2008-2011)¹⁷⁸ on the funding of the resident coordinator system, on the funding of the UN system and on simplification and harmonization of business processes. Notably, the various General Assembly resolutions on triennial policy reviews of operational activities for development and on system-wide coherence provided additional impetus to reform, whereby the decisions of the 2005 World Summit and the subsequent report of the High-Level Panel on System-Wide Coherence in 2006 contained the more fundamental proposals as to how to reform the evolved UN development system structure.

b) Background to the need for reforming funding and business practices of UN development assistance

9. The need for reforming funding and business practices of the UN development assistance was expressed by the High-Level Panel study on Delivering as One with regard to the “One Budgetary Framework” and the “One Office”¹⁷⁹.
10. The key features of the One Budgetary Framework was to
 - “Transparency, management, and the effective implementation of the One Country Programme through one budgetary framework.
 - Funding should be linked to the performance of the United Nations country team preparing and implementing a strategic One Country Programme.
 - The budget should be completely transparent, showing clearly the overheads and transaction costs of the United Nations and all of its funds, programmes and specialized agencies in the country.”
11. The key features of the *One Office* were
 - “One integrated results-based management system, with integrated support services.
 - Joint premises (where appropriate).
 - A common security infrastructure and clear lines of accountability.”
12. The complexities of the management of the activities of the UNCT are best described by the following quote from the report of the Secretary-General on the functioning of the Resident Coordinator system, which is highly relevant for assessing the achievements of the DaO pilots in the field of harmonization of business processes: Each of the “organizations, agencies, funds and programmes represented in the country team has its own governance and accountability framework and highly specialized mandate. The human, financial and technical resources available to them also differ, with each operating on business models that best suit their mandates. The country representatives and/or directors of the agencies are directly accountable to their own organizations. Moreover, the country offices and programme activities of the agencies are funded from their own resources (regular budget and extrabudgetary) and/or host government contributions. These differences come into play at the country level, particularly when United Nations country teams help countries to deal with such cross-cutting or large-scale issues as climate change, food security and the global economic crisis”¹⁸⁰.

¹⁷⁸ E/2008/60 of 13 May 2008; E/2009/76 of 15 May 2009; E/2010/53 of 30 April 2012

¹⁷⁹ Quotes from A/61/583, “Delivering as one” Report of the High-level Panel on United Nations System-wide Coherence in the areas of development, humanitarian assistance and the environment

¹⁸⁰ Quoted from E/2011/86, Report of the Secretary -General on the functioning of the resident coordinator system, including costs and benefits.

c) The funding architecture for operational activities of the UN Development System (excluding humanitarian assistance)

13. Operational activities for development of the United Nations system¹⁸¹ are defined as those activities of funds, programmes and agencies which have the specific objective of promoting development. A number of United Nations entities have specific mandates in this regard. Operational activities for development cover both longer-term development-related activities as well as activities with a humanitarian assistance focus. They are funded by a combination of so-called core and non-core resources.
14. *Core resources* are those that are commingled without restrictions and whose use and application are directly linked to the strategic mandates, guidelines, priorities and goals established by the respective intergovernmental governing bodies.
15. *Non-core resources* are resources that are generally restricted with regard to their use and application as determined by the contributor. The degree to which the use and application of non-core resources are subject to and aligned with the mandates, guidelines, priorities and goals established by intergovernmental governing bodies is at best indirect.
16. Core, or unrestricted, funding is generally seen as a more efficient way of building effective partnerships with programme countries in the delivery of operational activities for development. Restricted aid in the form of non-core resources, on the other hand, is often seen as distorting programme priorities by limiting the degree to which governing bodies and programme countries themselves are involved in priority-setting through the selection, design and implementation of projects and programmes.
17. According to the SG's report on funding of operational activities until 2009¹⁸², financing in the form of non-core resources currently accounts for some 73 per cent of total contributions and has grown significantly over time. The experiment within the framework of the DaO pilot process, to introduce new funding models and new budgetary frameworks needs to be seen in the context of this broader picture.

d) The One Office or the reform of business processes and reduction of transaction costs

18. The difficulties of UN organizations to work together at country level arise from the different business models, which "respond to organization-specific mandates and programme activities guided by governing bodies" of the organizations concerned. The DaO pilot process was to explore the potential for simplification and harmonization within existing business models, without touching upon headquarters structures and corporate accountability frameworks relevant for the organizations concerned.

II. Aid flows, funding instruments and Delivering as One

a) Aid flows in support of DaO as compared with overall aid flows

19. Global ODA flows have increased during the period 2006-2010 by 22% from US\$ 107 billion to US\$ 131 billion. The share of UN operational activities in total ODA has slightly increased, over a five-year-period, from 16 % (2006) to 18 % (2010).
20. During the same period, UN aid flows increased by 35 % from US\$ 17 billion to US\$ 23 billion. Non-core assistance rose by 43 % from US\$ 12.2 billion to US\$ 17.5 billion. The value of resources channelled through Multi-Partner Trust-Funds during the same time period nearly tripled from US\$ 360

¹⁸¹ Quoted from A/66/79-E/2011/107, Report of the Secretary General, Analysis of the funding of operational activities for development of the United Nations system for 2009.

¹⁸² A/66/79-E/2011/107, Report of the Secretary General, Analysis of the funding of operational activities for development of the United Nations system for 2009

million to US\$ 930 million. The share of Multi-Partner Trust Funds in non-core nearly doubled from 3.0 % in 2006 to 5.3 % in 2010.

21. The share of development assistance in ODA has remained relatively unchanged, with 11.2 % in 2006, and 11.6 % in 2010; its overall value increased by 27% from 2006 to 2010, whereby the growth of non-core (+33%) was double of the growth of core (equivalent to 15%). The importance of multi-donor trust funds in UN development has grown (largely because of the MDG-F, the One Fund and the Expanded Funding Window), as it more than tripled since 2006.
22. It is difficult, however, to assess whether the increase in MPTF funding has been at the expense of traditional non-core funding, first because its small share of only 6 % in 2010 of non-core for operational activities, and second because its total value in 2010 of US\$ 0.66 billion is only a quarter of the increase of the value of non-core between 2006 and 2010. Without the MPTF funding, non-core would have grown by 28 % instead of 33%, including MPTF funding¹⁸³.

Table 1: Total ODA Flows and UN Assistance in US\$ Billion (2006-2010)

Total ODA Flows and UN Assistance in US\$ Billion (2006-2010)							
	2006	2007	2008	2009	2010	Total 2006-2010	Change in % from 2006 to 2010
UN Operational Activities (development and humanitarian)							
Global ODA	107,3	108,5	127,9	127,0	131,1	601,8	+22%
UN Operational Activities	17,3	19,2	22,6	21,9	23,4	104,4	+35%
Core	5,0	5,6	6,4	6,0	5,9	28,9	+18%
Non-Core	12,2	13,6	16,0	15,9	17,5	75,2	+43%
Local resources	1,9	2,2	1,5	1,3	..	6,9	-
Of which Multi-Partner Trust Funds	0,36	0,55	0,47	0,73	0,93	3,04	+158%
Share of Multi-Partner Trust Funds (MPTF) in Total Non-Core in %	3,0%	4,1%	2,9%	4,6%	5,3%	4,0%	
Development only							
UN operational activities	12,0	13,6	14,0	14,2	15,2	69,0	+27%
Core	4,1	4,6	4,6	4,8	4,7	22,8	+15%
Non-core	7,9	9,1	9,3	9,4	10,5	46,2	+33%
MPTFs	0,21	0,27	0,35	0,48	0,66	2,0	+218%
Share of MPTFs to non-core (%)	2,6%	3,0%	3,8%	5,1%	6,2%	4,3%	

183 $(10.5-0.66)/(7.9-0.21)$

b) Funding instruments used to support the One Programme under the DaO

23. The two funding instruments¹⁸⁴ that were used specifically to support the One Programme component of the DaO process are the country-specific “One Fund” that is “managed” at country level and the global “Expanded Funding Window” (EFW) that is “managed” at headquarters level. Specifically, they are characterized as:
- The “One Funds” were established between 2007 and 2008 by the Multi-Partner-Trust Fund Office in UNDP as country-specific Multi-Partner Trust-Funds to which donors willing do so could directly contribute resources in support of the “Delivering as One” modality. In total, nine such “One Funds” were established, of which there was one fund for seven pilot countries and two for Viet Nam¹⁸⁵. These nine “One Fund” MPTFs are identifiable by their association to the country concerned¹⁸⁶. In total, 15 countries contributed to these “One Funds”, in two cases two donor agencies from the same countries (Sweden and Switzerland) supported the One Fund, leading to a total of 17 separate donor accounts. As a principle, funding in the country-specific One Funds was not earmarked, and in most cases, multi-year. While the One Funds are administered by the MPTF Office as Administrative Agent, all decisions regarding allocation of funds to themes or projects are taken at the country level within the framework of the governance and oversight arrangements and rules (e.g. Steering Committees etc.) that the Government, the Resident Coordinator, and the UNCT agreed to and established at the country level.
 - In addition, the “Expanded Delivering as One Funding Window for Achievement of the Millennium Development Goals” (EFW) was introduced in 2008 as a multi-donor funding mechanism to provide resources to support nationally-led and owned programming processes to help UN Country Teams to deliver as one. It was designed to enable UN Country Teams to raise additional unearmarked and predictable resources in support of the One Programme in pilot countries and other countries voluntarily adopting the DaO approach (self-starters) and to meet funding gaps¹⁸⁷. From a country perspective, the EFW is shown as donor within the framework of the country-specific One Fund.
24. The nine One Fund MPTFs and the EFW are managed by the Multi-Partner-Trust-Fund Office in UNDP headquarters in its function of Administrative Agent¹⁸⁸ for each of these MPTFs; for this task

¹⁸⁴ In two countries, resources from the One Fund were used to set up Joint Programmes to strengthen the RC Offices and to support change-management processes. The funding support by some donors (Italy, Spain, UK) to the management process of the DaO pilot initiative, through putting resources at the disposal of DOCO and some Specialized Agencies so support the RC offices or agency country-level work is not included nor are the contributions by some donors by funding Junior Professional Officers or by seconding professional staff on time-limited basis or to the Resident Coordinators’ offices (e.g. Viet Nam). It also does not reflect the staff time allocated by all UN agencies at headquarters and at country-level nor the time dedicated by Governments and donors at country level to support the DaO process which was not tracked nor reported, and which were perceived as transaction cost.

¹⁸⁵ Nine One Funds as Viet Nam opened two One Funds, i.e. “One Plan Fund I” that was limited to a few agencies (i.e. Funds and Programmes) and subsequently the “One Plan Fund II” that included a larger group of participating agencies.

¹⁸⁶ i.e. Albania One UN Coherence Fund, Cape Verde Transition Fund, Mozambique One UN Fund, Pakistan One Fund, Rwanda One UN Fund, Tanzania One UN Fund, Uruguay One UN Coherence Fund, Viet Nam One Plan Fund I and II. As all these funds are established as MPTFs following the same basic principles, they are being referred as the One Fund.

¹⁸⁷ Other features of the EFW are that it is designed to enable donors to support integrated UN Programmes in countries where they may not have a bilateral presence or country-level funding mechanisms. Another intention is to reduce transaction costs for donors and recipient governments, by replacing separate and multiple financing agreements required to manage earmarked resources through one single channel through the EFW.

¹⁸⁸ These MPTFs were established through standard Memoranda of Understanding (MoUs). The role of Participating UN Organizations and donors in MPTFs are clearly defined in various policies and legal instruments, including the MoU, Special Service Agreements (SSA), UNDG AA Protocol, and MPTF TORs. The functions of the AA include: Receiving contributions from Contributors/Partners; administering funds received; disbursing funds to each of the Participating UN Organizations in accordance with instructions from the Steering Committee/Resident Coordinator (on behalf of the Steering Committee); consolidating statements and reports, based on submissions provided to the AA by each Participating UN Organization; providing final reporting, including notification that the MPTF/JP has been operationally completed; disbursing funds to any Participating UN Organization for any additional costs of the task that the Steering Committee may have decided in accordance with TOR/Joint Programme Document/One UN Programme.

it receives a 1% fee. It maintains an internet gateway¹⁸⁹ that allows for tracking of all donor commitments, funds transfers to the Participating Agencies and expenditures by the Participating Agencies in relation to the ten MPTFs (nine One UN Funds and EFW) that are related to the DaO process. The GATEWAY also serves as an online repository for a set of relevant documents (e.g. One Programmes, Annual Progress Reports, Joint Programmes, MoUs, etc.).

25. Donors would contribute either directly to the country-level One Fund or to the EFW; four donors supported the EFW. Overall, 26% of the total commitment to the DaO One Funds was channelled through the EFW, but its share in the One Fund varied widely, which is consistent with the concept that the EFW was to supplement local resource mobilization through the One Fund by funding part of the remaining funding gap in relation to overall programming needs.
26. By the end of 2011, total commitments to the One Fund (including the EFW) in the eight pilot countries were US\$ 585 million, of which US\$ 502 million were actually deposited with the Administrative Agent, corresponding to 81% of the total commitments to the One Fund. With regard to the EFW this corresponds to 100% as from the country perspective, and the EFW is seen as a donor.¹⁹⁰

Table 2: Commitments (and Deposits) for One Fund and Expanded Funding Window (EFW) in US\$ million (2007-2011)

One Funds for	Commitment/Deposits for			Total Deposits with AA	Share of	
	One Fund	EFW	Total		EFW in Commitment	Deposits of Commitments
	In US\$ Million				In %	
Albania	23,5	3,6	27,1	25,6	13%	95%
Cape Verde	14,9	3,5	18,4	14,4	19%	79%
Mozambique	52,9	35,0	87,8	78,1	40%	89%
Pakistan	79,7	20,9	100,6	73,2	21%	73%
Rwanda	33,8	35,3	69,1	65,8	51%	95%
Tanzania	140,0	32,3	172,3	135,1	19%	78%
Uruguay	10,3	3,6	13,9	13,9	26%	100%
Viet Nam	77,3	18,1	95,4	95,4	19%	100%
Total Commitments	432,4	152,2	584,6	-	26%	-
Total Deposits	349,4	152,2	501,6	501,6	30%	100%
Share Deposits in Commitments	81%	100%	86%			

27. The EFW allocated US\$ 152 million to the DaO pilot countries, out of the US\$ 245 million that were deposited by the four donors with the Administrative Agent against a total commitment of US\$ 270 million. After adjustment for interest and fees, the Administrative Agent transferred US\$ 234 million to the Participating Agencies, out of which US\$ 152 million were allocated to DaO pilot countries which is the equivalent of 65% of available overall resources from US\$ 234 million. The remaining US\$ 82 million were allocated to other countries adopting DaO principles and processes without being part of the pilot process (e.g. so-called self-starters).

¹⁸⁹ The MPTF Office GATEWAY also covers other MPTFs, including MPTFs established in countries following the DaO practices as well as of large-scale interagency humanitarian assistance programmes. It does not cover the resource flows relating to other components of the One Programme that are funded from core and non-core resources of agencies but that are not funded through the MPTF.

¹⁹⁰ As the EFW can only commit resources actually available, from the perspective of the country One Fund, EFW commitments equal EFW deposits and are therefore 100%.

Table 3: Contribution of Donors to the EFW and allocation of EFW to Delivering as One

Contributions of Donors to EFW	Total in US\$ Million		Share in %	
	Commitments	Deposits	Commitments	Deposits
Netherlands	4,1	4,1	2%	2%
Norway	56,6	56,6	21%	23%
Spain	144,1	144,1	53%	59%
United Kingdom	64,6	40,0	24%	16%
Total Funding EFW	269,5	244,8	100%	100%
Various Charges/Interest		1,4		
Balance with AA		-12,1		
Total Transferred to UN Participating Agencies for		234,2	100%	
DaO countries		152,2	65%	
Countries adopting DaO (Self-starters)		82,0	35%	

28. Fifteen donors¹⁹¹ out of 25 DAC donors countries (including the European Union) supported the One Fund (including the Expanded Funding Window¹⁹²) in the eight pilot countries.

Table 4: Donor Commitments in Support of the One Fund involving the EFW in US\$ Million (2008-2011)¹⁹³

Donor	Direct commitments to One Fund	Share of commitments to One Fund, %	Commitments through the Expanded Funding Window ⁴⁰	Total commitments	Share of total commitments to Delivering as One, %
Australia	16.1	4		16.1	3
Austria	1.9	0		1.9	0
Canada	77.6	18		77.6	13
European Union	3.5	1		3.5	1
Finland	16.3	4		16.3	3
France	1.0	0		1.0	0
Ireland	13.6	3		13.6	2
Luxemburg	11.9	3		11.9	2
Netherlands	43.5	10	3.0	46.5	8
New Zealand	5.1	1		5.1	1
Norway	90.7	21	35.0	125.7	21
Spain ^a	65.9	15	89.8	155.7	27
Sweden	26.4	6		26.4	5

¹⁹¹ In case of two donor countries, two different national funding agencies contributed to the One Fund independently.

¹⁹² Funding for the eight DaO pilot countries only.

¹⁹³ Source: Multi-Partner Trust Fund Gateway, full commitments, extracted May 2012.

Donor	Direct commitments to One Fund	Share of commitments to One Fund, %	Commitments through the Expanded Funding Window ⁴⁰	Total commitments	Share of total commitments to Delivering as One, %
Switzerland	1.7.	0		1.7	0
United Kingdom	57.4	14	24.4	81.8	13
Grand total	432.6	100	152.2	584.8	100
Share of five largest donors					83%

a. Exclusive of contributions to the MDG-F.

Note: The five largest donors are in bold.

29. The five donors which covered 83 % of all commitment to the One Fund¹⁹⁴ (Canada, Netherlands, Norway, Spain, and the United Kingdom), contributed during 2006-2010 a cumulative amount of US\$ 17 billion to the UN system, of which 62 % was for their total non-core assistance. They are also an important donor for MPTFs which covered in 2009 an increasing share (38 %) of their commitments to non-core funding. This concentration of the donor commitments to the One Fund and even more to the EFW from a few donors makes the entire DaO process dependent on the policy decisions of these five donors. The trends noted in Figure 1 before are not uniform for these five donors.

Table 5: Aid Flows of Five Major donors to DaO in US\$ Million¹⁹⁵

Five Major Donors	2006	2007	2008	2009	2010	Total 2006-2009
Total ODA	28.353	29.027	34.160	32.374	35.141	159.055
multilateral	19.805	19.626	23.769	22.967	24.140	110.308
bilateral	8.548	9.401	10.390	9.407	11.001	48.747
Total UN system	3.506	4.151	4.658	4.639	n.a.	16.954
core	1.359	1.614	1.705	1.814	n.a.	6.492
non-core	2.147	2.537	2.953	2.825	n.a.	10.462
All MPTFs	301	406	649	1.075	316	2.747
Of which DaO funds	0	38	73	216	100	427
Share UN to ODA	12%	14%	14%	14%	12%	n.a.
Share of DaO in MPTFs	0%	9%	11%	20%	32%	16%
Share of MPTFs in Non-Core	14%	16%	22%	38%	n.a.	n.a.

30. Comparing the trend figures of commitments of the five major donors to the One Fund¹⁹⁶, it appears that their commitments to the One Fund have grown faster, up to 2009¹⁹⁷, than their overall commitment to ODA and to non-core contributions. The acceleration in growth of MPTFs was further enhanced with the One Funds and the EFW, which covered in 2009 20% and in 2010 32 % of all commitments to MPTFs, and 16 % of the cumulative commitments for the MPTFs. As from 2009, this commitment to MPTFs seems to be slowing down.

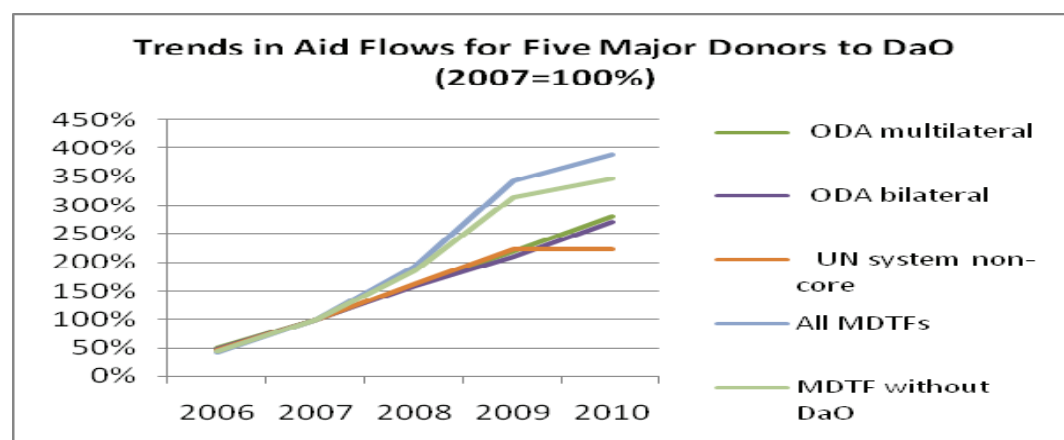
¹⁹⁴ Including the EFW that at country level is commingled with the country-specific One Fund.

¹⁹⁵ Source: UN Department of Economic and Social Affairs (DESA)

¹⁹⁶ Setting the commitments in year 2007 as base=100%

¹⁹⁷ Figures of contributions to non-core beyond 2009 are not yet available, Source: DESA

Figure 1: Trends in Aid Flows for Five Major Donors to DaO¹⁹⁸



31. Based on the statistical analysis, it would appear that support for the One Fund including the EFW is levelling off for at least four of the five donors and only one donor continued to give priority to the One Fund/EFW over ODA and non-core funding. These statistical observations were confirmed during interviews with donor delegates in New York in February, 2012. This conclusion points to an important future funding model that underpins the DaO pilot process, as its sustainability is by no means assured.
32. The offices of the RC and of some of the UNCT members in some of the pilot countries were strengthened at the beginning of the DaO process through a variety of measures:
 - Secondment of professional staff from donor agencies to the RC Office;
 - Funding of Junior Professional Officers in support of the RC Office ;
 - Setting up of Joint Programmes to support the RC Office functions and change management processes and business process harmonization with funding from the One Fund (Tanzania US\$ 6.0 million) and Mozambique (US\$ 1.2 million).
33. These various approaches supporting the DaO pilot initiative resulted in building-up considerable professional capacity in the Resident Coordinator's Office (RCO) in some pilots. There is a risk that this strengthened capacity in the RCOs will not be sustainable, if the funding sources expire.

c. Aid flows in support of the eight DaO Pilot countries as result of the DaO pilot initiative

34. Of the eight pilot countries volunteered to be pilots, four are classified as Middle Income Countries (MIC), one country is graduating to become a MIC, and three countries are classified as Least Developed Countries (LDC). This explains the significant differences in ODA, UN development assistance, and support through the DaO initiative.
35. In seven of the eight pilot countries, the One Fund covered only 1-2% of overall ODA. In Uruguay, the One Fund reached 9% of total ODA which is explained by the particular situation of that country as an upper MIC with limited access to normal development aid. Uruguay is also the only country where UN assistance includes funding from Government resources channelled through the UN, which explains the high share of UN assistance in overall ODA for that country.
36. With the exception of Pakistan (with a high level of humanitarian assistance) and Uruguay (with a very low ODA), the One Fund had a relatively high share (above 30%) of UN assistance in Albania, Cape Verde and Viet Nam, which are all classified as MICs; only Uruguay which is also classified MIC, had a share of only 12%. This may be explained by the relatively low absolute levels of overall UN assistance in these countries. The high value for Viet Nam may be explained by its transition status

¹⁹⁸ Data for UN system non-core for 2010 not yet available at time of writing the report.

from LDC to MIC, as the level of its overall UN assistance in absolute values is still high and comparable to that of Rwanda, albeit with a significantly larger population. In the three LDCs (Mozambique, Rwanda and Tanzania), the share of the One Fund in the overall UN assistance portfolio in the LDCs is with 13-20% which is still very high and significant, considering that their overall UN assistance is also significantly higher than in the MICs. In most of the DaO pilot countries, and apart from the particular situation in Pakistan, the One Fund was, therefore, a significant additional funding source within the framework of UN assistance.

Table 6: Development Assistance to DaO Pilot Countries in US\$ Million (2008-up to 2010)¹⁹⁹

	ALB	CVI	MOZ	PAK	RWA	TAN	URU	VIE ^a
Population (million) for 2010 ^b	3.2	0.5	23.4	173.6	10.6	44.8	3.4	86.9
GDP per capita US\$ 000 (2010) ^c	8.6	3.9	0.9	2.7	1.2	1.4	14.0	3.2
Total Net ODA44 (2008-2010)	1.058	747	5.967	7.340	2.902	8.225	132	9.229
Total United Nations Assistance (2008-2010) ^d	62,3	38,7	440,7	1856,3	289,2	520,4	102,0	258,8
Total Commitments to One Funds including EFW up to 2010	22,4	12,0	59,1	52,6	57,2	92,1	12,5	80,1
Total Commitments to One Funds including EFW as recorded 2011 ^e	27,1	18,4	87,8	100,6	69,1	172,3	13,9	95,4
Total Deposits to One Funds including EFW as at December 2011	25,6	14,4	78,1	73,2	65,8	135,1	13,9	95,4
UN assistance per capita in US\$	22	77	19	10	27	12	32	3
Total share of UN assistance to ODA in %	6%	5%	7%	25%	10%	6%	77%	3%
Share One Fund to United Nations assistance in %	36%	31%	13%	3%	20%	18%	12%	31%
Share of One Fund in Total ODA in %	2%	2%	1%	1%	2%	1%	9%	1%
a. Of which US\$ 30, 9 million for One Plan Fund I and US\$ 49, 2 million for One Plan Fund II up to 2012, and US\$ 64, 5 million as recorded in 2011.								

37. The fund flow model under DaO envisaged that Governments and UNCT establish, through the One Programme, the development priorities for UN system (Funds and Programmes, Specialized Agencies and Non-Resident Agencies) intervention and the corresponding funding needs, identify the resources already available through core and non-core funding, and calculate on this basis the gap in funding in relation to available resources that would be required to fully implement the One Programme. In order to meet that funding gap, they would establish a country MPTF (i.e. the One Fund), with support of the MPTF-Office in UNDP, to mobilize resources to meet this identified funding gap²⁰⁰. The One Fund MPTF would be administered by the MPTF-Office as Administrative Agent for the UN system; it received funds from donors and transferred these funds to the Participating Agencies, based on the needs agreed to beforehand at country level between the Government and the UNCT through the established mechanisms (i.e. country-level Steering Committees). Once these funds were received by the UN Participating Agencies concerned, they would - using their own accountability frameworks, rules and procedures - deliver the agreed upon results in relation to the programmes, projects or activities assigned to them in collaboration with the national implementing partners concerned. At

¹⁹⁹ Data extracted from MPTF Office GATEWAY on 17 February 2012

²⁰⁰ This "funding gap" was not static but kept evolving as some UNCT agencies would continue in most DaO countries mobilizing resources for those components that would be related directly to their mandate and not require cooperation with other UN agencies through joint programmes.

country level, the UNCT members (country representatives of the UN Participating Agencies) would provide required reports in relation to the implementation of the components assigned to them to the corresponding local management structure (management of Joint Programme etc.). They would also provide expenditure reports to the MPTF Office for reporting on the MPTF Office GATEWAY, using information obtained from reports generated by their respective ERPs.

38. The allocation of funds to UN Participating Agencies would be based on the agreements of the roles and responsibilities of each participating agency in the One Programme. In most of the pilots the design of the One Programme aligned itself strongly to the basic pattern of the previous UNDAF, which was due to the predominance of Funds and Programmes in the UNDAF funding.
39. The MPTF Office GATEWAY reports that donors committed by December 2011²⁰¹ US\$ 585 Million in support of the One Fund (including Expended Funding Window), of which US\$ 502 Million were deposited with the MPTF-Office as Administrative Agent for the DaO One Funds and EFW. Of this, US\$ 416 million (or 83 %) were transferred to the UN Participating Agencies. Globally, about two thirds of these resources were transferred to the Funds and Programmes (F&P) and one third to Specialized and Non-Resident Agencies.
40. There were, however, major differences between the pilot countries: in four countries (Albania, Rwanda, Tanzania and Viet Nam), the share of F&Ps was in the range of 70 %, with Albania at the extreme with 91%. In Mozambique, Pakistan and Uruguay, their share was in the order of 55-60%. Cape Verde stands out with a share of 24% for NRAs and only 38 % for F&Ps. The share of Specialized Agencies mirrors of course that of the F&Ps, but it is interesting to see the differences in involvement of NRAs in particular between the smaller countries (i.e. Albania, Cape Verde and Uruguay) which can only be explained by the capacity of NRAs to engage.
41. The differences in the shares of agencies in the use of resources from the One Fund can be explained by the differences in the business models of the UN Participating Agencies and in the interpretation by UNCTs of the dichotomy “strategic focus” and “inclusiveness” when formulating the One Programme:
 - An important dimension is the presence of an agency at country-level particularly during the preparation processes relating to the One Programme and the Common Budgetary Framework which are the result of continuous dialogue between the UNCT and the Government. Non Resident Agencies may have difficulties in participating in real-time in this dialogue, due to their lack of presence. They are disadvantaged, compared to resident agencies, and compensating for this disadvantage through additional expenses and staff time is not always feasible nor practical. These NRAs are also usually not well resourced, while on the other hand, their specialized knowledge and expertise may be particularly attractive to some parts of the Government (i.e. line ministries) that may not usually be familiar with the UN system²⁰².
 - While some of the UNCTs emphasized strongly strategic focus, making it unattractive for smaller agencies to participate, others used the opportunity of the One Programme and the additional funding from the One Fund to be more inclusive and involve other agencies that would normally not have been involved in the UNDAF preparation and process.
 - The basic pattern in the share between F&P, SA and NRA repeats itself at the level of actual delivery (which is equivalent to expenditure) as reported in the MPTF Office GATEWAY. The global shares in expenditures between F&Ps, SAs and NRAs are essentially the same as those for the fund transfers, even though there are some minor differences between the countries.

²⁰¹ Full commitment including commitments for implementation in the years after 2011.

²⁰² Different strategies were followed by NRAs with regard to the DaO pilot process, which ranged from setting up a specific structure at regional level (e.g. UNEP) to dedicating by individual officers at headquarters (e.g. UNCTAD) who contribute through their normal regular programme activities.

Table 7: Transfers and Expenditures of One Fund by Country and Type of Agency²⁰³

Distribution of Transfers and Expenditures of One Fund (including EFW) among Specialized Agencies, Non-Resident Agencies and Funds and Programmes									
Transfers to agencies up to the end of 2011 (in US\$ 000)									
	ALB	CVI	MOZ	PAK	RWA	TAN	URU	VIE	Total
SA47	1.793	5.263	21.377	23.007	10.856	32.299	5.136	21.439	121.170
NRA	254	3.273	2.069	3.133	3.186	861	367	3.974	17.117
F&P	20.212	5.144	35.594	37.476	33.088	70.784	6.660	68.364	277.322
Total Transfers	22.259	13.680	59.040	63.617	47.131	103.944	12.163	93.777	415.609
Share among Specialized Agencies, Non-resident Agencies and Funds and Programmes in %									
SA	8%	38%	36%	36%	23%	31%	42%	23%	29%
NRA	1%	24%	4%	5%	7%	1%	3%	4%	4%
F&P	91%	38%	60%	59%	70%	68%	55%	73%	67%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%
Expenditures by agencies up to end 2011 (in US\$ 000)									
SA	1.269	3.440	19.635	13.631	9.384	23.175	5.537	16.710	92.782
NRA	161	2.922	2.039	2.168	2.579	72	346	3.218	13.505
F&P	17.788	4.376	32.597	25.234	29.155	57.157	5.904	67.617	239.828
Total expenditure	19.217	10.739	54.272	41.032	41.118	80.405	11.787	87.545	346.114
Share of expenditures among Specialized Agencies, Non-resident Agencies and Funds and Programmes in %									
SA	7%	32%	36%	33%	23%	29%	47%	19%	27%
NRA	1%	27%	4%	5%	6%	0%	3%	4%	4%
F&P	93%	41%	60%	61%	71%	71%	50%	77%	69%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%

SA= Specialized Agency: FAO, IFAD, ILO, UNESCO, UNIDO, WHO and IOM

NRA= Non-Resident Agency: ECA, ITC, UNCTAD, UNEP, UNHABITAT, and UNODC (please note that some of the agencies may have a country office in one or two of the pilot countries).

F&P= Funds and Programmes: UNAIDS, UNCDF, UNDP, UNDP(UNV), UNFPA, UNHCR, UNICEF, UNWOMEN, WFP, NGO/UNDP, and OHCHR.

d) The basic funding model underpinning the DaO concept

- i. Adaptation of UN agencies resource mobilization strategies to donor policies
42. Resource mobilization for UN development assistance was managed, since its existence, by the various UN agency headquarters. With the demise of UNDP as the central funding agency of the UN development system, also Specialized Agencies and other UN organizations developed or enhanced, as from the mid 90s, successfully new or existing resource mobilization capacities at their respective headquarters, both for development as well as for humanitarian assistance²⁰⁴. At the same time some donors transferred authority for fund approval to their country representatives. Some UN agencies

²⁰³ Data extracted from MPTF-Office GATEWAY on 14 May 2012.

²⁰⁴ See also the various reports of the Secretary-General on the funding of operational activities

(mainly Funds and Programmes) responded by also assigning considerable resource mobilization authority to their country representatives up to the point that local resource mobilization is part of the performance assessment of agency country representatives. At a much later stage, also some of the Specialized Agencies also assigned resource mobilization for extra-budgetary funding to their country representatives. The result was increasing competition among the UN agencies in the UN Country Teams for resources, but also an increase of transaction cost for donors²⁰⁵ and governments who would be faced with uncoordinated requests for funding, resulting in an overall impression of fragmentation and lack of coherence.

43. From a global perspective, the result of this evolution was a significant increase of earmarked non-core funding to the UN development system, in contrast to the many resolutions of the General Assembly and the ECOSOC that requested increase of unearmarked funding for development assistance.
44. The basic funding model behind the DaO concept is in response to these evolutions. It supplements the two fundamental pillars of funding of UN activities, namely core funding and non-core funding, by introducing a variant to the non-core earmarked funding modality through the establishment of a mechanism that:
 - would create a framework for resource-mobilization through establishing specific multi-donor trust funds (i.e. the One Fund) for the work of the entire UN at country level instead of for agency-specific resource mobilization that resulted in the competitive situation referred to earlier (typical for non-earmarking);
 - created the conditions for new accountability frameworks for the UNCT as a whole rather than agency specific accountability frameworks;
 - would associate the local donor representatives to the planning and implementation process of UN assistance that would be provided within these new frameworks and thus create the conditions for reducing earmarking due to improved transparency and accountability;
 - required the Resident coordinator to play a pro-active role in programming, resource allocation and programme management in relation to “jointly mobilized” resources, even though the actual funds would still be administered at “Headquarters”, i.e. the UNDP Multi-Partner-Trust-Fund Office as the Administrative Agent; responsibility and accountability for the allocation and use of these funds would be transferred jointly to the Government and the UNCT.
45. At country level existing instruments (i.e. the interagency UNDAF and agency specific instruments) were reoriented and sharpened in order to support this shift of the fund allocation responsibility through appropriate programming, accountability and planning instruments to the country level. The new instruments “One Programme” and “One Budgetary Framework” enabled a new approach of interaction between Governments, donors and the UNCT in the programming and management of development aid. It resulted in:
 - The setting up of a country-level governance mechanism that would involve coordinating line ministries, the RC, and the UNCT, and the donors as members or observers, to manage and oversee resource allocation mechanisms relating to the “One Fund”;
 - The development of the “One Programme” as a results-based programming framework that would be inclusive of all activities of the UN country team ;
 - The introduction of a costed results framework covering the activities of the entire UN system in the country that would allow assessing the resources required to achieve these results, identifying the funding sources available to the UN agencies, and thus estimating the likely funding gap;
 - The creation of the conditions for monitoring programme implementation through annual work-plans committing the members of the UNCT to deliver against agreed results, within the framework of the One Programme and Common Budgetary Framework;

²⁰⁵ The increase of transaction costs for local donors is very relevant as UN assistance overall represents in most cases only a small fraction of overall ODA to the countries and many donors have shifted their attention to other aid modalities.

- The requirement for an empowered leader in the person of the Resident Coordinator to facilitate priority setting and arbitration, apart from the need for a visible and accountable manager of the “One Fund”.
- 46. This new mechanism enabled Governments and local donor representatives, through their involvement in the planning and implementation process, to gain a better strategic understanding of the direction UN assistance in the programme country would take and assess whether this programme would be consistent with national and the own “donor” priorities. This association and improved transparency would reduce the requirement for “earmarking” as a means of ensuring accountability and transparency on the use of donor resources, apart from the fact that it would allow to reduce transaction cost particularly for donors as they would not have to deal with many uncoordinated funding requests from various agencies of the UN Country Team.
- 47. The focus on the “One Programme” that would involve and commit an entire UN country team therefore had the significant advantage that the donor country office would have to deal only with one partner (the RC as representative of the UNCT) instead with each member of the UNCT separately for agency specific programmes. Moreover, the local donor office could fully observe and monitor the preparation and implementation of the “One Programme” and ascertain that they would be consistent (or not be inconsistent) with their own funding priorities. This would be the condition for supporting the “One Programme” through unearmarked funding, and where feasible with multi-year commitments.
- ii. Impact of different business models on UN agencies’ planning and operations
- 48. An essential assumption for the concept of DaO is that organizations with structurally different business models and that operate in the same thematic areas can collaborate at country level for common results and thus lower the transaction cost for their national partners and local donors by streamlining their interaction with them. The biggest difference in the business models are between the Funds and Programmes (F&P) (including e.g. UNDP, UNICEF, UNFPA and WFP), the Specialized Agencies (SA) (including at least FAO, ILO, UNESCO, UNIDO and WHO), and the Non-Resident Agencies (NRA) that often operate like Specialized Agencies even many of them belong functionally to the UN Secretariat or Funds and Programmes (e.g. UNEP, UNHABITAT, UNDESA, UNCTAD etc.).
- 49. The accountability frameworks used by F&Ps and SAs are different, and consequently also the tools and instruments that are used for managing, implementing and monitoring aid programmes of these UN agencies:
 - The Funds and Programmes (F&Ps) are using multi-year funding frameworks and have, through the undg, harmonized their planning and operational tools such as Country Programme Documents (CPD), the Country Programme Action Plans (CPAP) and Annual Work Plans (AWP). Their country-level work is approved by their respective boards in the form of Country Programme Documents (CPD), and at country level, the agency head and the government sign the Country Programme Action Plans (CPAP) and Annual Work Plans (AWP). Due to the larger size of the programmes, F&Ps can support larger country offices with appropriate control frameworks which in turn allow increasing delegated authority for the country representatives concerned. This architecture provides for considerable flexibility at the country level with larger delegated authorities for country-level representatives. The funding for the CPDs is through core and non-core funding, the latter is mobilized through resource mobilization for agency-specific programmes and themes both through headquarters and country level representatives. Non-core funding is often earmarked, while core funding is not earmarked.
 - Most of the Specialized Agencies (SAs) and Non Resident Agencies (NRAs) implement their programmes through projects that are agreed with and funded by donors through a wide range of arrangements. Only comparatively small parts of the assessed contributions (the equivalent to core) to the budgets of the SAs/NRAs are used to fund projects, most of their field work is

funded from extra-budgetary²⁰⁶ contributions (or the equivalent of non-core funding). Some of the SAs have introduced or are introducing budgeting and programming models that are close to the models of the F&Ps (e.g. WHO and FAO) but without the need to obtain Governing Body approval. SAs/NRAs do not use CPDs and CPAPs for their accountability framework, but have in some cases have started to emulate AWP as part of their operational tools, however in relation to their corporate strategic objectives. Most of them have introduced country programmes or country strategies, as instruments leading to the UNDAF formulation or to orient their own activities. However, the frameworks for managing field activities of SAs/NRAs are projects or programme type formats; funding is negotiated with donors who decide on the thematic priorities for their funding (earmarking). Country-level offices of SAs are funded mainly from assessed contributions and their functions often are linked to the normative role of their agencies. They are usually smaller but are expanded to support projects/programmes funded from earmarked extra-budgetary contributions. In most cases country offices of SAs are significantly smaller than those of F&Ps and consequently delegated authorities are comparatively lower, as lower resources only allow smaller office establishments. NRAs provide technical support from regional or headquarters offices.

- Within the UNDAF, the programmes of F&Ps and SAs/NRAs were usually presented in one format, despite the different approaches and accountability frameworks, but without funding targets.
 - Resource mobilization by both F&Ps and SAs/NRAs for non-core and extra-budgetary activities would be managed by the respective headquarters, regional and/or field offices, which created at country-level an image of fragmentation in donor country offices.
 - Due to the relatively large share of F&Ps within the UNDAF with reasonably assured resources within in the entire UN country level funding pool, their corporate mandates would consequently be better reflected and be more dominant in the UNDAF than the mandates of other agencies with less assured resources. The content of the UNDAFs was therefore driven by the reasonably assured resources of F&Ps which would be those dedicated towards “social-agenda” issues. Needs and priorities in non-social and more “economic” sectors that are typically addressed by non-resident agencies and some of the Specialized Agencies would only be addressed if the UN agency concerned would manage to mobilize the required resources²⁰⁷. With the “graduation” of many LDCs to MIC status it becomes increasingly evident that the original UNDAF model that was driven by “assured resources” with focus on social agenda issues is not the appropriate instrument to deal with new emerging development issues in these MICs.
50. The concept of the One Programme, as interpreted in the eight pilots, tried to address these issues by strongly aligning itself to national priorities as well as by separating resource mobilization from the agency driven agendas and placing leadership for priority setting for country-level UN assistance in the hands of the recipient governments.
51. The UNDAF format prior to 2007 had inherent limitations as collective framework for the UNCT, as it was strongly linked to the available funding of the agencies involved with the UNDAF, not costed and linked to the national development plans only in those areas where funding was available. Even though the RC had an important role in leading the preparation of the UNDAF the RC would have no authority or decision power over its funding, as its content was essentially derived from agency specific programmes that were used for mobilizing the corresponding funding, the role of the RC in directing the content of the UNDAF was necessarily limited. This also explained the prevalence of F&Ps, and their mandated thematic areas, in “traditional” UNDAFs as SAs and NRAs would not have the same resource mobilization capacity as F&Ps. The original UNDAF was therefore too weak as an instrument and not suitable to foster genuine and larger-scale inter-agency cooperation at output

²⁰⁶ In order to simplify presentation, in this text “core” will be used synonymously with the term “assessed contributions”, and the term “non-core” as synonym for “extra-budgetary” funding.

²⁰⁷ Given the normative mandates of Specialized Agencies and Non-Resident Agencies, and their specific funding structure with focus on assessed contributions, only some of these agencies have resource mobilization strategies and dedicated resource mobilization capacities.

and outcome level at country level as cooperation of agencies with different funding models and administrative procedures and business processes usually translated into considerable transaction cost for all parties involved, i.e. the UN agencies and the national partners. The transaction cost for local donors would also increase due to local resource mobilization efforts by the members of the UNCT in support of their agency-specific outputs or/and outcomes.

52. The different approaches to resource mobilization required different approaches towards the preparation of the UNDAF:
 - Each of the agencies of the F&Ps would submit an agency-specific multi-year CPD to their respective board and obtain approval for the priorities and resource mobilization strategy established in that CPD, including the envisaged mix of core and non-core resources required for implementing that CPD. Core funding would usually be unearmarked, while non-core funding would often be earmarked by the donor. Nonetheless, with this model F&P would have a basis for preparing with the national government their contribution to the UNDAF covering a 4-5 year timeframe, and country level representatives would be required to raise envisaged but not yet confirmed resources locally from donors.
 - SAs and NRAs do not have these instruments, and are therefore less prepared, at the stage of preparing the UNDAF, to make commitments beyond those activities that are already on-going or for which funding has been secured or for which funding is very likely. Most SA and NRA initiate preparation of project documentation only once funding is secured, which puts them at a considerable disadvantage in the context of the preparation of an UNDAF.
53. Most of the F&Ps have country offices in the eight pilot countries and also the SAs are present with country offices in most but not all of the eight pilot countries. The NRAs participate at country level in some cases through national professional officers that are posted in the office of the RC. However, not in all cases they are allowed to participate in meetings of the UNCT that take place at agency head level. The ability to be present and to participate in the continuous country-level dialogue of the UNCT strongly impacts on an agency's capacity to contribute to the dialogue of the RC and the UNCT with the Government when the UNDAF is being shaped.
54. The role of NRAs role in the One Programme and share the One Fund was therefore defined by the capacity and willingness of individual NRA officers concerned, to engage with the Governments and UNCTs in a dialogue to ensure that their agency would be part of the UNCT dialogue with the Government when preparing the One Programme. In some cases, this engagement was very successful but also resulted in overstretching the resources of the NRA concern, with an impact on the delivery.
55. These different business models and approaches relating to resource mobilization and to participation in the thematic planning at country level are key drivers for the way how the different organizations and agencies participating in the UNCT operate and interact, and are also the cause for the dynamics which at country level result in the image of fragmentation and high transaction cost for their national and donor partners at national level. Moreover, these models may have had their justification when the organizations of the UN system could focus on their respective mandates and operate in parallel, but as soon as cross-cutting issues need to be addressed the result are unnecessary transaction costs for their partners which are difficult to justify.
- iii. The challenge of introducing new models in a real world environment
56. The concept of DaO with the One Programme, One Budgetary Framework and One Fund aimed at overcoming the issues described beforehand, by introducing new tools and instruments, such as :
 - The *One Programme* would at least be partly developed through a Joint Programming approach and would enable the UNCT working together in addressing outcomes either through joint programmes and operations, or through parallel but well coordinated and harmonized agency-specific programmes or projects.
 - The comprehensive *Common Budgetary Framework* covers the whole UNDAF cycle and consolidates the agreed costed results of the 'UNDAF Action Plan' in one financial framework, show-

ing each participating UN organization's planned input together with funding source - regular or other - as well as unfunded areas.

- The *One Fund* was a multi-donor trust fund, and administered by the Multi-Partner-Trust-Fund Office (MPTF-O) as Administrative Agent who is essentially accountable to the UN system albeit situated within UNDP. The One Fund served as a new funding channel for unearmarked and predictable funding in support of the "One Programmes". The "One Fund" was further strengthened through the Expanded funding Window (EFW) which was established at DOCO, with the MPTF-Office as Administrative Agent, essentially to close partially potential funding gaps between the requirements of the One Programme and the core and non-core resources available to the UNCT.

57. Most of the eight DaO pilot countries introduced these three instruments. As the pilot process started, in some countries the UNDAF cycle was on-going, and so these instruments were introduced only when the DaO modalities actually started for all or only part of the UN activities in the country. Some added a formalized Code of Conduct including rules for arbitration in case of disagreement in support of these instruments.
58. The funding modalities that existed prior to DaO, i.e. core funding and non-core funding continued also under the One Programme modality, and there is no evidence to show that their funding levels were negatively affected by the introduction by the One Fund, even though one agency considered that funding opportunities for its programmes were lost in some cases due to the requirement for "joint resource mobilization".
59. The Millennium Development Achievement Goal Fund (MDG-F), put in place by the Government of Spain, was an additional funding source that was established independently from the DaO process and was oriented to support integration at country level.

e) Funding sources available to the UNCT

60. Within the framework of the DaO pilot initiative, the UNCT had the following resources at its disposal, and depending on the source of funding, the nature of earmarking would vary. Only core funding would be fully unearmarked. With regard to the new funding modalities, earmarking would vary between thematic and geographic earmarking whereby the Expanded Funding Window came closest to the concept of non-earmarking. The One Fund already represented, de facto, geographic earmarking. The MDG-F is a separate category as it has strong thematic focus (MDG).
61. Only the One Fund and the Expanded Funding Window (EFW) are specific to the DaO pilot initiative:
 - The One Fund is a country-specific multi-partner trust fund²⁰⁸, set up by the Multi-Donor-Trust-Fund Office in UNDP upon request of the RC and the UNCT. The funding target is established through the One Programme and the Common Budgetary Framework, and corresponds to the unfunded part of the One Programme, i.e. the part that would not be covered by agency-specific resource mobilization. While the One Fund would be set up for each country and identifiable in the MPTF Office GATEWAY by its association to the country concerned, the actual use of resources are entirely within the responsibility of the governance mechanism established in each country for managing it. There would be no earmarking, and allocation of funds would be based on a process involving the Government and the RC/UNCT, and sometimes the donors concerned. Only in very few exceptional cases have donors done soft thematic earmarking.
 - The Expanded Funding Window (EFW) was established on the assumption that UN organizations would secure their core and earmarked non-core/extrabudgetary funding and only if there is a gap remaining, the EFW would intervene to cover part of the remaining funding gap. The EFW was thus designed as the funding of "last resort". RCs would request access to the EFW and UNDG regional teams would decide on their eligibility. An EFW Steering Committee would decide on allocation based on a set of criteria.

²⁰⁸ Albania One UN Coherence Fund, Cape Verde Transition Fund, Mozambique One UN Fund, Pakistan One Fund, Rwanda One UN Fund, Tanzania One UN Fund, Uruguay One UN Coherence Fund, Viet Nam One Plan Fund (OPF I & II)

- Both the country One Funds and the EFW are administered by the Multi-Donor-Trust-Fund Office in UNDP as Administrative Agent.

Table 8: Nature of earmarking in the UN system

Sources available to UNCT in DaO framework	Non-Core	Core
Headquarters mobilized	Geographic/thematic/organization earmarking	Entirely unearmarked
Field mobilized	Geographic/organization/thematic/programme/project earmarking	-
One Fund	Geographic earmarking to country and sometimes soft thematic earmarking	-
EFW	Geographic Earmarking to eligible countries based on criteria	-
MDG-F	Thematic earmarking based on criteria	-

62. Depending on the country situation, the original core and non-core were under the umbrella of the One Programme or not, but the One Fund was always under the umbrella of the One Programme and was the vehicle to implement it.

f) Parameters driving the design of the One Programme and the integration of the One Fund into the overall management structure of the RC and the UNCT

- i. different approaches in dealing with the ongoing UNDAF cycle
63. The Governments of the eight DaO pilot countries volunteered in 2006/2007 to pilot the DaO model without regard to the status of the UNDAF cycles in their countries. Depending on the status of the UNDAF (ongoing or under preparation), these countries chose different approaches to DaO which impacted on how the funding model and modalities were configured in each of the pilots.
64. Four models can be observed in the eight pilots during the pilot period with some variants in each model:
- Only one framework exists** as UNDAF and One Programme coincide and are identical. Three variants exist: (1) the UNDAF is operationalized through a Common Operational Document (or UNDAF Action Plan) which covers the entire range of UNDAF programmed activities (Rwanda); (2) the UNDAF cycle started and the One Programme, with new and broader scope, was prepared instead of the UNDAF (Uruguay), or (2) an ongoing UNDAF is completely absorbed into the One Programme which is broader in scope than the UNDAF (Albania, Cape Verde).
 - Two frameworks co-exist** as the ongoing UNDAF continues and is supplemented by the One Programme. In this model two variants exist: (1) the supplement is implemented as extension of the outcomes in the UNDAF, with focus on joint outcomes/joint programmes (Tanzania); (2) as new joint outcomes/joint programmes in addition to the UNDAF (Mozambique);
 - Two frameworks (UNDAF and One Programme) co-exist for a transitional period** and then a **full comprehensive One Programme** is prepared (Pakistan).
 - Only one framework exists** as the One Programme is prepared instead of the UNDAF but only for a limited group of agencies (Viet Nam: One Plan I) and which is then expanded to be more inclusive of more agencies into a second and more comprehensive One Programme (Viet Nam: One Plan II).
65. Towards the end of the pilot period (as of 2010-2011), most of these models and variants converged into a model that was based on the One Programme and the One Budgetary Framework, i.e. the One Programme in most countries is basically an UNDAF combined with an operational plan/action plan, which is also called UNDAF (United Nations Development Action Plan).

66. The models and variants impacted on the structures and processes that were established in each of the pilots to plan programmes, to mobilize resources and to allocate them to the different programmes and activities within the One Programme.

Table 9: Relationship between the One Programme and the UNDAF

Country	
The previous UNDAF was completed and the new UNDAF cycle coincided with the preparation of the One Programme	
One Programme = UNDAF	
Rwanda	<p>The One Programme coincided with the new UNDAF cycle and therefore the One Programme covers Core and non-core funding of, and is identical with the full UNDAF .</p> <p>Rwanda introduced the Common Operational Document (COD), which was the model for the system-wide Common Budgetary Framework model</p> <p>The COD covers the period 2008-2012</p>
Albania,	<p>The timeframes of the One Programme (2007-2011) and the UNDAF/CPD (2006-2010) overlapped, and preparation of the UNDAF converged into the One Programme, and as of 2007 only the One Programme is being used.</p> <p>Joint Programmes as implementation modality under the One Programme were both optional and mandatory: mandatory for MDG-F related programmes and optional for Coherence Fund related activities.</p> <p>For the new cycle 2012-2016, most of UN Programme Outputs require adoption of joint AWP which transforms them de facto into Joint Programmes, except for very few Outputs where only one UN agency is designated to deliver.</p>
At the beginning of the DaO process the country had already an approved and operational UNDAF	
One Programme represents only a part of existing UNDAF which then converge into One Programme	
Tanzania	<p>The launch of the DaO pilot coincided with the approved UNDAF (2007-2010).</p> <p>The period 2007-2008 was treated as a transition period.</p> <p>After 2008, the One UN Programme substituted the UNDAF.</p> <p>As of 2009 an UNDAF was prepared on basis of the One Programme</p> <p>The One Programme was supplementary to the ongoing UNDAF and focused on the implementation of Joint Programmes that were drawn from the approved UNDAF and operated in parallel to and were closely coordinated with the work in the UNDAF.</p> <p>The link between the One UN Programme and overall UNDAF implementation was established through agency specific and collaborative work.</p> <p>For 2011-2015, the UNCT prepared an United Nations Development Assistance Plan (UNDAF), which is all comprehensive and a single, coherent business plan for all UN Funds, Programmes and Agencies in Tanzania and fully aligned with the national priorities and the Government fiscal cycle.</p>
Mozambique	<p>The launch of the DaO pilot coincided with the approved UNDAF (2007-2009).</p> <p>The period initial 2007 to 2009 was treated as a transition period; the UNDAF was extended up to 2011,</p> <p>The One Programme (2007-2009) was treated as a sub-set of selected, strategic UNDAF outputs highlighting Joint Programmes.</p> <p>The One Programme expanded the coverage of the UNDAF and introduced an Economic Development pillar, aligned to the PRSP, in order to capture the normative and technical expertise of all specialized and non- resident agencies.</p> <p>In 2012 an entire new UNDAF has been approved, fully adhering to the One Programme and One Budgetary Framework model.</p>
Pakistan	<p>The launch of the DaO pilot coincided with the ongoing UNDAF (2004-2008).</p> <p>The outcomes agreed upon in the One Programme were in parallel to the priorities of the ongoing UNDAF.</p> <p>As of 2009 the UNDAF was replaced by the One UN Programme which would ultimately replace the UNDAF .</p> <p>There was a direct link between the One Programme and the overall UNDAF implementation, which continued through agency-specific and agency-collaborative work. The One Programme was extended until end-2012.</p> <p>Different to the other pilot countries, the launching of the One Programme was delayed up to 2009, due to a major humanitarian crisis that overshadowed the DaO initiative due to its size and complexity.</p>

Country	
The previous UNDAF was completed and the new UNDAF cycle coincided with the preparation of the One Programme	
Existing UNDAF frameworks are revised to make them more inclusive	
Cape Verde	<p>The timeframes of the One Programme (2008-2010) and the UNDAF (2006-2010) coincided.</p> <p>The One Programme signed in 2008 included, rearranged and expanded the UNDAF outputs and outcomes into new One Programme outputs and outcomes. The original UNDAF (2006-2012) was completely substituted by the One Programme absorbed it being much bigger than the UNDAF itself.</p> <p>All UN interventions in Cape Verde are under the One Programme. There is nothing outside of it.</p> <p>The One Programme was extended until 2011 in order to align with the national planning framework.</p> <p>For the new cycle 2012-2015, all UN activities will be under the One Programme.</p>
Uruguay	<p>The DaO initiative coincided with the approval of the UNDAF (2007-2010) and a One Programme was formulated instead, based on the model for the Common Budgetary Framework.</p> <p>The new UNDAF (or UNDAP) 2011-2015 is based on the Common Budgetary Framework.</p>
Two track formulation of the One Programme/ UNDAF	
Viet Nam	<p>The launch of the DaO initiative coincided with the preparation of the "One Plan" (2006-2010) and which was launched before the DaO initiative. The One Plan was to replace the UNDAF and but be limited to a selected group of agencies (Funds and Programmes).</p> <p>In 2007, this One Plan was renominated One Plan I, and a new One Plan II was formulated and which was based on the concept of the One Programme, i.e. including also of Specialized and Non-Resident Agencies.</p>

ii. Impact of the difference of the development status of the pilot countries

67. Another dimension that impacted the way the eight UNCTs changed to deal with the issue of resource mobilization and fund management related to the development level of the host country concerned, namely whether it was a Middle-Income-Country (MIC) or a Least Developed Country (LDC). This development status determined not only the country's access to ODA but also the level of resources that could be mobilized through the UN system to support development.
68. Five of the pilot countries were already in or about to reach MIC status (Albania, Cape Verde, Pakistan, Uruguay, Viet Nam). Three countries still fall into the LDC category (Mozambique, Rwanda and Tanzania). Three countries were special for different reasons: the Government of Viet Nam had launched a UN reform process at country level before the DaO initiative was launched and had spear-headed the way to innovative thinking in many respects. Cape Verde had volunteered to pilot the only "One Office" that has been requested in the TCPR. Pakistan was faced with a major humanitarian crisis during the pilot phase which explains the late start of the formalized DaO process in that country.
69. For those pilot countries with MIC status, the One Programme constituted a new possibility to mobilize additional resources to support development, which would not have been accessible without the One Programme. For the LDC countries, however, the additional resources that could be mobilized through the One Programme had less importance in view of the already large programmes of the UN system funded from traditional sources.

g. Common Budgetary Framework

i. Basic concept and structure

70. The basic assumption underpinning the Delivering as One concept was that the UNCTs would define the One Programme together with the Government in response to national needs. These identified needs would exceed the resources that the UNCT would mobilize using the traditional approach to "core" and "non-core" resources. The One Programme would thus be broader in scope than the previous UNDAF and thus also enable agencies with less or no resources to participate in the programming process.
71. The Common Budgetary Framework was introduced in 2007 as a concept to cover all funding sources for the UN system at country level, namely:

- core/assessed resources of UN organizations involved,
 - earmarked non-core/extra-budgetary resources from all sources—bilateral, multilateral and private, as well as
 - the funding gap between existing resources and the total cost of the UNDAF Action Plan.
72. The final format of a Common Budgetary Framework was inspired by the Common Operational Document developed in Rwanda, and formalized by UNDG in 2008. It is designed to cover the entire UNDAF cycle. It is a consolidated financial framework that shows costed results of the 'UNDAF Action Plan'. Each participating UN organization's planned inputs are shown together with the funding source - regular or other - as well as unfunded areas, in order to help in coordination of the diversity of funding sources and instruments, reduce overlap, and ensure that the programmatic initiatives and priorities of the UNDAF are adequately financed.
 73. Five countries explicitly report using the Common Budgetary Framework for the One Programme (Cape Verde, Mozambique, Pakistan, Rwanda and Uruguay). The funding gap articulated in the Common Budgetary Framework is the basis for joint efforts, under the leadership of the Resident Coordinator, to supplement agency based resources available for the implementation of the UNDAF priorities.
 74. Budget targets were established through a negotiated process, based on a programming exercise involving the Government as well as all UN agencies concerned, including the NRAs, and taking into account the resources available or predicted from Core and Non-Core. Depending on the nature of the programming exercise, namely whether it provided leeway for inclusion of economic assistance, the involvement of NRAs varied.
 75. In Tanzania, a different model was used: the resource requirements were split across the three available funding sources: core, non-core and the One Fund. The resource requirements only reflect core and non-core, and the One Fund is not used to fill a funding gap of the agency resources but is viewed rather as a funding modality in its own right²⁰⁹.
 - ii. Budget targets, funding gaps and actual resource mobilization
 76. Even though most of the UNCTs used the Common Budget Framework (CBF) as basis for their planning and resource mobilization for the One Programme and the One Fund, the documents available online differ substantially in presentation, timeframe and coverage. Some cover the entire One Programme including the Core and Non-Core while others only cover the incremental funding requirements arising from the One Programme that would be run in parallel to the UNDAF, and others prepare annual CBFs. The available Common Budgetary Frameworks available thus do not represent the total funding requirements of the UNCTs for the periods covered, but only that part that is subsumed under the definition of the One Programme by each of the UNCTs.
 77. The CBFs prepared by the UNCTs during the pilot period from 2007 to 2010 thus could not be used to provide the full funding requirements for the UN programmes in the eight pilot countries. Such comprehensive frameworks are, however, under preparation in all pilots for the new cycle and it is expected that the new CBFs will cover the totality of the funding requirements of the UNCTs concerned.
 78. Within the framework of requesting funding from the EFW, RCs/UNCTs would prepare annual estimates of funding requirements and submit them to EFW Secretariat, albeit not following a standard format. These "annual" Common Budgetary Frameworks follow the model already applicable for the F&Ps for their Annual Work Plans (AWP), with the difference that they now apply to the UNCT as a whole and not only individual agencies. This integration improves transparency and planning but for Specialized Agencies for whom the AWP is not standard this constitutes an additional instrument.

²⁰⁹ For example, under the UNDAF 2011-2015 (UNDAF = UNDAF Action Plan) the US\$ 773 million programme budget was split into 16% core, 56% non-core and 28% one fund.

79. The understanding of the “funding requirements” and the “funding gap” is not identical across the pilots, and differs according to the business models and the corporate funding strategies of the agencies concerned. All agencies continued to fund their agency specific programmes through their normal resource mobilization channels, both for core and non-core funding, but adapted their local resource mobilization to the conditions of the DaO. They would suspend local resource mobilization efforts, and the Resident Coordinator would be empowered to interact with local donors to mobilize resources to cover the “funding gap” for and on behalf of the UNCT. In practice, this process was managed through the processes established for managing the One Fund.
80. The “funding gap” could therefore be the result of
- genuine agency programmes that were already part of the UNDAF and for which the agency concerned did not expect that it would be able to mobilize all resources required through the normal agency resource mobilization channels (i.e. HQs concerned), or
 - incremental agency programmes that were identified within the process of the formulation of the One Programme and that would be in addition to the normal UNDAF programmes, or
 - incremental requirements resulting from Joint Programmes formulated in view of additional funding opportunities arising from the possibility of accessing the One Fund,
 - incremental requirements resulting from a One Programme and budgetary framework that would be managed as a framework separate from the UNDAF, or
 - the difference between the overall funding requirements that resulted from the formulation of the One Programme and the resources available to or expected to be available to the participating agencies through their normal resource mobilization channels.
81. Funding gaps could therefore be agency specific or related to Joint programmes, or to the overall One Programme. It is evident that the governance of the approval process of the One Programme as well as of the allocation of funds from the One Fund gained considerable importance, and therefore attention was paid by the UNCTs to agreeing on governance mechanisms, codes of conducts as well as fund allocation processes and criteria.
82. The fact that this innovative model for local resource mobilization on behalf of the UNCT gave additional responsibility, power and authority to the UN Resident Coordinator, who at the same time was also formally the UNDP Resident Representative (RR), intensified the interagency demand for a firewall between the functions of the RC and the UNDP RR. This was in the end addressed through the undg approved Management Accountability System (MAS)²¹⁰ which defined roles and responsibilities of all UN system actors at headquarters, regional and country level and also envisaged the creation of the function of the UNDP Country Director. The involvement of the Government also was therefore an essential condition for this process to be acceptable to the UNCT agencies in order to ensure, from the perspective of the members of the UNCT, that resource allocation by the RC would be in response to national priorities and not in response to agency specific characteristics.
83. The actual allocation of funds to F&Ps, SAs, and NRAs indicates that this process seems to have been performing reasonably well considering that it was highly innovative and the result of UNCT consultative processes.
84. There were, however, also issues observed in the process as:
- some local donors, despite officially agreeing to respecting the monopoly of the RC for local resource mobilization, would continue funding some agencies outside the One Fund mechanism; or
 - some agencies with high brand profile had to forgo earmarked resources that would have been made available by a local donor, but that due to the interagency agreement and code of conduct, would have had to be channelled through the One Fund and thus no longer available to that specific purpose (the donor then decided to transfer these funds to another country);

²¹⁰ The Management and Accountability System of the UN Development and Resident Coordinator System including the “functional firewall” for the RC System: <http://www.undg.org/docs/9424/Management-and-Accountability-system.pdf>

- not all donors agreed to adhere to the DaO process and continued funding agencies according to their established policies and priorities. However, this would normally be through the agencies' headquarters.

85. The following table compares the funding requirements as established by the UNCTs during the pilot process, as documented by the CBFs with the actually mobilized resources for the One Fund, including the EFW, as documented by the MPTF Office GATEWAY. This information indicates that the resource mobilization success rates differ substantially from one pilot to the other. The achievements in meeting the resource mobilization targets can only be attributed to the effectiveness of the UNCT concerned in working locally with their donor community concerned.

Table 10: Initial Common Budgetary Frameworks in the Eight Pilot Countries

Country	Source	Timeframe	Resource Requirements as per original CBF48				Resource 49 mobilization through the One UN Fund Cumulative as of 31 Dec 2011	
			Core	Received/ Pledged Non-Core	Total Requirements	Funding Gap	One UN Funds (All contributors)	of which from the EFW
ALB	CBF	2007-2010	10	54	82	18	25.6	3.6
CVI	OP- MBF	2009-2011		41	73	32	14.5	3.5
MOZ	OP Ext	2010-2011	115	77	391	199	68.1	35.0
PAK	BF OP	2009-2012	69	249	1,284	965	74.0	20.9
RWA	BF COD	2008-2012	155	177	488	155	69.1	35.3
TAN	BF 07-08 Annual One F '09-11	2007-06/2011	128	435	777	220	123.60	32.3
URU	BF	2007-2010	7	74	95	15	13.9	3.6
VIE	OPII B	2006-2010	59	91	288	138	95.4	18.1
Total all DaO Pilots							484,2	152,2

h) Country-level management of new funding modalities

- different oversight and management models for the One Programme and the One Fund

86. While all UNCTs used essentially the same concepts (One Programme, Common Budgetary Framework, One Fund) to implement "Delivering-as-One" modus, they used different strategies for the management of the resources mobilized within the framework of DaO and channelled through the One Fund. All UNCT experimented with different models and abandoned them if they found them too unwieldy and complex.

87. However, the following core elements were maintained:

- High-level Coordination and Steering Committees** are found in all pilots, usually chaired at Deputy Prime Minister or Minister level, and co-chaired by the UN Resident Coordinator. In some countries, the donors are members or observers in these committees. While the scope and mandates of these high-level committees vary, they all are responsible for determining the strategic positioning and priorities of the UN effort within the context of the national development of the country concerned, as well as oversight progress of resource mobilization and implementation.

- **Management committee** are composed of members of UNCTs and national representatives, with thematic focus, to oversee planning, implementation and allocation of resources from One Fund;
 - **UN Country Team Agencies** participate in operational planning and management of programmes, and resource allocation mechanisms, and are responsible for delivering the outputs and results to which they committed themselves in the One Programme.
 - **Resident Coordinator** is responsible for mobilizing resources for and managing the One Fund. In most cases, the RC also has the formal authority for the ultimate decision for fund allocation.
 - At the **operational level**, there are significant differences between the pilots. Some pilots elaborated intermediary structures which have been introduced between the highest level and the operational level, i.e. the UN Participating Agencies (e.g. Albania, Pakistan, Rwanda and Viet Nam). In other pilots, there are no intermediary committees or structures between the highest levels and the operational level (Cape Verde, Mozambique, Tanzania and Uruguay).
88. Two management approaches are observed for the programmes funded under the One Fund:
- Strategic and operational planning, oversight and monitoring at outcome level, using Programme Working Groups and Thematic Working Groups as management mechanism, leaving the operational responsibilities to the Participating Agencies; and
 - Planning and resource allocation at the output level, using Joint Programmes as management mechanism and accountability framework.
- ii. Strategies used by the UNCTs to use the additional resources mobilized through the One Fund
89. Funding through the country-level One Fund (including the EFW) supported activities programmed and managed through different mechanisms (i.e. Programme Working Groups that allocate funds directly to agencies or Joint Programmes with their own operational and accountability mechanisms). One country (Tanzania) used the concept of a Managing Agent (one of the Participating Agencies) to lead and coordinate the programmes but abandoned that concept at a later stage.
90. Joint Programmes (JPs) were required as the implementation modality for MDG-F funding, where it was accessible. Some UNCTs made JPs mandatory (Mozambique, Pakistan, Uruguay) for the use of resources from the One Fund, while other UNCTs had no such requirement (Albania, Cape Verde, Viet Nam). As a result, the number of JPs increased. Some JPs were put together for fundraising (i.e. retro-fitting) and were not the result of a joint programming process. Two UNCT moved away from JPs as major management instrument to Joint Programming across the sectors in the UNDAF (Rwanda and Tanzania), as it was found that as a modality they do not alone contribute to efficiency and effectiveness unless certain other conditions are met (e.g. cross cutting issue to be addressed, number of partners).

Table 11: Requirement for Joint Programmes in One Programmes

	Core Funding	Non CoreFunding	One Fund	EFW	Direct project funding
Albania	Optional	Optional/Mandatory	Optional/Mandatory	Optional/Mandatory	
Cape Verde	Optional	Optional	Optional	Optional	Optional
Mozambique	Optional	Optional	Mandatory	Mandatory	Optional
Pakistan	Optional	Optional	Mandatory	Mandatory	Optional
Rwanda	Rwanda's COD does not outline joint programmes as such, but have been developed on an annual basis and revised for following years, if need be.				
Tanzania	Joint Programmes no longer exist in Tanzania. The UNCT undertakes 'Joint Programming' across ten sectors listed in the UNDAF.				
Uruguay	Optional		Mandatory	Mandatory	Optional
Viet Nam	Optional	Optional	Optional	Optional	Optional

91. The difference in approach had implications for the overall management structure established to channel resources and monitor their use.
92. There are variations in the way the UNCTs organized sectoral or programmatic planning and operational oversight:
 - Most UNCTs established Programme Coordinating Groups or Thematic Working Groups that would formulate jointly the One Programme at outcome level along broad themes and manage resource allocation at outcome level. Programme implementation was then under the full responsibility of the Participating UN agencies following their own corporate procedures.
 - Another approach was to establish Joint Programme Coordination Committees (JPCC) and focus on the formulation of Joint Programmes. The JPCC would also closely monitor JP implementation and manage the application for resources to the One Fund.
 - There is a trend towards favouring the Programme Working Group approach with emphasis on Joint Programming and less emphasis on joint operations through Joint Programmes. Several UNCTs reported that Joint programming was more effective in promoting coherence than in implementing joint programmes.
- iii. Allocation criteria and effectiveness of the One Fund
93. UN Participating Agencies and non-UN entities with UN comparable financial regulations are eligible to resources under the One Fund.
94. All UNCTs had developed a process for allocating resources that would be mobilized through the One Fund and that would involve the Governance structure in a variety of ways. The allocation criteria and the allocation process were agreed by the UNCT and described in a variety of documents²¹¹ usually linked to the agreement that set up the One Fund. The main objective was to arrive at a fair and performance-based allocation of resources. All UNCT reported that they reviewed the resource allocation process and criteria after some experience to make it more effective. The allocation criteria focused, with variations, on (e.g. Albania, Cape Verde, and Mozambique):
 - Thematic delineation (relationship to MDGs, consistency with the goals of the UN system, consistency with national development policies, cross-cutting issues);
 - National capacity building;

²¹¹ Available in the MPTF Office GATEWAY .

- Operational readiness (organizations to have the operational and technical capacity to implement);
 - Consistency with the One Programme;
 - Cost effectiveness of the proposals submitted;
 - Performance of the Implementing Partner and Participating Agency.
95. Additional criteria that were also used included (e.g. Pakistan):
- The critical areas in the Joint Annual Work Plans (JAWPs), which are not funded by conventional earmarked funding/bilateral assistance;
 - Current national priorities and Joint Programme priorities agreed by the UN agencies and their respective line ministries;
 - Complementarity to other initiatives financed by the Government and/or other UN System Agencies;
 - Emphasis on enhanced inter-agency engagement in the proposed intervention;
 - Extent of mainstreaming of Cross Cutting Issues in the proposed intervention;
 - Use of national partners and national systems;
 - Sustainability;
 - Support to joint interventions.²¹²
96. The availability of funding brought different agencies together. The One Fund was an incentive for effective joint programming and the committee approach fostered a peer approach (i.e. peer review, quality control mechanism). Peer pressure and commitment from Joint Programme Lead Agencies encouraged timely submission of JP reports and created peer pressure among agencies for better performance. However, competition for resources was also present, with some agencies seeing the One Fund as a resource mobilization and fund-raising opportunity, which did not necessarily harness the jointness and coherence of the UN system.
97. UNCTs reported that joint planning, and agreeing on the allocation of One Fund was a new experience. In spite of common reporting guidelines, deadline delays were encountered, which resulted in lower delivery rates. Delays/difficulties were experienced particularly due to late transfers from the One Fund through the Participating Agencies' headquarters, and parallel funding in joint programmes/initiatives²¹³.
98. The most elaborative process has been established in Tanzania, whereby Funds allocation (and programme implementation) depends on the submission of a detailed one year plan²¹⁴ supplemented by desk reviews by an interagency Evaluation Team before a final funding decision is made. Weighted performance criteria are applied in two phases whereby 60% of these funds would be disbursed upfront; and the remaining 40% only to those Participating UN Organizations that have delivered at least 50% of the initial disbursement after 6 months. In practice, however, performance based al-

²¹² Like the DaO in general, the One Fund allocation process was learning by doing, i.e. several adjustments/improvements were made. The initially developed criteria for the One Fund allocation worked satisfactorily, particularly the 75%/25% guideline, but in 2010 an additional criteria was introduced to ensure that at least 80% of available One Fund resources are used for joint interventions and only 20% for individual agencies' activities

²¹³ However, working in Joint Programmes created some unexpected difficulties. Whenever Joint Programmes were implemented using a mix of agency-specific core/non-core resources and the One Fund, coordinated implementation of activities suffered when delays in the transfer of resources from the One Fund were encountered. Agencies that depended entirely on the One Fund for implementing activities would have to slow down/halt their activities until the funds were received. This phenomena was monitored by one UNCT and termed the "One Fund Dependency". It was caused by the delays that were experienced in the transfer of funds from some agency headquarters or that they had received from the Administrative Agent to their country level representatives. This had the effect that the agencies participating in such Joint Programmes were operating at different speeds; some agencies using their own resources in the event of delays in the fund transfer and some agencies being obliged to delay implementation until the arrival of the funds.

²¹⁴ Taking into account capacity, sequences activities, risk assessment risks, cash-flow projections etc..

location hit constraints as tools and methodologies to programmatically assess the Joint Programme performance did not exist. JP reviews and reports were produced, but critical assessment of the JP performance beyond self-assessment was not done systematically.

99. In all UNCTs, decisions on fund allocation were reached by consensus, and if that was not possible, established agreements stipulated that the RC would make the ultimate decision. This has happened in a few cases but was not the rule and was not experienced as an issue. An important role was given to the high-level oversight committees (e.g. the One Fund Steering Committee involving the Government and sometimes donors, etc.) that reviewed all fund allocation requests as submitted by UNCT. There were cases, however, when due to urgency of disbursing funds, decisions were made without a formal meeting but after prior consultation with the Government representatives.
100. The allocation mechanism developed for the One Fund was novel and a true experiment for all the participants involved. One UNCT noted that the approval process of the multi-tiered Joint Country Steering Committee has been experienced as time-consuming with delays of up to six months between submission to approval and significant delays in the receipt of the funding and its allocation. Problems encountered related to time-consuming endorsement processes by the Joint Steering Committee and competing priorities of the line ministries (present in the Steering Committee) for the unearmarked funds available/mobilized which led to protracted discussions and delayed decisions.
101. In particular when the One Fund was limited to supporting Joint Programmes, access of Specialized Agencies was constrained due to their specific funding structure and business models. They noted in their feedback to the evaluation:
 - Programme effectiveness and therefore impeded the delivery of results.
 - The funding predictability, the short-term delivery periods, the disbursement modalities (transfer to participating organizations) and the evaluation of performance delivery based essentially on financial expenditures of the One UN Fund resources threatened the continuity of activities and the quality of delivery by specialized agencies whose business model specificities were hardly considered during resource allocation.
 - Specialized agencies require for participation in Joint Programmes to have sufficient core and/or non-core resources (extra-budgetary funds) available upfront which is not always possible.
 - The leadership of governments in leading decision-making for an effective allocation of resources from the One Fund in line with national priorities is critical.
102. Due to the high transaction cost, resulting from the need for frequent coordination meetings during implementation of Joint Programmes, several UNCTs have argued for giving up joint implementation at the level of joint programme level, and are now emphasizing Joint Programming but with independent implementation without going through Joint Programme coordination mechanisms.
- iv. Efficiency of the resource transfer to the eight pilot countries
103. The fund flow for the One Fund at the global level was efficient, but in practice, operational obstacles and difficulties were encountered as funds did not in all cases reach the project implementation at the time when it was scheduled. The UNCTs reported that considerable delays were encountered and that in some cases, agencies had to use their own resources from their core resources to prevent field activities from having to be stopped due to lack of funding. The cause of delays has been identified at three levels:
 - The complexity of assessing cash requirements through the committee approach based on complex resource allocation criteria and processes resulted, in some cases, in delayed submission of funding authorizations to specific agencies and programmes through the AA.
 - In one case, the use of the national exchequer, in the spirit of use of national capacities, which resulted in considerable delays in the release of funds to national implementing partners.
 - The resource flow from the EFW was unpredictable as its replenishment was dependent on individual donor decisions.

104. Overall, US\$ 507 million have been deposited for the One Fund in the eight pilot countries, against a commitment of US\$ 584.6 million, including the EFW, from 2008 until the end of 2010. Seventy per cent of these deposits were mobilized through the efforts of the RCs, using the One Fund modality as the channel, and 30% came through the EFW. The share between One Fund and EFW varies significantly from country to country, and the cause for this may be seen in the very specific fund eligibility and allocation criteria for accessing resources of the EFW. The EFW was designed as a fund of “last resort” to help DaO pilots to partially meet the funding gap and to function as an incentive for local resource mobilization.
105. Of the funds actually transferred by end 2010²¹⁵ to the Participating Agencies, the report expenditure is 66% of the resources transferred. The expenditure rate varies considerably between the DaO pilot countries.

Table 12: Flow of Funds from the Administrative Agent to UN Participating Agencies

Flow of Funds from Administrative Agent to Agencies in US\$ Million (Deposits up to 2015) (2008—up to 2011)									
	ALB	CVI	MOZ	PAK	RWA	TAN	URU	VIE	Total
Total Commitments as at 2012	27.1	18.4	87.8	100.6	69.1	172.3	13.9	95.4	584.6
Total source of funds as of 2012, of which ⁵⁰	26,0	14,6	78,6	73,5	66,7	141,7	14,1	97,7	512,9
Deposits for One Fund	22,0	11,0	43,1	52,3	30,5	107,8	10,3	77,3	354,3
Deposits for EFW	3,6	3,5	35,0	20,9	35,3	32,3	3,6	18,1	152,2
Share of EFW in total One Funds in %	14%	24%	45%	28%	53%	24%	26%	19%	30%
Sources and Applications up to end 2011 ⁵¹									
Total source of funds end 2011	26,0	14,6	68,7	73,6	66,7	125,2	14,1	96,4	485,3
Total resources transferred to agencies ⁵²	22,3	13,7	59,0	63,6	47,1	103,9	12,2	93,8	415,6
Expenses reported by agencies	19,2	10,7	54,3	41,0	41,1	80,4	11,8	87,5	346,1
% of Transfers to Agencies	86%	78%	92%	64%	87%	77%	97%	93%	83%

106. At the beginning of 2012, the MPTF Office GATEWAY shows that four donors have multi-year commitments in support of country-level One Funds (excluding EFW), and so far only for four of the eight DaO pilot countries.

²¹⁵ Information for expenditure for 2011 will be available only mid 2012.

Table 13: Proportion of multi-year commitments in support of country-level One Funds

Funding commitment beyond 2011 (up to year)								
	ALB	CVI	MOZ	PAK	RWA	TAN	URU	VIE
Canada	-	-	2015	-	-	2015	-	-
United Kingdom	-	-	-	-	-	-	-	-
Netherlands	-	-	-	2012	-	-	-	-
Norway	-	-	-	2014		2014	-	-
Spain ⁵³	-	-	-	-	-	-	-	-
EFW	-	-	-	-	-	-	-	-
Luxemburg	-	2014	-	-	-		-	-
Finland	-	-	-	-	-	2012	-	-
Switzerland	-	-	-	-	-	2014	-	-

i. Funding architecture and global support mechanisms

i. Funding architecture of the One Funds

107. The funding mechanisms used to support the resource mobilization at country level were the One Funds, set up as Multi-Donor-Trust Funds by the UNDP Multi-Partner-Trust-Fund office (MPTF-O), also used tools developed through the undg consultative mechanisms. These mechanisms relied on models that were successfully used during various humanitarian assistance programmes, involving many UN agencies, as for instance the Iraq Oil-for-Food programmes.
108. The RCs and UNCTs would negotiate with local donor partners resources for the One Fund. Depending on the donor's policy, these funds would then be transferred by the donor country office or head-quarter office to the corresponding pooled fund. This scenario took place with the Albania One UN Coherence Fund and the Cape Verde Transition Fund.
- ii. Role of MPTF Office and DOCO
109. Two New York-based offices played a strategic role in supporting the new funding modalities, beyond their other functions, namely the MPTF office in UNDP and the EFW Secretariat in the UN Development Operations Coordination Office (DOCO).
110. The MPTF-Office is the Administrative Agent for all One Funds and the Expanded Funding Windows. It manages the accounts and report to the donors on the use of funds, and manages the MPTF Office GATEWAY that provides online information on all the MPTFs that it manages. This includes the MPTFs the One Funds for all those countries that are adopting DaO modalities without being formally part of the DaO pilot process (i.e. self-starters). The MPTF Office GATEWAY is the only location where consolidated financial and expenditure information on the One Funds and the EFW is available. It is the result of a undg coordinated effort to pool all financial information relating to the One Fund in one location, and is used by many UNCTs as source of information when preparing consolidated reporting on the use of resources of the One Fund. The GATEWAY also serves as repository for relevant documents, such as the One Programmes, Annual Progress Reports, Documents on Joint Programmes etc.. Expenditure information is updated when it is provided by the Participating Agencies through agreed data transfers; for 2011 delivery information will be available only as of April 2012. The GATEWAY also provides only cumulative information that can be drilled down to annual but not monthly information.
111. However, the GATEWAY does not cover activities outside the One Fund (including EFW). Preparation of basic financial data on programme activities beyond the One Fund and related operational support including human resources is dependent on the manual consolidation of agency reports that

need to be retrieved from each member of the UNCT. The absence of clear authority of the RC to demand such information from the members of the UNCT, as well as the absence of harmonized accountability definitions and terminology among agencies further exacerbates the complexity of management reporting of the UNCT as One, even within the DaO context. This has been a constraint in countries where the One Programme was operating in addition and in parallel to an UNDAF and where core resources constitute the bulk of UNCT operations.

112. The UN Development Operations Coordination Office (DOCO) has assumed the secretariat function for the Expanded Funding Window (EFW) which was established in 2008 as a special window to support among others the DaO pilot initiative with additional, un-earmarked and more predictable funding to fill funding gaps in the 'One UN Programmes'. Among others, the key principles of the EFW are that 80% of the available funding is allocated to low-income countries and 20 % to middle-income countries, that the EFW is a funding window of "last resort" for all eligible countries and that EFW funds are co-mingled with all resources received in a Country Fund and that they can be monitored only in conjunction and in overall context of development results achieved by countries. It is overseen by a unique structure involving key UN agencies and the donors, and involves in its management RCs and UNCTs as well as the Regional undg teams as well as the MPTF-Office as Administrative Agent.
113. As can be seen from the financial statistics, the role of the EFW has been essential in filling the funding gap in the One Funds, providing about a quarter of resources channelled to the One Funds. While the EFW is one of the few models of truly unearmarked and predictable funding, its future is uncertain for a variety of reasons:
 - Its donor base has not expanded from the original four donors who are also the most important donors of the One Fund at country level.
 - The requests for reports and for composite performance indicators took time to fulfil as such separate reporting was not envisaged in the original design of the EFW.
 - Overall funding climate is changing due to the economic crisis especially in some European countries.
114. There have been delays in the release of funds and major changes in payment schedules by the donor which caused delays in program implementation and fulfilment of commitments with counterparts at the country level (as envisaged in the Joint Annual Work Plans) with major repercussion on the actual work on the ground.
- iii. Management of the work of the UNCT as One
115. During the survey of UNCTs of the eight DaO pilot countries for this evaluation, it was observed that for some UNCTs/RCs it was difficult to produce consolidated information on the overall UN expenditure for development as well as for the human resources and related cost of the supporting country offices. Information was retrieved from the agencies of the UNCTs, ad hoc and not systematically, and partially not reliably or consistently. Also the reports of the Country-Led Evaluations are short of financial reports for the same reason.
116. This apparent difficulty for some of the RCs to collect basic management information is a major weakness for a concept like Delivering as One. Preparation of a "One Consolidated Management Report", covering all activities and presence of an entire UNCT as a whole, including those not covered by the One Fund, remains a major challenge. Monitoring the financial performance of the UNCTs is also very difficult at this stage. This issue may be addressed once the Common Budgetary Framework is fully rolled out and applied by the UNCTs, wherein they will follow the same standard. However, the absence of such consolidated management information makes tracking administrative and transaction costs very complicated, costly and challenging. The lack of adequate management information also weakens the capacity of the RC to perform the expected leadership role, including holding the UNCT accountable on results.

III. Lowering of transaction costs at country level through business process simplification and harmonization

a. Basic issues

117. While adhering to the basic principle that UN organizations are accountable to Governments of programme countries, members of the UNCT work in two accountability frameworks. Under the vertical accountability, the UNCT members are accountable to their own organizations for the use of resources entrusted to them and for results they agree to in organization-specific corporate planning processes. Within the framework of horizontal accountability, they are accountable to the UNCT and the RC for results that they agree to achieve within the framework of the UNDAF, or in the DaO pilot countries, within the framework of the One Programme and Common Budgetary Frameworks.
118. The work under the vertical accountability is governed by organization-specific rules and regulations, and supported by organization-specific ERPs²¹⁶, and each UN Country Representative has to abide by his/hers organization's accountability framework. Even though the UN system organizations operate on system-wide standards of international public institutions, there are variations between the various corporate rules and regulations, and ERPs that make working together at country level a complex undertaking. The introduction of IPSAS by most UN organization by 2012 will mark a major step in this direction²¹⁷.
119. The work under the horizontal accountability the UNCTs are expected to coordinate their work, and within the framework of the DaO also to work together, which is particularly relevant when dealing with cross-cutting issues or large-scale operations, the latter to benefit of economies of scale through joint procurement of supplies, goods or services. When several UN organizations operate on related thematic issues with the same implementing partner or donors, the necessity for these partners to deal with different organizations with different accountability frameworks (e.g. procurement and audit regulations, funding proposals and reporting formats) generates for them transaction costs that from their perspective could be avoided if the UNCT would operate and deliver as one.
120. One part of the DaO concept was the "One Office" that was meant to operate with a common set of procedures and processes which would allow for the reduction of administrative as well as transaction costs for the UNCTs, the national partners, and local donor community, when implementing UN development assistance.

b. Progress and Achievements²¹⁸

121. Simplification and harmonization of business processes has been very high on the agenda of the General Assembly and various General Assembly resolutions have stressed this priority, and the Secretary-General has reported on several occasions on progress in this respect. Various global initiatives are under way, under the leadership of the CEB and its HLCM, to resolve in particular systemic issues.
122. At country-level, most of the UNCTs, also outside the DaO pilot process have established Operations Management Teams (OMT) through which they try to address the issue of business process simplification and harmonization. Within the DaO process, the work of these OMTs has received

²¹⁶ Enterprise resource planning (ERP) systems integrate internal and external management information across an entire organization, embracing finance/accounting, manufacturing, sales and service, customer relationship management, etc. ERP systems automate this activity with an integrated software application. Their purpose is to facilitate the flow of information between all business functions inside the boundaries of the organization and manage the connections to outside stakeholders.

²¹⁷ International Public Sector Accounting Standards (IPSAS) are a set of accounting standards issued by the IPSAS Board for use by public sector entities around the world in the preparation of financial statements. These standards are based on International Financial Reporting Standards (IFRS) issued by the International Accounting Standards Board (IASB). See also JIU/REP/2010/6 "Preparedness Of United Nations System Organizations For The International Public Sector Accounting Standards."

²¹⁸ The Country Information Sheets report in detail for each country on what RCOs concerned reported on UNCT activities relating to business process simplification and harmonization, to the use of national systems, to the lowering of transaction cost and use of HACT.

particular support and attention, both in terms of resources as well as in terms of advice and attention from the various UN headquarters, but also specifically from the undg through Doco which supported change-management processes at country level with the support of external consulting teams and interagency working groups. Doco issued online tool kits (2008) and online guidance material for business process engineering (2011) to support UNCT led business process simplification and harmonization initiatives. To support these processes, the undg/HLCM conducted a joint mission (March-April 2010) to identify country-level bottlenecks relating to business practices where UNCTs could improve existing practices in the areas of human resources management, information and communication technology, finance and HACT, procurement and common services and common premises and that would not require major modification of corporate processes. The findings of the mission were subsequently mainstreamed at headquarters level in an CEB/HLCM work programme and are being followed up by a number of interagency working groups.

123. Within the framework of DaO, the additional resources and support from UNDP/DOCO encouraged the UNCTs concerned to search aggressively for solutions. Most of the UNCTs have come up with a set of solutions that will result in cost savings and improved efficiencies. At the same time, they were also faced with the reality of dependency on corporate processes (vertical accountability). While the UNCTs could register some achievements and results, they also encountered institutional limitations, as corporate processes depend on corporate accountability frameworks which can only be revised through corporate processes that in some cases require considerable resources (e.g. in case of ERPs), coordination (in interagency consultation mechanism), and in some cases involvement of their governance (i.e. member states sitting in the corresponding boards or governing bodies).
124. Most UNCTs in the DaO pilots made efforts, and were also successful, with varying degree, in simplifying/harmonizing business processes that did not require involvement of their corporate frameworks. They were less successful where corporate requirements were affected.
 - The first category concerns business processes/practices that do not depend, or only little, on corporate systems and rules and regulations of the agencies and organizations concerned and where gains could be made through combining the purchasing or negotiating power of the UNCT with regard to local suppliers, or by streamlining duplicate processes and thus potentially reducing transaction cost for partners.
 - The second category relates to business processes that are part of corporate ERPs and that are governed by corporate rules and regulations in the finance, human resources and procurement areas of the agencies and organizations concerned. Within the second category there are business processes where country offices have control over parts of the process management that has its limits due to the differences in the delegated authority among the members in the UNCT.
125. All the UNCTs made efforts to reduce transaction costs through business process harmonization but mainly with focus on locally-managed processes and taking advantage of collective negotiating and bargaining power of a united team working with local suppliers of goods and services²¹⁹. In particular those UNCTs that had access to additional resources, drawing on the One Fund or through additional human resources obtained through specific donor support, would launch systematic change-management processes and/or conduct feasibility studies on ICT and procurement reform. Subsequently, a wealth of material has been generated. After initially complex, intense and time-consuming work in interagency working groups, most of the UNCTs identified and realized cost savings in two areas, namely the programme and One Fund Management and administrative business processes.
126. In the programme and One Fund area, the achievements are mixed as new instruments were introduced but were not matched by the elimination of subsequently redundant business practices. A case of point is the introduction of a Common Country Programme Document for the F&Ps that reduced agency-specific workload for the preparation of agency-specific CPAPs that were no longer prepared, as all Outcomes and Outputs were defined in the One Programme. However, the achievements in cost reduction within the UNCT through preparation of the Common Country Programme

²¹⁹ This was also one of the recommendations of the joint undg/HLCM mission in 2010 and classified as “low hanging fruits”.

Documents were annulled, as the Executive Boards of Funds and Programmes concerned continued requesting the submission of Agency-specific annual reports. This request created double reporting in those cases.

127. In addition, the centralization of the One Fund management at RC/UNCT level is seen in having resulted in streamlining of funding and reporting processes and reductions in transaction costs for the agencies concerned. In particular, the leadership role of the RC in the resource mobilization process—on behalf of the UNCT—replaced the Agency-based fund raising which resulted in a reduction of overall transaction costs, both for Agencies as well as for donors that are no longer approached bilaterally by multiple Agencies seeking funding. The reduction in transaction costs of fund management for UN Agencies was mirrored by an increase in workload for the RC and the RCO.
128. With regards to the administrative area, the most important achievements were made in those areas where working together meant that the negotiation and purchasing power of the UNCT increased. The result was lower prices and improved quality in goods and services. A key instrument for achieving this was the introduction of Long Term Agreements (LTAs) with local suppliers to bundle the purchasing power of the UNCT for local procurement and obtain lower rates and improved quality services.
129. Other innovations in the area of business practice simplification and harmonization to improve the performance and effectiveness of the UNCT included working on:
 - Common ICT networks that improve overall effectiveness and efficiency;
 - Common staff induction programmes for all staff of the UNCT agencies which increases the effectiveness of staff;
 - Common web-based human resources portals which reduces recruitment cost per vacant post;
 - Common procedures on the selection of human resources and procurement of goods and services for joint programmes, including selection panels for human resources that include national counterparts, the Government, participating UN Agencies and the RC Office) result in streamlined and less costly processes;
 - Agreement on common conditions for locally contracting human resources, covering salary scale, holiday etc., while not affecting specific rules and procedures of the contracting UN Agency;
 - Cost reductions in the management of financing agreements, as only one document for each donor needed to be signed for setting up the One Fund.
130. Specifically noteworthy, and what could serve as a model, are the achievements in Viet Nam, where the Government and the UNCT agreed on a framework that governs all operational aspects of their interaction. This framework also provides clear and transparent guidance to national implementing partners and UNCTs on procedures for the procurement of inputs and services, including reimbursement of travel expenses (see box below).

