Términos de Referencia
Contratación de Consultor/a Individual
"Elaboración del Análisis Común de País (CCA, por sus siglas en inglés)"

A. Título del Proyecto:

Apoyo a la Oficina de la Coordinadora Residente (OCR)

B. Descripción del proyecto:

Aproximadamente cada cinco años, el Sistema de Naciones Unidas (SNU) en Guatemala realiza su programación conjunta que comprende realizar el Análisis Común de País (conocido como CCA por sus siglas en inglés) y el Marco de Asistencia de Naciones Unidas para el Desarrollo (conocido como UNDAF por sus siglas en inglés).

Durante el 2018, el SNU iniciará el proceso programación conjunta para el período 2020-2024. El CCA es el proceso de análisis independiente del SNU, basado en el mandato de articulación con el contexto del país, oportunidades y retos. Abarca el desarrollo sostenible, derechos humanos, igualdad de género, paz y seguridad y la perspectiva Humanitaria, de esta forma contribuye a la identificación de objetivos y prioridades dentro del UNDAF, el cual describe la respuesta colectiva del SNU a las prioridades nacionales de desarrollo en Guatemala. Estos instrumentos de programación deben reflejar la Agenda 2030 y al Plan Nacional para el Desarrollo.

Un buen análisis del SNU, permitirá la identificación de áreas donde el país tiene brechas en alcanzar metas acordadas internacionalmente y en su armonización a normas y estándares internacionales. El CCA también permite al SNU identificar y validar sus ventajas comparativas con sus socios en el desarrollo, para apoyar al país a reducir las brechas en aquellas áreas que este mejor posicionado para hacerlo; y fortalece las capacidades analíticas del SNU.

El Análisis Común de País alimenta la fase de planificación estratégica del UNDAF, por lo tanto, los resultados de este análisis deben estar disponibles para el desarrollo de la Visión 2030 del SNU. Ambos documentos, CCA y Visión 2030, contribuirán al desarrollo de la Teoría de Cambio del UNDAF y posteriormente, a la elaboración de su matriz de resultados.

C. Alcance del Trabajo:

Objetivo de la consultoría: Elaborar el documento final de Análisis Común de País (CCA) del SNU, integrando los insumos que generen 5 grupos de trabajo intera-genciales del SNU, resultado de una revisión de documentos seleccionados, observando los criterios de calidad requeridos por el PSG, que incluye entre otros, la inclusión de cuatro principios claves: (1) No dejar a nadie atrás, (2) Derechos Humanos, Igualdad de Género y Empoderamiento de la Mujer, (3) Sostenibilidad y resiliencia, y (4) Rendición de cuentas.

Alcance: El proceso de elaboración del CCA se realizará en varias etapas, con distintos niveles de toma de decisiones. Está bajo la responsabilidad y el liderazgo de la Coordinadora Residente y UNCT, con el apoyo y asesoría técnica de todas las Agencias, fondos y programas que integran el SNU en Guatemala (20 en total), la organización es la siguiente:

1. Equipo de País de las Naciones Unidas (conocido como UNCT, por sus siglas en inglés). Espacio integrado por todos los representantes de las agencias, fondos y programas del SNU, y la Coordinadora Residente, quien lo preside, en donde se toman las decisiones finales sobre el CCA.

2. Grupo de trabajo del CCA, integrado por la Coordinadora Residente, las Oficiales de Coordinación y de M&E de la Oficina de la Coordinadora Residente, 5 representantes de las siguientes agencias: PNUD, ONU Mujeres, UNFPA, UNICEF, y OPS/OMS, con sus puntos focales respectivos.

3. Cinco Grupos temáticos inter-agenciales, organizados para el proceso CCA, integrados por representantes y personal técnico, agrupados por áreas temáticas, identificadas para realizar el CCA, de acuerdo con sus mandatos y trabajo en el país.

Las grandes temáticas seleccionadas para hacer el CCA son las siguientes:

1. Pobreza y empleo / trabajo
2. Vulnerabilidad a choques ambientales y económicos.
3. Nutrición, seguridad alimentaria
4. Salud
5. Educación
6. Violencia
7. Acceso a justicia
8. Gobernabilidad / participación política y social
9. Migración

Los grupos inter-agenciales organizados para realizar el análisis son los siguientes:

#	Grupo Inter-agencial (GTI) responsable	Temática por analizar
1.	Desarrollo Sostenible (GTI DIS)	1. Pobreza y empleo / Trabajo según ODS1 Y 8 2. Vulnerabilidad a choques ambientales y económicos.
2.	Desarrollo Social (GTI DS)	3. Nutrición ODS2 4. Salud ODS3 5. Educación ODS4
3.	Seguridad y Justicia (GTI SyJ)	6. Violencia ODS16 7. Acceso a Justicia ODS16
4.	Grupo Gobernabilidad (liderado por OCR y PNUD)	8. Gobernabilidad / participación política y social ODS16

5.	Grupo Especializado de Migración	9. Migración

Cada grupo realizará el análisis, con enfoque de derechos humanos y de género, sobre la(s) temática(s) asignada(s), entregarán cinco páginas por cada tema, resumiendo los resultados del análisis, que contenga por lo menos: i) descripción del proceso seguido para realizar el análisis; ii) Identificación de los problemas mediante la revisión de documentos iii) Análisis de los problemas (1 a 2) identificados por cada temática, que cumpla los requerimientos corporativos de análisis; y iv) Fuentes consultadas.

El/la consultor/a contratado/a revisará los análisis, organizará la información e integrará los análisis que brindarán los distintos grupos inter-agenciales, enriquecerá el análisis, según sea necesario, a través de consultas con actores claves, facilitará la priorización de los problemas por el UNCT (5 como máximo) y redactará el documento final de CCA, observando el enfoque y lenguaje de derechos humanos y de género.

Se contará como insumo, con un análisis de conflictividad, de género, una priorización de las principales recomendaciones de Derechos Humanos y el análisis de Pueblos Indígenas. Estas perspectivas analíticas serán insumos para los grupos inter-agenciales, quienes las integrarán en los análisis y el/la consultor/a asegurará que son incluidos en el análisis final.

Tareas: Las principales tareas que realizará el/la consultor/a:

1. Revisión, organización, e integración de los análisis realizados por los Grupos Inter-agenciales, en un análisis común de país del SNU con enfoque de derechos humanos y de género.
2. Facilitación de un taller con el UNCT para identificar de 3 a 5 problemas prioritarios, tomando en cuenta las ventajas comparativas del SNU en Guatemala.
3. Entrevistas a profundidad con informantes claves definidos junto con el SNU.
4. Redactar el primer borrador del CCA.
5. Facilitación de una reunión entre UNCT y Segeplán para presentar los elementos más importantes del CCA.
6. Integrar las observaciones del SNU y aquellas del Gobierno que se consideren pertinentes al documento final de CCA.

D. Productos esperados y entregables

Los productos por entregar al finalizar esta consultoría son los siguientes:

1. Plan de trabajo que integre las actividades, cronograma y metodología de la consultoría.

2. Borrador del documento del Análisis Común de País, que contenga las siguientes secciones:

   o **Sección 1: Introducción**, explica el proceso de preparación, alcance, acciones que aseguraron la consulta de varias fuentes de información, valor agregado del CCA.

- o **Sección 2: Análisis**,
  - Análisis de la situación de país
  - Áreas donde hay más dificultades y análisis más profundo
  - Análisis de problemas y desafíos/análisis de causalidad (árbol de problemas)
  - Identificación de titulares de derechos y portadores de obligaciones
  - Ventajas comparativas del SNU en Guatemala

- o **Sección 3: Problemas prioritarios de desarrollo e identificación de áreas programáticas.**

- o **Anexos:**
  - Sistematización del Taller con UNCT.
  - Sistematización de entrevistas con informantes claves.
  - Sistematización de la reunión UNCT-Segeplán.

3. Documento final de Análisis Común de País que incluya las observaciones realizadas por el SNU.

#	Entregables/Productos	Tiempo estimado para completar la tarea	Revisión y Aprobación requerida
1.	Plan de trabajo que incluya las actividades, cronograma y metodología.	5 días calendario después de firmado el contrato	Aprobación de la CR, con insumos del UNCT, de la Oficina de la Coordinadora Residente, y del Grupo Técnico del CCA.
2.	Borrador del Documento de CCA.	24 días calendario después de aprobado el plan de trabajo.	Aprobación de la CR, con insumos del UNCT, Oficial de Coordinación de la Oficina de la Coordinadora Residente, y del Grupo Técnico del CCA.
5.	Documento final de CCA	15 días calendario después de recibir observaciones al borrador	Aprobación de la CR, con insumos del UNCT, Oficial de Coordinación de la Oficina de la Coordinadora Residente, y del Grupo Técnico del CCA.

Nota: Si el día que vence el plazo es un día inhábil, se avanza enviando el producto por vía electrónica y se entrega físicamente el siguiente día hábil.

E. **Acuerdos Institucionales:**

La Oficina de la Coordinadora Residente es la supervisora directa de la consultoría, a través de la Oficial de Coordinación, con quien se mantendrá la comunicación y retroalimentación al proceso de la consultoría.

Los productos serán revisados por el Grupo Técnico del CCA, el cual brindará insumos para la mejora y la aprobación de los productos.

La OCR revisará y aprobará los productos presentados por el/la consultor/a, tomando en cuenta las observaciones del Grupo Técnico del CCA y del UNCT. Asimismo, proveerá los fondos necesarios para la realización de la consultoría.

F. Duración del Trabajo:

Se estima una duración de 8 semanas.

G. Lugar de destino:

La presencia en las oficinas del SNU será ocasionalmente requerida para reuniones de consulta o chequeo del progreso de la consultoría, las cuales podrán realizare vía Skype o presenciales, de común acuerdo entre las partes.

El consultor deberá definir los tiempos efectivos para reuniones con el UNCT, Equipo Técnico del CCA, con los grupos inter-agenciales que realizaron el análisis preliminar, y otros actores claves como SEGEPLAN , para cumplimiento de lo requerido en el inciso c: "Alcance del trabajo", tareas.

H. Calificaciones del/a consultor/a individual:
- Licenciatura en Ciencias Sociales, Antropología, Economía u otras carreras afines al desarrollo.
- Título de maestría deseable.
- Conocimiento y experiencia en Gestión Basado en Resultados, integración del enfoque de derechos y/o de género, aplicado en al menos 5 documentos programáticos.
- Experiencia de 8 años en elaboración de diagnósticos y trabajo de análisis prospectivo, de país y del desarrollo humano con enfoque de derechos humanos y género.
- Experiencia en por lo menos haber realizado 10 procesos de análisis y/o consultas participativas con diversidad temática.
- Experiencia de al menos de 5 años en metodologías, herramientas, y análisis de procesos de investigación, principalmente cualitativa.
- Experiencia de trabajo de al menos 5 años en temas del desarrollo, con enfoque basado en derechos humanos.
- Conocer los marcos de programación de Naciones Unidas en el país (UNDAF y Programas de País)

I. Alcance de la Propuesta Financiera y Cronograma de Pagos:

La consultoría se pagará por "Suma Global", es decir "todo incluido" [1] El precio del contrato es fijo, independientemente de los cambios en los componentes de los costos.

Los pagos se realizarán dentro de los quince (15) días calendario después de recibir la factura y la aceptación a entera satisfacción de los productos de la consultoría por parte del Oficial de Coordinación de la Oficina de la Coordinadora Residente:

La forma de pago será la siguiente:

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[1] El término "todo incluido" implica que todos los costos (honorarios profesionales, costos de viaje, gastos de estadía, comunicaciones, consumibles, impuestos etc.) en los cuales podría incurrir el/la Consultor/a, ya se encuentran incluidos dentro del monto total remitido en la propuesta.

- 20% del total de la consultoría, contra la recepción impresa y electrónica a entera satisfacción del producto 1.
- 30% del total de la consultoría, contra la recepción impresa y electrónica a entera satisfacción del producto 2.
- 50% del total de la consultoría, contra la recepción impresa y electrónica a entera satisfacción y aprobación final del producto 4. *

*El último pago está sujeto a la presentación de la evaluación del/a consultor/a por el supervisor.

Una vez aceptado y validado cada producto en su versión final, habiendo incorporado todas las revisiones requeridas, se solicitará al Consultor/a que presente la factura correspondiente al porcentaje de pago del producto entregado, la cual deberá ser emitida en Quetzales a nombre de:

•Programa de las Naciones Unidas para el Desarrollo
•NIT 312583-1
•Dirección Fiscal: 5ª. Av. 5-55 Zona 14. Europlaza Torre IV Nivel 10.
•Descripción: "Pago correspondiente al producto No. _x_, según contrato No. _x_ por los servicios de consultoría para "xxx".

Deberá asegurarse que la factura a presentar esté vigente.

Cuando aplique, se emitirá exención de IVA. El PNUD no es agente retenedor de impuestos, por lo que el/la consultor/a deberá proceder conforme la legislación tributaria que le aplique para el pago de Impuestos sobre la Renta (ISR) y otros que le correspondan según su inscripción en el Registro Tributario Unificado (RTU).

Consultor/a deberá prever si de ser adjudicado con base a su oferta económica, le implicaría cambio de su régimen tributario, ya que ni el contrato ni el monto de la oferta serán modificados como consecuencia de dicho cambio.

Si durante la ejecución contractual el/la Consultor /a modifica su régimen tributario, lo informará por escrito al Contratante y remitirá copia del RTU actualizado con dicha modificación. El Contratante internamente adecuará el instrumento financiero para la emisión de pagos según corresponda (Pequeños Contribuyentes se paga 100% del monto contratado y para cualquier otro régimen se descontará al pago el Impuesto al Valor Agregado y se entregará una exención por el equivalente a dicho impuesto).

Los pagos a consultores/as ubicados/as en un país distinto al del PNUD, se efectuarán en Dólares de los Estados Unidos de América y se realizará por medio de transferencia bancaria. El costo de la transferencia será deducido del pago ya que es responsabilidad del contratista cubrirlo.

J. Recomendaciones para la Presentación de la Oferta:

Las personas interesadas deberán presentar la siguiente papelería, en orden:

- Carta debidamente presentada y firmada de la Confirmación de interés y disponibilidad utilizando el modelo proporcionado por el Programa de las Naciones Unidas para el Desarrollo.

- Currículo Vitae detallado indicando toda la experiencia pasada de proyectos similares, así como los datos de contacto (correo electrónico y número de teléfono) del candidato, por lo menos presentar tres referencias profesionales localizables.
- Los siguientes anexos:
  - Copia del título académico mínimo a nivel de Licenciatura según los requisitos del perfil para la consultoría y de haber cursado estudios de postgrado, adjuntar la copia del título académico correspondiente.
  - Copia del documento de identificación.
  - Documentación o recomendaciones de soporte de consultorías previas.
  - Indicar el Número de identificación tributaria y el régimen en el que está inscrito, en caso sea consultor guatemalteco.

- Breve descripción de por qué se considera que el/la es el o la más adecuada para el trabajo.
- Una propuesta técnica que evidencie el enfoque para abordar la presente consultoría y la metodología propuesta sobre cómo va a elaborar y complementar la consultoría. Es decir que debe presentar la propuesta técnica para el cumplimiento de la consultoría que describa los elementos técnicos y operativos para el desarrollo de esta. Así como la metodología que se utilizará y el cronograma de trabajo.
- Propuesta Financiera que indique el precio fijo total del contrato, todo incluido, sustentado con un desglose de los gastos, en lo que proceda. El Oferente deberá indicar en este punto, y asegurarse que todos los gastos se encuentren debidamente incorporados en la propuesta financiera presentada al PNUD.
- Formulario Vendor completo y firmado, así como la información bancaria conforme requerido en el formulario para realizar transferencias internacionales o en el caso de banco domiciliados en Guatemala copia de estado de cuenta (encabezado que contenga nombre de la cuenta y número de la cuenta bancaria).

Entrega de Ofertas por mano (sobre debidamente identificado con el nombre del/la consultor/a y el número de proceso) o por correo electrónico, dirigido a:

Programa de las Naciones Unidas para el Desarrollo (PNUD)
Unidad de Adquisiciones
Proceso: (CI) - 51853-1864/18
Edificio Euro Plaza World Business Center
5ª Avenida 5-55 Zona 14, Torre IV, Nivel 10
Ciudad de Guatemala, Guatemala 01014
procurement.gt@undp.org

K. Criterios para la selección de la mejor oferta.

Los criterios de selección a partir del método de puntuación combinada: las calificaciones y la metodología se ponderarán con un máximo de 70% combinándose con la oferta financiera, la que se ponderará con un máximo de 30%. Adjudicándose al puntaje combinado más alto.

A continuación, todos los criterios que servirán de base para la evaluación de las ofertas:

a) Evaluación Preliminar, se evaluará si el/la consultora cumple con los requisitos mínimos requeridos e incluyó dentro de su propuesta, todos los documentos solicitados que le permitan al Comité de Evaluación realizar la evaluación.

b) Evaluación de las calificaciones del consultor/a y de Propuesta Técnica (70% de la evaluación), en donde con base a la documentación presentada y utilizado los criterios de evaluación que se muestran en el siguiente cuadro, se otorgarán los puntajes respectivos.

c) Evaluación de propuestas económicas, únicamente los contratistas que logren o superen el puntaje ponderado de 70 puntos en la etapa de evaluación de las calificaciones del/a consultor/a y propuesta técnica competirán en base a sus propuestas económicas, ponderadas con un máximo de 30%.

No.	Categoría por Evaluar	Puntaje	
		Máximo	**Acumulado**
1.	**Calificaciones del/a Consultor/a**		**40**
	Formación académica		
1.1	Licenciatura en Ciencias Sociales, Antropología, Economía u otras carreras afines al desarrollo.	Requerimiento obligatorio Cumple/no cumple	
1.2.	Título de Maestría deseable	**5**	
1.3.	Conocimiento y experiencia en Gestión Basado en Resultados	**5**	
	5 documentos programáticos	2	
	6 o más documentos programáticos	5	
	Experiencia	20	
1.4.	Experiencia de 8 años en elaboración de diagnósticos y trabajo de análisis prospectivo y del desarrollo humano, con enfoque de derechos humano y género	**10**	
	8 años de experiencia	07	
	9 años o más de experiencia	10	
1.5.	Experiencia en por lo menos de haber realizado 10 procesos de análisis y/o consultas participativas con diversidad temática.	**5**	
	10 procesos de análisis y/o consultas.	3	
	11 procesos o más procesos de análisis y/o consultas.	5	
1.6.	Experiencia de al menos de 5 años en metodologías, herramientas, y análisis de procesos de investigación, principalmente cualitativa.	**5**	
	5 años de experiencia	3	
	6 o más años de experiencia	5	

No.	Categoría por Evaluar	Puntaje	
		Máximo	**Acumulado**
1.7	Experiencia de trabajo de al menos 5 años en temas del desarrollo, con enfoque basado en derechos humanos.	**5**	
	5 años de experiencia	3	
	6 o más años de experiencia	5	
1.8	Conocer los marcos de programación de Naciones Unidas en el país (UNDAF y Programas de País)	**5**	
	No conoce	0	
	Sí conoce	5	
2.	**Propuesta técnica**		**60**
2.1	**La propuesta técnica incluye un enfoque innovador para realizar la consultoría**	**15**	
	No lo incluye	0	
	Parcialmente lo incluye	10	
	Si lo incluye	15	
2.2	**Describe una metodología clara para completar la consultoría**	**15**	
	No la describe	0	
	Parcialmente la describe	10	
	Si la describe	15	
2.3	**Menciona y describe instrumentos de cómo recolectar y analizar información**	**15**	
	No los menciona y los describe	0	
	Parcialmente los menciona y los describe	10	
	Si los menciona y los describe	15	
2.4	**Incluye un cronograma con actividades que contribuyen al logro de los productos y con uso óptimo del tiempo.**	**15**	

No.	Categoría por Evaluar	Puntaje	
		Máximo	**Acumulado**
	No incluye cronograma	0	
	Incluye un cronograma con elementos parciales	10	
	Incluye un cronograma completo	15	
	Total	100	

L. Consultas y Aclaraciones

Los oferentes interesados podrán remitir consultas al PNUD a la 5ª. Avenida 5-55 zona 14, Edificio Europlaza, Torre 4, Nivel 10; al correo procurement.gt@undp.org o al fax 2384-3202, a más tardar el 12 de septiembre de 2018, las cuales se responderán a más tardar el 17 de septiembre de 2018.

Cualquier retraso en la respuesta del PNUD no podrá ser motivo para ampliar el plazo de presentación, a menos que el PNUD decida que estima necesaria dicha ampliación y comunique un nuevo plazo límite a los solicitantes.

Las ofertas presentadas por correo electrónico estarán limitadas a un máximo de ocho (8) MB por correo. Los archivos estarán libres de cualquier tipo de virus o daño; si no es así, serán rechazados.

Será su responsabilidad asegurarse de que su propuesta llega a la dirección antes mencionada en o antes de la fecha y hora límite. Las ofertas que se reciban en el PNUD después del plazo indicado, por cualquier razón, no se tomarán en consideración a efectos de evaluación. Si usted envía su oferta por correo electrónico, le rogamos se asegure de que está firmada y en formato pdf y libre de cualquier virus o archivo dañado.

Anexos:

1. Guías para elaborar el UNDAF y sus guías de acompañamiento, que incluyen entre otras:
2. Guía para elaborar el CCA
3. Guía para elaborar la Visión 2030 del SNU.

Declaro de conformidad que todos los términos de referencia sostenidos han sido comprendidos perfectamente, que serán sostenidos y cumplidos ante el Contratante, en caso de ser adjudicado/da.

Nombre de Oferente:_____

Firma:_____Fecha:_____

UNITED NATIONS DEVELOPMENT ASSISTANCE FRAMEWORK
GUIDANCE

UNITED NATIONS DEVELOPMENT GROUP

The United Nations Development Group (UNDG) unites the 32 UN funds, programmes, specialized agencies, departments, and offices that play a role in development. The UN Development Operations Coordination Office is the secretariat of the UNDG, bringing together the UN development system to promote change and innovation to deliver together on sustainable development.

CONTENTS

DEFINITIONS

Vulnerable groups

This refers to categories of persons affected by inequalities and discrimination, and is understood to include: children and adolescents, human rights defenders, indigenous peoples, internally displaced persons, refugees, migrants, minorities, peasants, persons deprived of liberty, persons of African descent, persons with albinism, persons with disabilities, persons with HIV/AIDS, stateless persons, the poor, union leaders, survivors of trafficking, women, youth, and other groups of persons identified by UN human rights norms and principles.

United Nations

This refers to all UN entities contributing to operational activities for development in a country.

ACRONYMS

BOS	Business Operations Strategy
CBF	Common Budgetary Framework
CCA	Common Country Analysis
CEB	United Nations Chief Executives Board for Coordination
GDP	Gross domestic product
HRP	Humanitarian Response Plan
ISF	Integrated Strategic Framework
MAS	Management and Accountability System
MAPS	Mainstreaming, Acceleration and Policy Support
M&E	Monitoring and evaluation
OMT	Operations Management Team
RBM	Results-based management
RRP	Refugee Response Plan
SDGs	Sustainable Development Goals
SOPs	Standard Operating Procedures
UN	United Nations
UNCT	United Nations Country Team
UNCG	United Nations Communications Group
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDS	United Nations Development System
UNHCR	United Nations High Commissioner for Refugees

INTRODUCTION

On 25 September 2015, Member States of the United Nations adopted *The 2030 Agenda for Sustainable Development* with the Sustainable Development Goals (SDGs) at its core. The 2030 Agenda commits all countries and stakeholders[1] to working together to achieve sustained and inclusive economic growth, social development and environmental protection. The United Nations Development System (UNDS) will provide its knowledge, convening power and expertise to Member States in support of implementation through nationally owned, interlinked and transformative results. To do so, the United Nations is committed to delivering across mandates, sectors and institutional boundaries, and to practising more coherent and integrated system-wide strategic planning, implementation and reporting.[2]

This document provides guidance for a new generation of the United Nations Development Assistance Frameworks (UNDAFs) or equivalent planning frameworks that reflect the 2030 Agenda. The UNDAF provides a system-wide overview of key UN activities and functions at country level, in support of national policies, priorities and plans of programme countries, while ensuring coordination, coherence, effectiveness and efficiency for maximum impact. More specifically, UNDAF processes help enhance national ownership by:

● Recognizing, supporting and advocating for effective public policies, and use of national institutions, systems and domestic resources as the primary means of achieving the SDGs;

● Supporting and drawing upon national strategic planning processes as well as monitoring and evaluation systems to track progress towards the SDGs; mobilize support for using globally agreed SDG indicators; identify aggregate progress and progress for groups left behind; and highlight corrective actions required in the context of development cooperation;

● Supporting the stronger capacity of government and other stakeholders, including civil society and non-governmental organizations, at all levels with a view to achieving the SDGs;

● Promoting broader partnerships, including public-private partnerships, to achieve the SDGs;

● Supporting as appropriate technical and scientific cooperation and North-South, South-South and triangular, regional and international cooperation on and access to science, technology, innovation and knowledge-sharing in order to achieve SDGs; and

● Encouraging the engagement and participation of relevant stakeholders and the broader population in national actions to achieve the SDGs, and thereby fostering ownership and leadership of those efforts.

This guidance acknowledges the primacy of prevention, and recognizes the importance of having a whole of UN system approach to sustaining peace and building peace in fragile and conflict-affected settings, in line with United Nations General Assembly and Security Council resolutions. It thus contributes to actions for promoting closer working arrangements across the development, humanitarian and peacebuilding nexus.

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1 Stakeholders comprise governments, including line ministries; social partners, comprising workers' and employers' organizations; the private sector; civil society; non-governmental organizations and other development partners relevant to a given country.
2 See: www.unsceb.org/CEBPublicFiles/Common%20Principles%202030%20 Agenda%20for%20Sustainable%20Development-27%20April%202016.pdf).

FIGURE 1
THE UN'S INTEGRATED COUNTRY-LEVEL RESPONSE TO ACHIEVE THE SDGS

WHAT'S NEW IN THIS GUIDANCE?

This guidance supersedes the 2010 UNDAF guidance.

- It orients UN programming to the 2030 Agenda, and advances the ambition of more coherent programming approaches that bring together development, humanitarian, human rights and peacebuilding agendas.

- It updates the core programming principles that provide the normative foundation for the UNDAF and integrated programming in all country contexts, with leave no one behind as the overarching and unifying principle, underpinned by human rights, gender equality and women's empowerment; sustainability and resilience; and accountability.

- It makes the Common Country Analysis (CCA) a minimum requirement, and highly recommends a shared long-term visioning exercise, the UN Vision 2030.[3] In doing this, it seeks to ensure that UNDAF interventions are informed by an in-depth understanding of national contexts, and positioned in the medium and long-terms.

- It promotes a risk-informed approach to UNDAF design, implementation and monitoring. In particular, it acknowledges the importance of conflict analysis in the CCA in relevant contexts.

- It reaffirms using a theory of change in UNDAF design to develop a clearly articulated results chain, and help define where causality can and cannot be ascribed.

- It supports closer integration of UN normative and operational contributions,[4] and alignment with international standards, as well as stronger linkages between the local, regional and global dimensions of sustainable development agendas, as articulated in the 2030 Agenda.

- It employs the jointly agreed MAPS (Mainstreaming, Acceleration and Policy Support) approach in supporting countries to adopt the 2030 Agenda and pursue the achievement of the SDGs in a systematic, evidence-informed and results-focused way.

- It highlights the criticality of reinforcing strategic planning and delivery effectiveness through the Business Operations Strategy (BOS), which ensures that programmatic interventions are supported by high-quality, efficient and expeditious integrated operational arrangements.

- It strengthens effective implementation of the UNDAF through UN system-wide instruments such as the Standard Operating Procedures (SOPs), including Results Groups, joint work plans and joint programmes.

- It updates the UNDAF annual review process to better inform the UN system and stakeholders on UNDAF implementation, and to make adjustments to the UNDAF, for example, due to changes in the external environment.

- It provides increased opportunities to leverage innovation, and calls for broader engagement of diverse actors to inform CCAs, strategic planning, monitoring and evaluation.

- It promotes greater transparency and accountability in the United Nations' work.

- It emphasizes the role of disaggregated data collection and analysis in support of the implementation and monitoring of the 2030 Agenda.

- It introduces the element of financing the UNDAF in the context of the wider development financing landscape at the country level and overall investment in the SDGs.

- It introduces a set of quality criteria (see **Annex 1**) against which UNDAFs can be quality assured, monitored and evaluated.

This guidance comprises two parts. **Part 1** describes the principles and approaches for integrated programming required to support the implementation of the 2030 Agenda at the country level. **Part 2** describes how the United Nations develops and manages UNDAFs. Throughout, there are links to a range of additional related materials including companion guidance on key aspects of UNDAF development, implementation and monitoring. This guidance complements the **SOPs**, a minimum set of actions underpinning effective and impactful implementation of new UNDAFs.[5] The SOPs promote a coherent, integrated approach to programming, finance, budgeting, resource mobilization, leadership, communication and advocacy.

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3 UN Vision 2030 refers to the United Nations' vision in the country until the formal completion of the 2030 Agenda.
4 See Eight case studies on integrating the UN's normative and operational work – commissioned by UNDG.
5 https://undg.org/home/guidance-policies/delivering-as-one/standard-operating-procedures-non-pilots/).

MAPS
A Common Approach to
SDG Implementation

The UNDAF articulates the common and collective responsibilities of the UN system in supporting an integrated approach to sustainable development. In response to Members States' call for more coordinated UN engagement, the UNDG has adopted a common approach for effective and coherent implementation support to the 2030 Agenda, under the acronym MAPS.

MAPS stands for **M**ainstreaming, **A**cceleration and **P**olicy **S**upport

MAINSTREAMING
Helping governments to land and contextualize the agenda at national and local levels, ultimately reflecting the agenda in national plans, strategies and budgets. This means mapping what a country is already doing and where it may need to change direction. It is also about continuing to sensitize national stakeholders about the new agenda.

ACCELERATION
Supporting governments and national stakeholders to target resources at root bottlenecks to sustainable development, paying special attention to synergies and trade-offs across sectors.

POLICY SUPPORT
Providing coordinated and pooled policy support to countries that request it, drawing on the expertise and programmatic experience of each part of the United Nations.

Supporting partnerships, the availability of quality data and analysis, and accountability cut across all three components.

MAPS is a common approach that is applied according to the development context and challenges faced, including in countries in transition or recovering from crisis.

PART 1: PRINCIPLES AND APPROACHES FOR INTEGRATED PROGRAMMING

PRINCIPLES FOR INTEGRATED PROGRAMMING

The 2030 Agenda is universal, integrated, transformative and people-centred. It is grounded in human rights, and focused on the promise to reduce inequalities and leave no one behind. Aligned with the Charter of the United Nations and the Universal Declaration of Human Rights, it is applicable and relevant to all countries. As interdependent goals, the SDGs require coherent efforts at all levels by governments, the United Nations and all other stakeholders.

To effectively support national efforts to achieve the transformative ambitions of the 2030 Agenda, the UN system needs to take an integrated approach to programming that combines actions across sectors and involves all relevant stakeholders. This recognizes links among the SDGs and their normative foundations. Towards that end, the United Nations Development Group (UNDG) has identified four integrated programming principles for UNDAFs.

Leave no one behind is at the core, unifying programming and advocacy efforts across all UN agendas. It is underpinned by three other programming principles: **human rights, gender equality and women's empowerment; sustainability and resilience;** and **accountability.** These principles are grounded in the norms and standards that the United Nations is tasked to uphold and promote, and that inform all phases of UN programming at the country level. They are the foundation for integrated programming in response to national priorities and plans. They hold true for all country contexts and are applied in an integrated manner. Knowing how to meet these norms and standards, consistently and effectively, in policy, advocacy, programming and engagement with national counterparts, is essential for the success of the United Nations on the ground. Companion guidance provides more detailed information and resources on integrated **programming principles**.

1 LEAVE NO ONE BEHIND

Leaving no one behind and reaching the furthest behind first is the central promise of the 2030 Agenda. It represents the unequivocal commitment of Member States to address the multidimensional causes of poverty, inequalities and discrimination, and reduce the vulnerabilities of the most marginalized people, including women, refugees, internally displaced persons, migrants, minorities, indigenous peoples, stateless persons, and populations affected by conflict and natural disasters.

As the overarching programming principle for UNDAFs in all country contexts, leaving no one behind requires that the UN system prioritize its programmatic interventions to address the situation of those most marginalized, discriminated against and excluded, and to empower them as active agents of development. Individuals and groups may be at risk of being left behind not only because of their personal vulnerabilities, but also because their distinct and specific entitlements and needs may not be visible, recognized or prioritized by their societies, resulting in their exclusion.

Because of its overarching and unifying nature, the principle of leaving no one behind is a cornerstone for coherence across the development, humanitarian, human rights and peacebuilding agendas. In crisis and conflict settings, it calls for a focus on the protection of people most at risk, including displaced populations and those most likely to be affected by

climate change and natural disasters. The principle can be a key driver of peace, underscoring the importance of addressing inequalities and situations that fuel conflict and hinder return. UNDAFs can also consider the disproportionate impacts of humanitarian and other crises, shocks and changes on the most vulnerable people.

Leave no one behind is elaborated through the other three integrated programming principles:

- **Eliminating inequalities and discrimination (human rights, gender equality and women's empowerment principle):** This principle recognizes that UN programming is guided by international norms and standards that provide the normative basis to address the situation of individuals and groups which are, or at risk of, being left behind not only because of their vulnerabilities but also as a result of entrenched inequalities and discrimination that prevents them from accessing services and resources. The United Nations' contribution to protecting and promoting human rights is both a normative duty, and an operational imperative for ensuring more equitable and sustainable development outcomes.

- **Addressing the root causes of multidimensional poverty and building capacities for resilience (sustainability and resilience principle):** This principle recognizes the need for protecting ecosystems and biodiversity as the "GDPs of the poor," as they provide the bases for livelihoods and employment for many of the poor and those left furthest behind. Sustainability and resilience are key to understanding and addressing the disproportionate impact of crises and disasters on the poor and other groups who are marginalized and discriminated against. Strengthening the capacities of national institutions and communities is the foundation of resilience, and of ensuring that gains are sustainable.

- **Strengthening national systems and processes of accountability to monitor progress and provide remedies (accountability principle):** This principle entails improving the effectiveness of institutions and mechanisms to monitor and track progress in empowering those who are left behind or at risk of falling behind.

Promoting the principle of leaving no one behind can include advocacy and other programmatic interventions, which may be undertaken jointly by the United Nations Country Team (UNCT) or by individual agencies based on their specific mandates. For example, the principle can be expressed by programmatic interventions related to social protection, legal empowerment,

economic opportunities, decent work, environmental health, and access to essential services for population groups who are furthest behind. These groups can be identified and engaged through all stages of the UNDAF process.

2 HUMAN RIGHTS, GENDER EQUALITY AND WOMEN'S EMPOWERMENT[6]

A central objective of the 2030 Agenda is to *"realize the human rights of all and to achieve gender equality and the empowerment of all women and girls."* As applied in UNDAFs, this principle has five elements:

- **Alignment with international standards:**[7] In supporting the alignment of national laws and policies with international standards, UNDAFs are guided by recommendations made to the country by international human rights mechanisms. Thus, UNDAF implementation is linked to reporting and review processes under the SDGs as well as human rights mechanisms.

- **A focus on addressing inequalities and discrimination towards leaving no one behind:** UNDAFs identify existing inequalities and forms of discrimination, and other human rights violations. This process can include data disaggregation that goes beyond gender, geography and age to encompass other forms of discrimination prohibited under international law. UNDAFs demonstrate how they will contribute to achieving both formal and substantive equality. They can aim to address structural barriers; reverse unequal distributions of power, resources and opportunities; and/or challenge discriminatory laws, social norms and stereotypes that perpetuate inequalities and disparities.

- **Active and meaningful participation by all stakeholders:** The UNDAF explains how the United Nations ensures the full participation of key stakeholders, especially national governments, civil society and the private sector, in its design, implementation, monitoring and evaluation. It can elaborate how it will contribute to establishing consistent space and resources for free, informed and empowered participation by civil society, particularly for the most marginalized groups, in national development processes that shape their lives, without fear of reprisal.

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6 For more guidance, see: UNDG Guidance Note on Human Rights for RCs and UNCTs (2015) and A Resource Book for Mainstreaming Gender in UN Common Country Programming at the Country Level (2014).
7 These include all international conventions and instruments.

- **Due diligence, including provision of effective remedies:** The UNDAF supports the establishment of national mechanisms to provide effective judicial and non-judicial remedies to individuals and groups, and offer assistance in accessing them. It can also ensure due diligence and full implementation of normative standards such as the UN's Guiding Principles on Business and Human Rights in public-private partnerships.

- **Reduction of gender inequalities by empowering all women and girls:** The CCA includes a rigorous gender analysis that goes beyond age- and sex-disaggregated data to explain immediate, underlying and root causes and differentiated impacts (including through an appreciation of social, legal, political, economic and cultural dynamics that underpin gender inequality). The UNDAF supports and links to the implementation of internationally agreed policy frameworks or conventions, including the Beijing Platform for Action and the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW). The UNDAF can explain the ways in which the United Nations responds to gender inequalities, and the empowerment and advancement of women and girls, men and boys, depending on the particular situation in each country. Gender equality concerns are fully and consistently reflected in the programme rationale/strategy, and inequalities adequately addressed through clearly defined, gender-specific outcomes and outputs that contribute to relevant gender SDG indicators and targets, where appropriate.

3 SUSTAINABILITY AND RESILIENCE

The 2030 Agenda has the objective of ensuring the lasting protection of the planet and its natural and cultural resources, supporting inclusive and sustained economic growth, ending poverty in all its dimensions and enhancing human well-being. It aims to: increase the resilience of societies and ecosystems to man-made and natural hazards, shocks and stresses; promote multisectoral, integrated approaches that harness the potential, assets and capacities of institutions and communities to enhance human well-being, and reduce risks and vulnerabilities associated with natural hazards, climate change, violence, conflict, political and social instability, or economic volatility; and manage the change and uncertainty of long-term trends.

Increasing the resilience of societies, economies and the natural environment can help countries, communities and the poor to withstand shocks, embrace uncertainty and manage risks. There are strong links as well between sustainability and resilience,

and peace and security. Strengthening the capacities of national institutions and communities is the foundation of resilience, and of ensuring that gains are sustainable. UN support for strengthening national capacities takes place within the national development framework, building on existing capacities, assets and systems, and based on national capacity assessments and strategies.

UNDAFs integrate six elements of sustainability and resilience, which involve:

- Reflecting interconnections and a balanced approach among the social, economic and environmental dimensions of sustainable development;

- Integrating economic, environmental and social sustainability and risk management into programming, and strengthening national capacities to address these issues;

- Applying social and environmental standards to prevent adverse impacts on people, including the poor, and the environment; managing risks when impacts cannot be avoided and building resilience;

- Supporting the full integration of environmental issues and social protection in national policies that deal with key development sectors, and ensuring links with emergency, crisis and humanitarian systems;

- Addressing the sustainability and resilience dimensions of development problems, and the interconnections among issues related to the environment, human rights, conflict and vulnerability;

- Ensuring consistency between UNDAF outcomes and objectives in national development policies, budgets and plans.

The sustainability and resilience principle is integrated through each stage of the UNDAF process. All UNDAF interventions seek to reduce risks and build resilience through strengthening national capacities and policy support, and to mainstream sustainability and resilience across programmes. A broad vision of sustainability ensures a balance among social, economic and environmental considerations and resilience.

UNDAFs take into account how the legal, policy and institutional environment as well as economic and social patterns affect the resilience of communities, especially for vulnerable and excluded groups. They specify and support links to the implementation of internationally agreed policy frameworks or conventions ratified by the country with the potential to facilitate integrated implementation of the SDGs. These include the Paris Agreement, the Addis Ababa Action Agenda,

the United Nations Framework Convention for Climate Change, the Sendai Framework for Disaster Risk Reduction, and the Quito Declaration on Sustainable Cities and Human Settlements for All. In practical implementation terms, UNDAFs, for example, encompass recognizing the value of ecosystem services, promoting the green/blue economy, fostering sustainable consumption and production patterns, investing in climate change adaptation, reducing disaster risks and extending sustainable energy.

4 ACCOUNTABILITY

The 2030 Agenda includes commitments to greater accountability at global, regional and national levels, and to corresponding mechanisms for implementation and follow-up. The United Nations has committed itself to support these actions, and to help build "effective, accountable and inclusive institutions at all levels" (SDG 16). Based upon this, UNDAFs promote accountable societies, including through:

- Alignment with national priorities and national accountability mechanisms, as well as the provision of priority support to the expansion or further development of those mechanisms to ensure that they include all population groups;

- Strengthening national and local mechanisms, institutions and processes to monitor and report on the progress of SDG implementation for all parts of society, and linking these with international mechanisms, including UN human rights mechanisms;

- Measures to build upon and extend greater transparency, and improved measurement and reporting on results, including through joint assessments with target populations;

- Practising what the United Nations advocates by recognizing the UN system's accountability to the general public of the countries in which it works;

- Enabling active local community engagement and participation in decision-making—particularly of those who are left behind or are at risk of being left behind—whether more broadly in national policy development, implementation, or monitoring and evaluation, or specifically in the UNDAF process;

- Supporting the development and use of transparent and robust data and information for policy formulation, programme design and implementation to manage risks and deliver results through more effective decision-making, both in national policy processes, and the work of the United Nations at the country level.

KEY APPROACHES FOR INTEGRATED PROGRAMMING

Within UNDAFs, the United Nations employs six mutually reinforcing programming approaches to deliver on the unifying principle of leaving no one behind and the other four integrated programming principles (see Figure 1). These programming approaches, described on the following pages, apply to UNDAFs in all country contexts.

1 RESULTS FOCUSED PROGRAMMING

The SDGs and their translation at country level constitute the frame of reference for the formulation of UNDAF strategic priorities, outcomes, the theory of change, and related indicators and targets. Using results-based management, the UN system ensures that resources are directed towards improving conditions for identified populations, particularly those left behind. Results-focused programming is an approach where the allocation of energies and resources is based on clearly articulated and measurable intended results, rather than on planned activities.

A results-focused approach also requires the identification of critical assumptions about the programming environment, and a consideration of relevant risks and management measures. Indicators to monitor progress and measure the achievement of outcomes are identified, with attention given to data, evidence generation, and support for national statistical and information systems. Accountabilities are clearly defined and backed by strong reporting mechanisms.

In line with the UNDG RBM Handbook, UNDAF outcomes represent changes in institutional and behavioural capacities for development. A results-focused programme is oriented by the CCA, which outlines changes required in a country context, and articulated based on the theory of change and the UNDAF results framework (see Part 2). The focus on results should be maintained throughout the entire UNDAF process, including during monitoring and evaluation.

2 CAPACITY DEVELOPMENT

The UNDG defines capacity as the ability of people, organizations and society as a whole to manage their affairs successfully. Capacity development is the process of unleashing, strengthening, creating, adapting and maintaining capacity over time. It is a core function of the UNDS and is critical to implement the 2030 Agenda and sustain progress. The 2030 Agenda and the unifying principle of leaving no one behind demands an enhanced approach to capacity development of government and relevant stakeholders, including civil society and non-governmental organizations.

Capacity development support by the United Nations seeks to maximize national ownership and leadership and address capacity at the levels of individuals, organizations and the enabling environment. Individual capacity support focuses on improving individual skills, knowledge and performance through training, experiences, motivation and incentives. Organizational capacity support aims at improving organizational performance through strategies, plans, rules and regulations, partnerships, leadership, organizational politics and power structures. Capacity support for an enabling environment seeks to strengthen policies while ensuring policy coherence to address economic, environmental and social factors such as labour markets, the policy and legislative environment, class structure and cultural aspects.

The CCA includes an assessment and analysis of the capacities of government and relevant stakeholders. It articulates the root causes of the lack of capacity, and explores broad approaches to developing capacities such as through South-South and triangular cooperation. The UNDAF strategic prioritization process enables the United Nations to identify those areas of capacity development where it can have a maximum impact in supporting the achievement of the SDGs. The paths to capacity development (that is, the explanations of why certain results and activities are believed to lead to increased capacity) are articulated in the theory of change, while the goals of capacity development actions (that is, measurable changes in capacity) are laid out in the UNDAF results framework (see Part 2). The companion guidance on capacity development provides more information on the application of this principle.

3 RISK-INFORMED PROGRAMMING

Investing in risk-informed programming entails effective management of risk at every step of the UNDAF process. Risk is viewed from a common UN system-wide perspective, rather than an organization-specific one. Importantly, risk-informed development takes into account "risks to" programming as well as "risks from" programming. While assessing risks to programming, the focus is on those that might impact or facilitate the achievement of the development objectives. The "do no harm" principle addresses risks from programming.

Risk-informed development programming entails a multidimensional approach to managing disaster risks and climate impacts, and to protecting development gains. While applying the principle of "do no harm," it seeks to secure wider social, economic and environmental co-benefits. It recognizes that the achievement of the SDGs will be contingent on nations' and communities' abilities to build resilience to risks of multiple threats, including those related to natural hazards, climate change, conflict, food and water crises, pandemics, displacement, migration and economic shocks, among others. The Sendai Framework for Disaster Risk Reduction, the SDGs and the Paris Agreement provide an impetus for countries to reverse current risk trends and emission levels, and graduate towards low-carbon, risk-informed development.

Conflict analysis is particularly significant for risk-informed programming in countries prone to natural disasters, experiencing complex emergencies or in conflict or post-conflict situations. This analysis supports responses that address development, humanitarian and peacebuilding challenges. It provides a platform to engage with donors and other development, humanitarian and peacebuilding actors, and can help promote the United Nations as a valued collaborator.

The sustainability of public and private investment depends on sound risk management. UNDAFs should aim to fully embed risk management into development, and systematically encourage public and private investments to be underpinned by an adequate understanding of risks and the connections among them. The application of risk indices (for example, INFORM) can help identify risks and vulnerabilities in humanitarian and disaster settings, and promote resilience building (see: www.inform-index.org).

CCAs reflect the multiple risks that countries face, such as market shocks, natural hazards, social unrest, climate change, epidemics and pandemics, and the risk of conflict or serious human rights violations. Such risks are challenges in themselves, but can also trigger further risks, such as economic loss and political tensions, undermining and reversing progress towards the SDGs. Risk-informed programming also feeds into the consideration of long-term risks in the UN Vision 2030 exercise. It facilitates the determination of an UNDAF's strategic priorities, the development of the theory of change, the definition of outcomes and the creation of joint work plans. UNDAFs should seek to manage risks by avoiding harm, building resilience, and improving national and local preparedness, and position the United Nations to respond when risks materialize.

4 DEVELOPMENT, HUMANITARIAN AND PEACEBUILDING LINKAGES[8]

The 2030 Agenda, the pursuit of the SDGs, the commitment to leave no one behind, and the need to support recovery and durable solutions in situations of conflict or fragility require that UNDAFs demonstrate coherence across development, humanitarian and peacebuilding agendas, underpinned by human rights as the common purpose of the United Nations Charter. CCAs, UNDAFs and related processes should be more connected to humanitarian action and when appropriate to UN peacekeeping operations or special political missions, collectively contributing to longer term development gains.[9]

The United Nations General Assembly and Security Council resolutions in 2016 on sustaining peace[10] emphasized the importance of joint analysis and effective strategic planning across the UN system. These resolutions seek to increase the focus of the UN system on preventing conflicts, so that not only the symptoms, but also the root causes of conflicts are addressed. They call on the United Nations to do more context-specific joint multidimensional conflict and risk analysis. In line with this, the CCA considers multihazard risks, human rights, and humanitarian and peacebuilding dimensions in a holistic way. It should examine existing coping and response capacities, and resilience systems. The UNDG-endorsed Conflict and Development Analysis tool should assist with analyses in conflict-affected countries. The Humanitarian Needs Overview should also be considered a source of information on people's vulnerability for the CCA in crisis contexts.

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8 The term nexus and linkage are used interchangeably.
9 See: General Assembly resolution 71/243, paragraph 24(a).
10 See: General Assembly resolution 70/262 and Security Council resolution 2282 (2016)

A coherent response across the development, humanitarian and peacebuilding efforts in crisis and post-crisis settings requires a shared vision and articulation of collective outcomes by a wide range of partners, including UN and non-UN actors, based on their comparative advantages and over multiple years. Coherent planning and programming is context specific. UN entities strategically plan together activities, interventions and programmes, and who does what, where, how and when, within their mandates and with their comparatives advantages, with the process directly aimed at contributing to reduced needs, vulnerability and risk, thus contributing to achieving sustainable development, including sustainable peace.

At the country level, the United Nations should explore different coherence arrangements based on a range of options depending on the country context, with joint analysis and planning reflected in a common planning framework on one end of the spectrum, and separate planning instruments when operationally necessary on the other end of the spectrum. While humanitarian action may contribute to sustainable development and sustainable peace, the main purpose of humanitarian action will remain to address life-saving needs and alleviate suffering in accordance with humanitarian principles.[11] Analysis and planning should include humanitarian inputs to ensure coherence and complementarity.

In some protracted crises, while respecting the continued need for the neutrality, impartiality and independence of humanitarian action, the United Nations may bring together development and humanitarian support in the UNDAF through the articulation of collective outcomes based on joint analysis and multiyear planning. This approach should also be applied in situations where a humanitarian response is drawing down, and the Humanitarian Response Plan (HRP) and other humanitarian programmes are being or have been phased out, with residual humanitarian needs addressed in the UNDAF. In situations of protracted displacement, the needs of displaced people will usually be a core element of the planning process in order to support durable solutions.[12]

There are various scenarios where UNDAFs and HRPs will exist side-by-side. For example, in high-intensity conflict situations, where there is a need to guarantee a separate humanitarian space, humanitarian support should not be part of the UNDAF, and the HRP and/or Refugee Response Plan (RRP) should remain separate, albeit well aligned. In these contexts, direct links between the UNDAF and HRP/RRP should be made to ensure complementarity, sequencing of development and humanitarian activities, and compatibility of results frameworks. This can enable, when appropriate, the targeting of the same geographical areas and people affected by crisis and fragility, with a vision and plan for integration over the longer term. It builds on the strength of the UNDAF to achieve long-term results with a view to reducing and mitigating risks; addressing the structural and underlying drivers of inequality, deprivation and

fragility, including in areas affected by humanitarian crises; and helping vulnerable and crisis-affected people become self-reliant and resilient.

In settings where there is an integrated UN presence,[13] whether it is a peacekeeping operation or a special political mission, the mission and the UNCT are required to develop an Integrated Strategic Framework (ISF). This promotes collaboration by reflecting shared objectives and means through which the United Nations will promote peace consolidation. UNDAFs can be designed to serve as the ISF or vice versa. Having both an ISF and UNDAF is not required if one framework can meet the minimum requirements of both. As per the United Nations Policy on Integrated Assessment and Planning, this decision is made by senior UN leadership at the country level. Implementation is facilitated through joint work plans that detail the division of labour between the mission and UN agencies.

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5 **COHERENT POLICY SUPPORT**

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The 2030 Agenda demands policy coherence and more integrated approaches, where different actors work together across sectors to deliver sustainable development.[14] The United Nations combines its diverse and complimentary mandates, expertise and technical contributions so that the policy support it provides to national partners is comprehensible, comprehensive and coherent.[15] As identified in the principles of the United Nations Chief Executives Board for Coordination (CEB), it is the UN system's ambition to "work in unity while preserving diversity." The system's diversity and vast range of specialized expertise is a source of great strength and an invaluable asset when leveraged in a coordinated, coherent manner.

Policy coherence ensures consistency across national policy and programmatic frameworks, the legal obligations of States under international law, and their alignment in support of

11 See: General Assembly resolution 46/182.
12 See the Inter-Agency Standing Committee's "Introduction to Humanitarian Action: A brief guide for Resident Coordinators," 2015, available at: http://reliefweb.int/report/world/introduction-humanitarian-action-brief-guide-resident-coordinators; and UNHCR's "Note on the Mandate of the High Commissioner for Refugees and His Office," 2013, available at: www.unhcr.org/526a22cb6.html.
13 An UN Integrated Presence means that there is a multidimensional peacekeeping operation or field-based special political mission deployed alongside an UNCT.
14 See: the 2030 Agenda for Sustainable Development, the Addis Ababa Action Agenda and the Quadrennial Comprehensive Policy Review.
15 See the UNDG repository of tools for upstream policy support by the SDGs and their targets.

development efforts. It is about making sure that what is done in one area makes sense alongside what is done in other areas. Policy coherence is crucial for achievement of the SDGs, given their interlinked nature and the constituent elements involved: social, economic and environmental, together with peace, security, human rights and equality. In order to achieve policy coherence across the work of the United Nations at country level, UNDAFs:

- Align to national priorities and plans, national SDG strategies and targets, and internationally agreed policy frameworks defining integrated approaches to sustainable development as well as norms and standards. This provides "vertical policy coherence" between frameworks at different levels, including at national and subnational levels. It requires constant assessment of the national development and policy landscape, and regular engagement with stakeholders and development partners, including the World Bank and other international financial institutions.

- Enhance synergies between intervention areas (horizontal coherence) and their alignment with national development goals. "Horizontal coherence" is promoted through approaches that include Results Groups, joint work plans and pooled funding instruments. These approaches enhance collaboration towards collective outcomes. UNDAFs leverage both specialized sectoral technical assistance and cross-sectoral work.

- Strengthen coherence among development, humanitarian and peacebuilding efforts and human rights mechanisms for the realization and sustainability of peace and development gains.

6 PARTNERSHIPS

The 2030 Agenda underlines the importance of partnerships for results. Inclusive, strategic and mutually beneficial partnerships at global, regional, national and local levels are a prerequisite to achieving the SDGs. The transformative ambitions of the 2030 Agenda imply a shift in roles and responsibilities, and a corresponding shift in the way partnership is understood, facilitated and developed.

The achievement of the SDGs requires the broad engagement of all development and humanitarian actors, including people at large in a given country and other stakeholders. The UNDAF process and its implementation provide a platform for the UN system to leverage its global comparative strengths to convene a wide range of stakeholders. UNDAFs can also lay out ways in which the United Nations can develop innovative approaches to multistakeholder partnerships, and foster new collaborations in line with UN principles, norms and standards. In brokering South-South and triangular cooperation and public-private partnerships, the focus should be on promoting the leadership and full participation of these actors in attaining national goals informed by the SDGs.

Multistakeholder partnerships bring diverse views, rich experiences, and a broad range of capacities and resources to bear, including in conflict-affected states and states in protracted crisis, as well as among displaced populations. Through convening and leveraging different partners throughout the UNDAF process, the United Nations can promote leadership of initiatives by the best-placed partner(s). Advocacy and normative work can advance new and innovative partnerships to leverage resources from a wide range of partners.

Partnerships with non-governmental actors are essential to an efficient and effective UN response, based on the principles of equality, transparency, a results-oriented approach, responsibility and complementarity. This approach to partnership offers tailored solutions that address actual needs rather than "one-size-fits-all" approaches. The United Nations is committed to making and encouraging greater efforts to support and enable national and local actors to provide expertise and good practices, and add capacity and capability. This includes emergency preparedness and response, as referenced, inter alia, by the World Humanitarian Summit.

At the same time, the United Nations approaches partnerships with due care and diligence to uphold and protect its values. A new and expanded approach to partnerships requires a risk-informed approach. Working with partners who do not uphold the values of the United Nations presents reputational, fiduciary and other risks. UN partnership strategies should include risk management measures, including safeguards and due diligence processes.[16]

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16 For risk analysis involving the United Nations working with security forces, see the Human Rights Due Diligence Policy on United Nations Support to non-United Nations Security Forces (A/67/775-S/2013/110).

PART 2:
HOW TO DEVELOP AND MANAGE AN UNDAF

In the context of the 2030 Agenda, UNDAFs go beyond the compilation of organization-specific plans. They are based on the ambition of the "One Country, One UN Framework," and built on shared strategic development outcomes, common needs and root cause analysis, risk assessment and management, and monitoring and reporting. The United Nations develops them in an inclusive manner in close collaboration with national governments, civil society and other stakeholders.

Within a given national context, the Resident Coordinator and UNCT are custodians of the application of UNDAF guidance. Certain elements are minimum requirements, representing essential elements without which an UNDAF cannot meet minimum standards required for alignment with the 2030 Agenda and UN support to Member States in their achievement. During the development of the UNDAF roadmap, the UNCT discusses the realistic scope and depth of the minimum requirements achievable for maximum impact, given resources availability and the specific country context. Throughout the UNDAF process, programming principles and approaches are applied under the unifying principle of leaving no one behind.

MINIMUM REQUIREMENTS OF UNDAFS

At a minimum, the United Nations at country level is required to:

● Develop a **roadmap** for UNDAF preparation with the government and other relevant stakeholders to support national priorities and plans for achieving the 2030 Agenda and the SDGs.

● Develop a **high-quality, evidence-based CCA**.

● Decide on the **UNDAF strategic priorities, based on the CCA and UN Vision 2030, and supported by an overarching UNDAF theory of change, a corresponding results matrix at the outcome level and the medium-term Common Budgetary Framework (CBF)**. The UNDAF outcomes are the basis for aligning specific organizational programming documents with the UNDAF. The UNDAF outcome indicators, baselines and targets are linked to other intergovernmental reporting processes such as SDG reports and human rights mechanisms.

● Ensure that the **UNDAF and its legal annex are signed by all participating UN organizations and a relevant government representative**.

● Develop **joint work plans, which are signed by participating UN organizations** within the Results Groups to operationalize the UNDAF outcomes.

● Develop and implement **a costed multiyear monitoring and evaluation plan**, ensuring that (a) **annual One UN Country Results Reports** are prepared integrating programme results reports with reports on finance, resource mobilization, operations, communications and advocacy, and leadership, and that (b) **an UNDAF evaluation happens once during the life cycle of the UNDAF, with costs shared among UNCT members** as appropriate.[17] The UNDAF evaluation should be timed to inform the development of the next UNDAF where possible, and synchronized with the BOS and advocacy and communications strategy evaluations. The procedures and timelines of evaluations of agency programmes should be harmonized with the UNDAF evaluation.
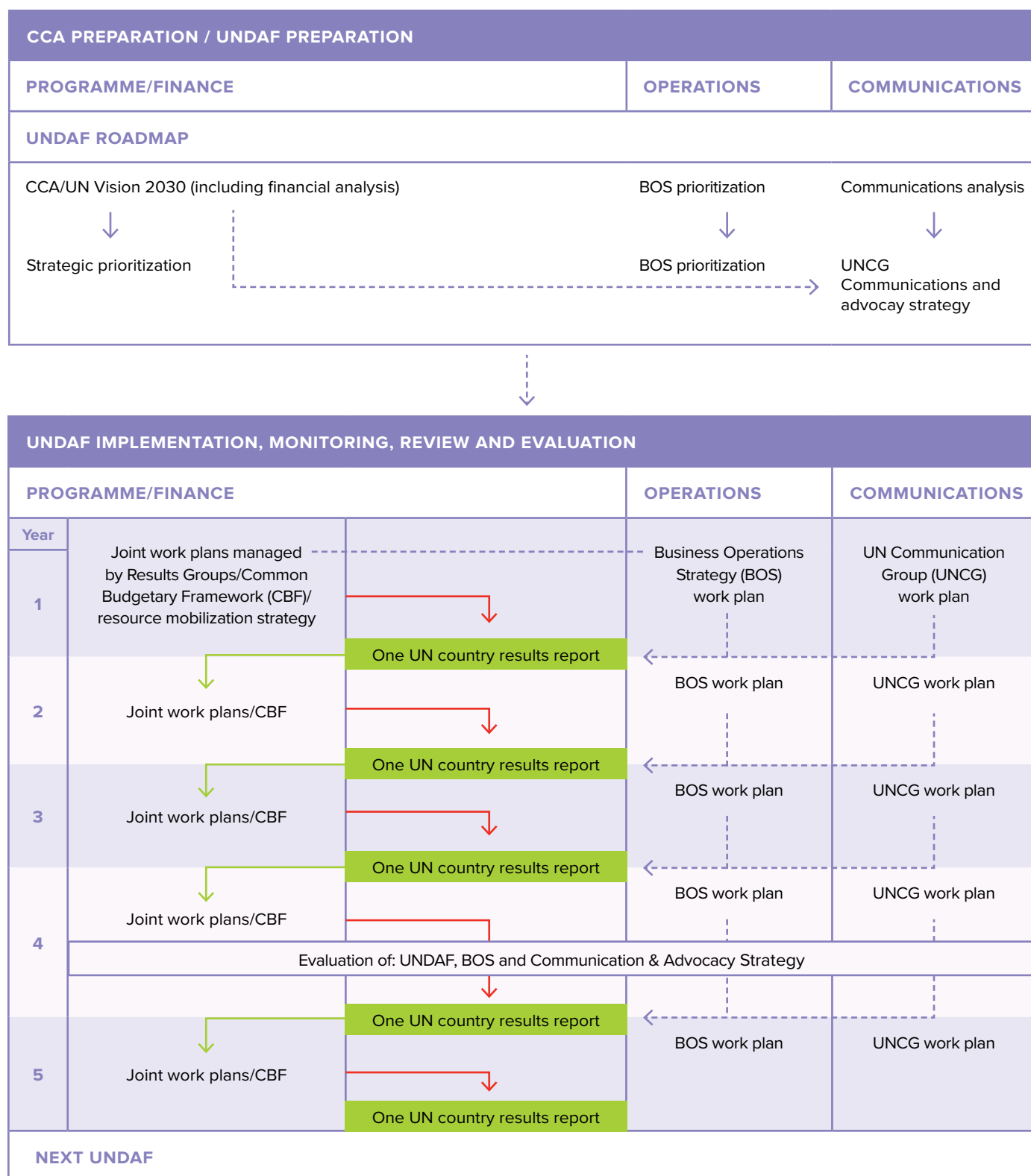
In support of the preparation of quality UNDAFs, the following good practices are recommended for the consideration of UNCTs.

GOOD PRACTICES IN UNDAF PREPARATION

● Make links to national plans explicit to ensure UNDAF results respond to national priorities;

● Limit strategic priority areas to no more than five to ensure focus;

● Initiate joint programming (including, where appropriate, with humanitarian and peacebuilding actors based on joint analysis), joint programmes and BOS complementarities alongside UNDAF development;

● Engage business operations colleagues early on to identify cost efficiencies;

● Engage the United Nations Communications Group (UNCG) to find entry points for advocacy and communication at the outcome level (which can involve advocacy, social mobilization or behaviour change);

● Identify multistakeholder partnership strategies to bring in a broad set of national, regional and international partners, and determine the roles of the UN system and partners in achieving results;

● Articulate the way in which the UNDAF sits within the context of the larger national and global resource environment (including investments in the SDGs), thus ensuring realistic financial resources; use historical data as a basis for future resource projections;

● Ensure that all minimum requirements are costed and timelines are clear, including the cost-sharing of the required UNDAF evaluation towards the end of the cycle; and

● Involve the Peer Support Group throughout the process and ensure that the UNDAF adheres to quality criteria (**Annex 1**).

● Share and know the focus and time-tables of organizational programming instruments within the UNCT to ensure transparency and alignment.

FIGURE 2
INTEGRATED PROGRAMMING

CCA PREPARATION / UNDAF PREPARATION

PROGRAMME/FINANCE		OPERATIONS	COMMUNICATIONS
UNDAF ROADMAP			
CCA/UN Vision 2030 (including financial analysis)		BOS prioritization	Communications analysis
↓		↓	↓
Strategic prioritization		BOS prioritization	UNCG Communications and advocay strategy

UNDAF IMPLEMENTATION, MONITORING, REVIEW AND EVALUATION

Year	PROGRAMME/FINANCE		OPERATIONS	COMMUNICATIONS
1	Joint work plans managed by Results Groups/Common Budgetary Framework (CBF)/ resource mobilization strategy		Business Operations Strategy (BOS) work plan	UN Communication Group (UNCG) work plan
		One UN country results report		
2	Joint work plans/CBF		BOS work plan	UNCG work plan
		One UN country results report		
3	Joint work plans/CBF		BOS work plan	UNCG work plan
		One UN country results report		
4	Joint work plans/CBF		BOS work plan	UNCG work plan
	Evaluation of: UNDAF, BOS and Communication & Advocacy Strategy			
		One UN country results report		
5	Joint work plans/CBF		BOS work plan	UNCG work plan
		One UN country results report		
NEXT UNDAF				

→ Review of progress and context   → Update and adjustment

THE ROADMAP FOR AN UNDAF

The roadmap for an UNDAF lays out the process for its development with a timeline and clarity on who does what. The roadmap:

- Supports dialogue and promotes a smooth and transparent planning process within the UNCT as well as with the government, partners and other stakeholders from the inception;

- Outlines the required and agreed steps that lead to the signing of the UNDAF with the Government;

- Identifies key actions and the division of labour among UN organizations;

- Identifies when and from whom support is required, including Regional UNDG Teams, Peer Support Groups and headquarters;

- Outlines how resources will be mobilized for UNDAF preparation, including the diverse expertise available within the UNCT.

The roadmap is developed through a participatory process at the start of the penultimate year of the ending UNDAF. Extensions of UNDAFs can be requested from the Regional

DEVELOPING THE ROADMAP

UNDG Team to ensure better alignment to the national planning cycle or to adapt to other national circumstances, such as the national electoral calendar or a crisis situation.

The United Nations prepares a draft roadmap using the template provided in **Annex 2** through a fully inclusive inter-agency process. This is then shared for consultation with the national government and other national stakeholders. A strategy to engage funding partners in this process can help in financing the UNDAF.

Once the draft roadmap has been developed, the Resident Coordinator on behalf of the UNCT shares it with the Regional UNDG Team and the Peer Support Group to review and agree on required regional support. This can include, but is not limited to, technical expertise on specific thematic areas; training on any step in the development of the UNDAF,

including the application of the integrated programming principles; support to strategic prioritization and assistance with the UNDAF evaluation. The Peer Support Group provides feedback within 15 working days. Once the roadmap is finalized, the Resident Coordinator shares it with national government and other relevant national stakeholders and submits it to the Regional UNDG Team.

COMMON COUNTRY ANALYSIS

WHAT IS A CCA?

The CCA is a required and essential element of every UNDAF process. It is the UN system's independent and mandate-based articulation of the country context, opportunities and challenges, encompassing sustainable development, human rights, gender equality, peace and security, and humanitarian perspectives. It is underpinned by the promise of the 2030 Agenda to leave no one behind, and the other three programming principles.

The CCA is an objective, impartial assessment (a description of what is happening) and an analysis (a description of why it is happening) of the country situation. It strategically positions the UN system in the country and serves primarily as a programming tool. It also represents a powerful source of information to help the UN system engage with national stakeholders, including to advocate for policy changes and to support the drafting of the national development plan.

The CCA provides the essential evidence base from which the UNDAF theory of change is drawn, and offers grounding and direction for a strategic UNDAF. It drives the identification of needed and achievable changes. While identifying sources for the indicators, targets and baselines of the UNDAF results framework, it also pinpoints gaps in data availability and national statistical capacity.

CCAs are forward looking. They define medium and longer term trends, based on a wide range of data sources, which provide the foundation of the UN Vision 2030 document. The UN Vision 2030 and the CCA are mutually reinforcing and should be developed in parallel. The longer term horizon of the UN Vision 2030 informs the orientation of the CCA, and the assessment and analysis of the CCA informs the trend analysis of the UN Vision 2030. Results Groups later use annual reviews to update the analysis related to their results areas so that joint work plans remain relevant for the planned implementation period.

CCAs help to identify areas for enhanced policy coherence, reflecting the interdependence of the SDGs and issues the country should address. Rather than addressing each issue in an individual way, within its own silo, CCAs combine multiple perspectives in a complementary and coherent manner. They identify national capacity gaps (e.g., analytical, institutional and/or statistical) that can be addressed by coordinated UN support, towards enhanced policy coherence.

In developing the CCA, the UN system uses its convening power to consult and engage with the government and other stakeholders, including the most vulnerable and marginalized people and their organizations, in order to reflect different perspectives. This is considered to be objective UN analysis, and is not a document that requires formal endorsement. The purpose of the CCA is to add value to existing analyses, including that of the government. Preparation of the CCA is also an opportunity to build partnerships with key actors in a given country, which could include international financial institutions, civil society organisations and the private sector.

For countries with UN missions, UN system partners ensure that their assessment and analysis processes and tools employed are complementary, coherent and strategic. The Senior Leadership Forum at the country level is responsible for the coordination and identification of needed analyses.

DEVELOPING A CCA

1. DATA COLLECTION

CCAs include a review of existing assessments, evaluations and analyses by the government, the UN system and other stakeholders. Existing flagship publications, specific assessments and analytical tools, in particular those contributing to the global monitoring of progress on the SDGs, may be useful sources of information. An overview of possible tools and instruments is available in the CCA companion guidance.

Wherever possible, UNCTs develop CCAs in a manner that contributes to strengthening national capacity for assessment and analyses, including through better data generation. Data and analysis from global SDG indicators can be used where available. Data should be disaggregated to the extent possible to show differences in circumstance according to sex, income, age and other factors, as appropriate. Where official data are not available or not adequately disaggregated, the CCA may draw on other sources of information, such as ad hoc surveys, while maintaining data reliability and ensuring key issues are not overlooked, such as the situation of marginalized groups. Gaps in data availability or quality identified during CCA preparation can guide later UN assistance in developing national statistical capacities.

Data can be gathered in partnership with governmental and non-governmental actors, ensuring soundness of methodology and reliability. Since the CCA is updated on a continuous basis, data from future assessments are considered when available. Where the United Nations collects its own data, it acts in a manner consistent with:

- National processes to collect baselines and targets to monitor progress against both nationally defined SDG targets and the global SDG monitoring framework;

- Efforts supporting the longer term capacity of national data systems;

- Use of a variety of data sources, including non-traditional ones such as big data, national surveys and participatory assessments;

- Identification of needs for and investment in disaggregation of data;

- Data protection policies;

- Free and open access to data and documentation across the UN system; and

- Consideration of what data already exist in the public domain, and what data should be publicly available to promote transparency and accountability.

2. ASSESSMENT AND ANALYSIS

The assessment element of the CCA looks at all areas of the 2030 Agenda. It encompasses the material situation of people in a country, including non-nationals, and the political, policy and legislative environment for achieving the SDGs and other national commitments and obligations under international conventions ratified by the country. It assesses risks for different groups and geographic areas. It also identifies risks, challenges, opportunities, potential trade-offs, national capacities and capacity gaps, policy enablers and limitations, and considers these in the context of the UN system's comparative advantage. Disaggregated data are fundamental to an assessment that presents an accurate picture of a national situation from the perspective of the principle of leaving no one behind. The assessment also examines the financial system in the country in terms of the achievement of the SDGs, focusing primarily on domestic finance.

The analysis element of the CCA identifies the immediate, underlying and root causes of multidimensional poverty, inequalities and discrimination, and the reasons why particular groups are left behind. It also examines gaps in the capacities of duty-bearers to fulfil their obligations and of rights-holders to make their claims. Special emphasis is paid to gender and geographical analysis at the macro-, meso- and micro- levels.[18] Where relevant, a conflict analysis should be undertaken, focusing on underlying and root causes, and identifying potential triggers as part of the early warning and conflict prevention roles of the United Nations.

18 For a comparative summary of different gender analysis frameworks, see the UNDG Resource Book on Mainstreaming Gender in Common Programming at the Country Level (Table 1, p. 17).

The Secretary-General's Human Rights Up Front Initiative supports the United Nations in identifying these risks. The Conflict and Development Analysis Tool plus its companion piece UN Conflict Analysis Practice-Note can also be used for this purpose.

3. COMPARATIVE ADVANTAGE

Within the CCA, comparative advantage analysis informs the strategic positioning of the UN system's programmes in a country. It allows the identification of specific strengths that members of the UNCT bring individually and collectively in relation to other partners. The analysis considers capacity at the country, regional and headquarters levels.

Comparative advantage includes the mandate to act, the capacity to act and the positioning to act. Comparative advantage analysis does not articulate the status quo, but rather is a forward-looking projection of capacities and positioning at the country level. It is not necessarily based on those activities with which the UN system is most familiar and comfortable, focusing instead on those where the UN system can best add value. The main comparative advantages typically identified include:

- Strengthening national capacities at all levels;

- Supporting monitoring and implementation of international commitments, norms and standards, comprising the 2030 Agenda, the Paris Agreement, the Sendai Framework on Disaster Risk Reduction, multilateral environmental agreements, international/regional human rights treaties and agreed international instruments;

- Assisting countries through normative support, as appropriate;

- Acting as a convener of a wide range of national and international partners;

- Providing high-quality technical expertise in specific areas;

- 'Objective monitoring and evaluation of the national development framework;

- Providing impartial policy advice, based on international experience, technical expertise and good practices; and/or

- Providing a neutral space within which sensitive political issues can be addressed and resolved, including support to mediation or peace negotiations.

The assessment of comparative advantage is sometimes informed by internal and external perception surveys, and other innovative tools. See detailed guidance on preparing the CCA.

UN VISION 2030

It is highly recommended that the UN undertakes a visioning exercise alongside the CCA, and that the UN Vision 2030 becomes the precursor for UNDAF prioritization. The UN Vision 2030 builds on the evidence produced by the CCA.

The UN Vision 2030 helps the UN system answer the question: "How does the medium term UNDAF fit into the longer term 2030 Agenda?" It articulates how successive UNDAF results are intended to build on each other to contribute to achieving the 2030 Agenda and the SDGs in a given country. It makes reference to any existing national 2030 visioning paper.

The UN Vision 2030 is a two- to three-page document that lays out:

- The UN system's working assumptions in terms of longer term development planning over the duration of the 2030 Agenda;

- The evolving role and position of the UN system (including, where appropriate, coherence with an integrated UN mission) for the duration of the 2030 Agenda; and

- The ways in which the CCA and the contribution of successive UNDAFs represent logical steps in the longer term results areas that define the UN system's primary contributions to supporting national attainment of the 2030 Agenda.

Some longer term trends that may extend beyond the horizon of the UNDAF period include inequality trends, opportunities and risks such as demographic change, climate change, gender gaps, regional conflicts, vulnerability to natural disasters, economic transition and growth, technological advancements and migration patterns.

The UN Vision 2030 process also takes into account the fulfilment of and reporting on long-range commitments as well as international and regional conventions and treaties ratified by the country, such as the Paris Agreement, the Universal Periodic Review, the Sendai Framework on Disaster Risk Reduction, and the commitments of the World Humanitarian Summit and the 2016 General Assembly Summit on Large Scale Movements of Refugees and Migrants. It can provide opportunities for effective advocacy and communications activities.

Preparation of the UN Vision 2030 marks the beginning of and seamlessly leads into the identification of the strategic priorities for the subsequent UNDAF. As with the CCA, the development of the UN Vision 2030 is undertaken in a collaborative and consultative manner. The UN system at country level is encouraged to share the UN Vision 2030 with the regional Peer Support Group and Regional UNDG for quality assurance and further guidance. In such cases, the regional team will be expected to provide feedback within two weeks. The UN Vision 2030 is formally revisited and revised every UNDAF cycle, although the UN system may choose to update it at any point based on developments at the country level.

Companion guidance on the UN Vision 2030 provides practical tips and tools for preparation, along with country examples.

DEVELOPING THE UNDAF

Based on evidence provided by the CCA, the UN system ensures the following elements are common to all UNDAF development processes.

- Identification of a limited number of key UNDAF strategic priorities (sometimes called results, areas, pillars or clusters) that are issue-based and framed by the 2030 Agenda, rather than being sector-oriented, and in which the UN system has the capacity and comparative advantage to make an impact through results that can be taken to scale and achieve transformative change;

- Development of an overall theory of change that identifies viable development pathways. The theory of change will be used to derive collective outcomes, outputs and indicators for measuring changes, and articulates the logic and assumptions behind the assertion that those will lead to results.

FORMULATING UNDAF STRATEGIC PRIORITIES AND THE RESULTS MATRIX

1. STRATEGIC PRIORITIZATION

The strategic priorities of the UNDAF should be primarily drawn from the CCA and the UN Vision 2030. Those selected are envisaged to generate the greatest impacts in contributing to the achievement of the SDGs, in line with national priorities and needs. The identification of strategic priorities and the theory of change associated with them (including UNDAF outcomes) occurs through a transparent and consultative process involving national stakeholders.

Strategic prioritization takes into account national priorities, and gaps in policies and legal frameworks as well as the capacities of state and non-state institutions. It also considers a possible geographic focus, and looks at what other bilateral and multilateral partners are doing, and how the United Nations will work with them to achieve national priorities. The strategic prioritization exercise should be based on a previously agreed and shared UN understanding of the priority areas in the country, including under humanitarian and peacekeeping agendas, where the UN system, based on its comparative advantage, will focus its contribution.

The United Nations engages with the government (including relevant line ministries) and relevant stakeholders in defining shared sustainable development outcomes. To the extent possible, the United Nations considers aligning UNDAF outcomes to nationally defined SDG targets, particularly where progress is lagging and where the United Nations has a comparative advantage. Consultations include senior level meetings with relevant stakeholders and events that lay out broad strategic directions, alongside technical level meetings and events that develop the theory of change with detailed outcomes.

UNDAF OUTCOMES

In line with UNDG RBM Handbook, outcomes represent changes in the institutional and behavioural capacities for development. Outcomes should:

- Make a substantive and measurable contribution to the achievement of the selected priorities of the national development framework and the 2030 Agenda;

- Directly address key issues/development challenges identified by the country analysis;

- Be specific, realistically achievable, sustainable and measurable, ensuring accountability and monitoring;

- Include special measures to address gender inequalities and empower women based on the findings from the CCA; and

- Reflect the contributions of one or more organizations, clearly highlighted in the UNDAF results matrix.

Outputs are changes in skills or the abilities and capacities of individuals or institutions, or the availability of new products and services that result from the completion of a development intervention. Outputs are reflected in annual, biennial or multiyear joint work plans. Results at output level are directly attributable to the UN system and contribute to outcomes. While outputs are not required for the UNDAF, the UN system may choose to develop outputs as part of the outcome theory of change, which underlies work plans.

2. PREPARING A THEORY OF CHANGE

UNDAFs are founded on a clearly articulated, evidence-based theory of change that describes everything that needs to happen for development change to occur. As such, the theory of change allows the UNCT to understand the ways in which the results of the UNDAF results framework relate to one another. It explains the causal relationship between different types and levels of results, and makes explicit both the risks and assumptions that define the relationship. By doing so, it allows the UNCT and its partners to interrogate those assumptions and risks when subsequently developing programmes and projects.

Developing a theory of change is crucial for shaping the strategy for change that underlies the UNDAF, and for making explicit the focus on groups left behind or at risk of being left behind. This exercise in collective thinking helps the UN system and its partners to devise programmes best suited to achieving the desired change based on evidence and learning. The theory of change enables: a better and more agile strategy; more effective communication of it; improved partnership decisions for delivering on the strategy; and broader, deeper and more substantial ownership of it.

UNDAFs have an overall theory of change that shows how it is assumed that UNDAF strategic priorities will support achievement of national priorities and the SDGs, as well as how the outcomes collectively support the achievement of chosen priorities while mutually reinforcing each other. UNCT Results Groups also prepare a theory of change for each UNDAF outcome.

An UNDAF theory of change:

● Is based on analysis and data provided in the CCA;

● Articulates the high-level change the UNCT intends to contribute to in the context of the 2030 Agenda;

● Makes clear why the UNCT believes that lower level results will necessarily result in higher level results;

● Lays out the risks and assumptions that define the relationships among different results;

● Is developed through a consultative process, reflecting the understanding of all relevant stakeholders; and

● Supports continuous learning and improvement from programme design to closure.

See companion guidance on how to prepare the UNDAF theory of change

3. UNDAF RESULTS MATRIX

UNDAF strategic priorities and outcomes are articulated in the UNDAF results matrix (see **Annex 3**). The matrix includes indicators, baselines, targets, means of verification, a list of partners, the medium-term CBF, and, where relevant, links to other UN plans. It makes the division of labour clear within the UN system by identifying roles and responsibilities. To the extent possible, indicators, targets, baselines and means of verification are aligned with the relevant SDG indicators and targets, and are drawn from the data used in the CCA.

UNDAF outcomes can be adapted directly from SDG targets that are lagging behind in areas where the United Nations has a comparative advantage. They are tailored to the national context and drawn from national priorities. The results matrix becomes the basis for monitoring and evaluation of the UNDAF, serving as a key element for ensuring evaluability.

The multiyear CBF is discussed under financing the UNDAF.

REVIEW AND VALIDATION OF THE UNDAF

The UNDAF is prepared in a standard template (see **Annex 4**), which also contains a standard legal clause (**Annex 5**). Prior to finalization, the Resident Coordinator, on behalf of the UN system, shares a draft of the UNDAF, including the results matrix and CBF, with the regional Peer Support Group for review. The group has 15 working days to provide consolidated comments, assessing the UNDAF based on the quality criteria in **Annex 1**. For more details about quality assurance at the regional level, see **Annex 6**.

The UNCT reviews and incorporates comments it considers appropriate into the final draft UNDAF, and provides an explanation to the Peer Support Group on those comments it chooses not to include. In countries with UN missions, the Deputy Special Representative of the Secretary-General/ Resident Coordinator shares the draft UNDAF with the inter-agency taskforce to receive feedback within the same timeframe. After incorporating feedback, the UN system provides a new draft to the government, and seeks feedback on it from key stakeholders and other development partners.

SIGNATURE AND LAUNCH OF THE UNDAF

Once the UNDAF is agreed upon, it is signed by the government and all UN entities. Launching the UNDAF simultaneously with the national development plan, where feasible, can increase its visibility. The Resident Coordinator sends the signed UNDAF to all partners and to the Chair of the UNDG. Completed UNDAFs are posted on the UNDG website.

ALIGNMENT OF UN ORGANIZATION PROGRAMME DOCUMENTS

All UN organizations participating in the UNDAF align their programming processes to the UNDAF process to the extent possible. UNDAF strategic priorities, outcomes and joint work plans provide a basis for individual organizational planning instruments. While preparation of such plans will often begin before the final signature of the UNDAF, the final versions of these plans should align with the UNDAF, reflect its specific strategic priorities and outcomes, and make explicit their relationship with the UNDAF.

REGIONAL APPROACHES TO PROGRAMMING

In certain sub-regional contexts, such as those involving small island developing states, the possibility of applying a regional approach to programming may be considered, including through multicountry UNDAFs to ensure coherent, coordinated and, where appropriate, integrated support that reduces duplication and increases impact. This has been done successfully for the Pacific Region (2013-2017 United Nations Development Assistance Framework for the Pacific Sub-region), covering 14 countries, and for the Caribbean (2017-2021 UN Multi-country Sustainable Development Framework in the Caribbean), covering 18 countries. .

FINANCING THE UNDAF

The development impact of the UNDAF will largely depend on the capacity of the UNCT to optimally finance it. It is highly recommended to prepare an UNDAF financing strategy because it ensures that: UN activities are appropriately costed and resourced; UN resources catalyse larger financial flows to implement the 2030 Agenda; and incentives embedded into UN financing mechanisms promote inter-agency collaboration and coherence. (see UNDAF companion guidance on Shifting from Funding to Financing)

COSTING AND RESOURCING UN ACTIVITIES: Substantial over- or under-budgeting of the UNDAF carries reputational risks. It can be construed as a reflection of poor UNCT planning capacity or limited commitment to transparency and accountability. Most likely, it will affect fund mobilization. Accurately budgeted activities will facilitate resource mobilization for activities to be directly implemented by the UN system.

LEVERAGING: UN resources are generally an extremely small proportion of the overall resources required and available for achieving the SDGs. They are used to leverage much larger public and private financial flows for sustainable development. This ambition demands a paradigm shift from funding to financing in the UNDAF. While the former is centred on resource mobilization to close the funding gap for activities directly implemented by UN agencies, the latter aims at leveraging all existing financial flows and instruments to finance the overall development results to which the UN system contributes. The effectiveness of UN resources in catalysing larger financial flows for sustainable development can be measured through leveraging ratios.[19]

INCENTIVIZING COLLABORATION: Money can be either a unifier or a divider. Collective funding mechanisms tend to incentivize collective action, while ad hoc funding can foster competition. Incentives embedded in different financing strategies and mechanisms should be assessed and aligned with the UNDAF's objective to foster UN coherence and collaboration for the 2030 Agenda at the country level.

Accordingly, the UNDAF financing strategy includes four elements:[20]

STEP 1:
Mapping the financial landscape, including international and national, private and public sources of finance
This first step draws on the assessment of existing development finance flows and mechanisms conducted in the CCA. It enables the UNCT to assess its financing comparative advantages, and identify where the UNDAF could play a strategic role to leverage broader financial flows.

STEP 2:
Preparing the Common Budgetary Framework
The multiyear CBF is the consolidated financial framework that reflects agreed costed results of the UNDAF. It lays out the funding gap for the UNDAF and is part of the UNDAF results framework. It shows the best financial estimates for delivery of outputs, planned financial inputs and the funding gap for the entire UNDAF period. It can be operationalized through more detailed annual costed frameworks. The estimated resources column in the UNDAF results matrix consists of an estimation of financial resources, including human capacity, that each UN organization will contribute or mobilize from core (regular) and non-core (other) resources.

Costing budget requirements can be complex and methodologies can vary. To ensure that estimates are realistic, UNDAF funding gaps make reference to historical funding data. It is highly recommended to not budget an UNDAF at over 130 percent of the expenditure of the previous UNDAF[21] unless this increase can be specifically justified. To the extent possible, harmonized methods of estimating available funds are used by different members of the UN system. Consistency needs to be ensured between the UNDAF financing gap and the figures used in respective organizational planning documents. International Aid Transparency Initiative and CEB data can be used to triangulate the information. Within joint work plans, outputs are costed and funding gaps identified based on resources available.

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19 The leveraging ratio is increasingly becoming the key performance metric for a public sector intervention, similar to the role of the bottom line for the private sector. In the corporate world, the leveraging ratio most commonly refers to the debt-to-equity ratio. However, there is no universally accepted definition of the term when it is applied to a set of public policy instruments used by a national or international development organization to catalyse other public and private investment. The companion guidance on moving from funding to financing distinguishes different types of leveraged finance.
20 The first two elements are recommended to promote a paradigm shift from funding to financing, and to enhance the contribution and relevance of the UN system to implementation of the 2030 Agenda. The third and fourth elements are minimum requirement in order to prioritize, align, coordinate and report on UN fund mobilization efforts.
21 Since the next UNDAF will be planned while the current one is ongoing, it will not be possible to have final numbers in terms of the volume of delivery. These will need to be estimated by combining delivery to date with future projected delivery in the current cycle.

STEP 3:
Developing a Financing Strategy to Address the UNDAF Funding Gap

In line with the UNDAF objectives, the third step assesses opportunities for the UN system to:

- Access additional resources for activities directly implemented by the UN System. These non-core resources to be channeled through the UN system can be both traditional and non-traditional, including foundations, the private sector, emerging donors and innovative financing

- Sequence/blend its core (regular) and non-core (other) funding with international/national concessional/non-concessional public finance (Multilateral Development Bank, National Development Banks, commercial banks, social impact investors, etc.)

- Leverage larger resources, which include all public, private, national and international financial flows. Leveraging resources does not focus on bringing non-core resources into the UN or blending them with UN resources but on catalyzing larger public and private investment to achieve the UNDAF development goal.

STEP 4:
Design the joint resource mobilization strategy

The new UNDAF guidelines require the implementation of joint work plans through Results Groups. Within each result groups, UNCTs should explore opportunities for joint resource mobilization. The joint resource mobilization strategy will provide a common narrative and allocate responsibilities for fund mobilization efforts. It aims to promote synergies, and avoid duplication of efforts, counter-productive competition among organizations and funding gaps. Regular review enables adjustments to take advantage of new or emerging resource mobilization opportunities. Wherever possible, coordination and periodic reviews should take place through existing mechanisms.

It will also consider pooled financing mechanisms to incentivize collective action and system-wide coherence. The United Nations employs collective finance mechanisms (pooled funds) such as joint programmes, trust funds or thematic funding to reduce aid fragmentation, increase the quality (predictability, timeliness and flexibility) of non-core resources, and incentivize advocacy, policy coherence, capacity development and operational coherence. In 2014, the Multi-Partner Trust Fund Office estimated that pooled funding mechanisms only need to mobilize between 15 percent and 20 percent of the overall non-core funding portfolio to leverage these comparative advantages. For guidance on pooled funding instruments, please visit http://mptf.undp.org/document/templates.

COORDINATION AND MANAGEMENT ARRANGEMENTS

To implement the UNDAF, the UN system establishes and clarifies roles, responsibilities and necessary processes for oversight, coordination, management, partnership arrangements, planning, monitoring and evaluation. In line with the UN commitment to national ownership through strengthening national capacities, these arrangements maximize the use of national systems and available UN competencies and resources, and are grounded in the international norms and standards that the UN system upholds.

Effective implementation requires that all UN members operate in a manner that promotes coherence, ensuring that core programming principles and approaches are fully considered and applied under the unifying principle of leaving no one behind. To this end, the UN system commits adequate resources to UNDAF management arrangements. Organizations need to establish incentives for their staff to consistently contribute to inter-agency mechanisms for delivering on the UNDAF, such as by integrating this expectation in their performance plans.

ROLES AND RESPONSIBILITIES

The UNDG Management and Accountability System (MAS), including the functional Resident Coordinator firewall, provides an overview of the responsibilities and accountabilities of key actors, including in the context of developing and implementing an UNDAF. Key roles are identified for the Resident Coordinator and members of the UNCT (UN Management and Accountability System).

The Resident Coordinator facilitates and oversees the CCA, and the design and implementation of the UNDAF. Where required, the Resident Coordinator may also propose amendments to the UNDAF and the joint work plans if some activities are no longer aligned with the broader strategy of the UNDS to respond to national needs and priorities.

Further details on specific roles, responsibilities and accountabilities are found in the integrated guidance for the SOPs. When feasible, UNDAF design and implementation arrangements align with existing broader national coordination mechanisms to avoid duplicating these mechanisms and to keep transaction costs to a minimum **while ensuring national ownership and leadership**. Figure 3 represents a typical implementation arrangement, although this may differ in countries with UN missions.

The Joint National/UN Steering Committee, co-chaired by the government coordinating entity and the Resident Coordinator, reviews and guides the strategic direction of the UNDAF and the joint work plans, providing high-level oversight and support. Its generic terms of reference (One-Programme Tools & Materials) reflect the spirit of national ownership, although final details are decided by the Resident Coordinator and UNCT depending on local context and in consultation with the government. The steering committee meets at least once per year during the UNDAF annual review to discuss data and evidence collected during monitoring for assessing progress against the indicators, horizon-scanning, updating risk analysis, and assessing performance in forming partnerships, resource mobilization and delivery.

UNDAF Results Groups[22] are an arrangement for the implementation of one or more UNDAF strategic priorities. They are typically internal UN working mechanisms that ensure a coherent UN approach. Results Groups should be aligned to existing nationally led coordination mechanisms whenever possible. Where such mechanisms do not exist, the UN system can promote their creation. Depending on country context, national and international stakeholders may be included in Results Groups (One-Programme Tools & Materials)

JOINT WORK PLANS

Joint work plans are managed by Results Groups and define output-level results, activities and an annual CBF. They enable the UN system to advance coherence, coordinate work around the delivery of the UNDAF outcomes, and support transparency and accountability. Organization-specific work plans complement UNDAF joint work plans, where relevant. In formulating and carrying out joint work plans, Results Group do the following:

- Identify outputs where two or more agencies can complete each other's efforts, including through joint programming, and outline the roles of different members in achieving common results.

- Coordinate and manage the implementation of interventions in a coherent manner, to achieve common results;

- Identify joint communications and advocacy opportunities to achieve common results;

- Ensure that outputs are costed, available resources identified, and the funding gap calculated and reported on;

FIGURE 3
TYPICAL UNDAF DESIGN AND IMPLEMENTATION ARRANGEMENT

Joint National/
UN Steering Committee

UNCT (chaired by Resident Coordinator)

M&E group | UNCG | Operations Management Team (OMT) | Results Group 1 (chaired by head of organization) | Results Group 2 (chaired by head of organization) | Results Group 3 (chaired by head of organization) | Results Group 4 (chaired by head of organization)
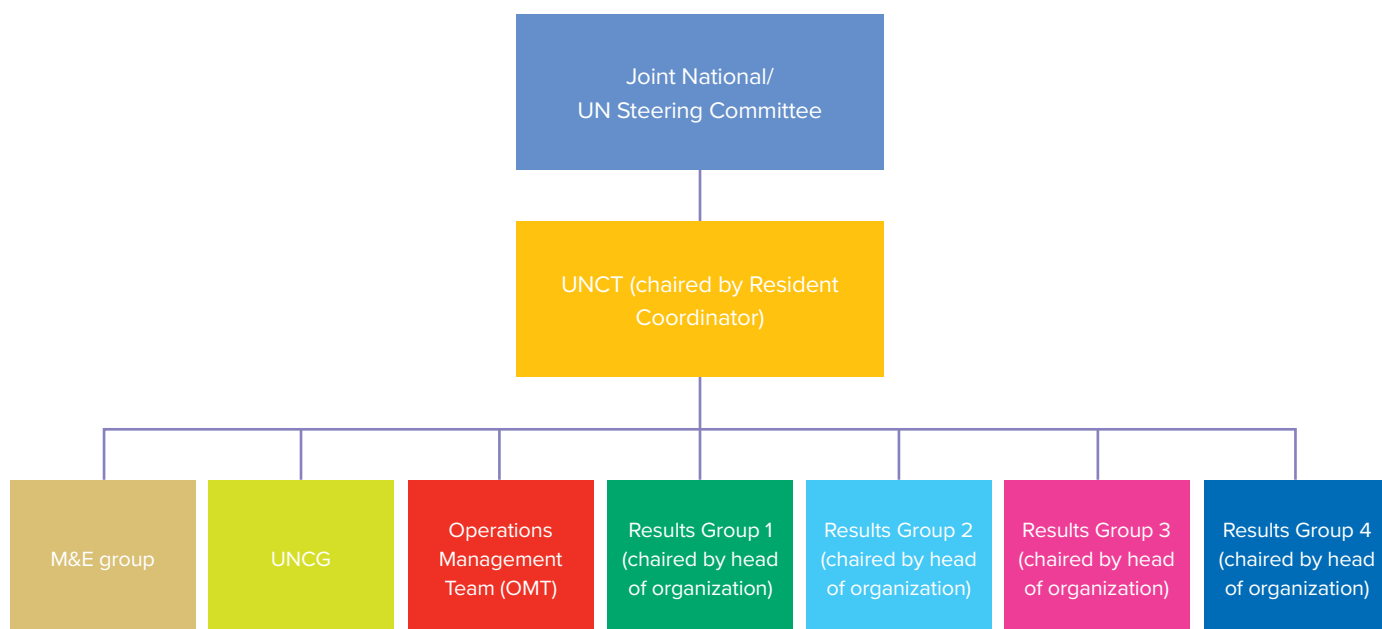
- Develop and sign joint work plans with relevant UN organizations and whenever possible with the government;

- Periodically review and revise the joint work plans as necessary;

- Prepare inputs for the annual One UN Country Results Report.

In countries with UN missions, implementation can be facilitated through joint work plans overseen by Results Groups with both UN mission and UN agency members. The work plans provide a transparent overview of the activities of UN actors working in the country and create a better division of labour. Activities can either be implemented by the mission alone or jointly with one or more UN entities. In countries with humanitarian operations, humanitarian actors can contribute to joint work plans, and efforts can be made to ensure coherence and complementarity between humanitarian and development actions. For more information, see the SOPs for countries adopting the "Delivering as One" approach, and the companion document One Programme Tools and Materials: Tips and Template for Joint Work Plans (One-Programme Tools & Materials)

JOINT PROGRAMMING AND JOINT PROGRAMMES: MUTUAL REINFORCEMENT

Joint programming is the collective effort through which UN organizations and national partners work together to prepare, implement, monitor and evaluate activities aimed at effectively and efficiently achieving the SDGs and other international commitments, within the framework of the UNDAF and the joint work plans.

Within joint work plans, the United Nations may identify the need for increased joint delivery through the development of one or more joint programme(s). A joint programme is a set of activities contained in a joint work plan and related budgetary framework, involving two or more UN organizations, and intended to achieve results aligned with national priorities as reflected in the UNDAF. Joint programmes can be funded through pooled funds. While the joint programme arrangement is only between UN organizations, other stakeholders can be engaged as implementing partners. UN missions and humanitarian actors are also invited to engage in joint programmes, where appropriate, depending on the country context. Joint programmes can be attractive to funding partners, since the modality provides greater assurance of UN coherence in delivering results.

RESULTS MONITORING, REPORTING AND EVALUATION

Monitoring and evaluation (M&E) are essential for accountability and learning from the UNDAF. They are the basis on which the UN system assesses and makes transparent its contribution to the achievement of national priorities and the SDGs. They help the United Nations ensure that it is delivering on the commitment to leave no one behind, and that its support is primarily reaching those who are most disadvantaged. Anticipated M&E activities during the UNDAF cycle are laid out in a costed M&E plan.

Monitoring takes place continuously to track progress towards anticipated results, and checks if the theory of change identified at the design stage is still valid or needs to be reviewed. Building on identified data needs and baselines established during the CCA, monitoring helps the UN system and partners to prioritize, learn, make course corrections and communicate these to stakeholders. It incorporates attention to programme and operational bottlenecks.[23]

The UNDAF should be regularly monitored against the programming principles and approaches in each stage of the programming cycle. As part of the annual review process, the One UN Country Results Report, based on existing evidence, demonstrates how the UNDAF:

- Contributes to the implementation of the 2030 Agenda, the SDGs and recommendations by UN human rights mechanisms;

- Reaches those left furthest behind first, and contributes to the reduction of inequalities and discrimination;

- Is inclusive, participatory and transparent, and enables stakeholders to hold the UN system accountable for results;

- Addresses risks and resilience;

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22 The Results Groups contribute to specific UNDAF outcomes through coordinated and collaborative planning, implementation, and monitoring and evaluation.
23 Bottlenecks are blockages that may be related to supply or demand (e.g., knowledge of services, behavioural factors that influence people's ability to access available services), the quality of services, or social values, legislative frameworks, finances or management influencing a sector or area. For more, see the UNDG Guidance on Frequent Monitoring for Equity.

- Is based on a valid theory of change, whereby assumptions on how UN programmes affect development change are confirmed and revised in light of changes in the context;

- Contributes to developing the capacity of duty-bearers to meet their obligations and rights-holders to claim their rights;

- Enhances coherence between the development, humanitarian, human rights, peace and security, and environmental agendas;

- Contributes to fostering new and effective partnerships between national stakeholders and international actors, including through South-South and triangular cooperation;

- Promotes integrated and coherent policy support to partners;

- Contributes to strengthening national capacities to collect and analyse data for policy-making and reporting.

UNDAF evaluations are external and a minimum requirement of a quality UNDAF process. They are conducted once in the UNDAF life cycle, with timing coordinated among UN entities so that organizational or programme evaluations can contribute to them. UNDAF evaluations assess whether planned UNDAF results were achieved, whether they made a worthwhile and durable contribution to national development processes and delivered on the commitment to leave no one behind, whether this was done in a cost-efficient manner and whether results built on the United Nations' collective comparative advantage (rather than that of individual agencies) in a coherent manner. UNDAF evaluations also assess the extent to which UN interventions contribute to the four UNDAF programming principles.

An UNDAF evaluation supports institutional learning on what works and does not work, where, when and why, and provides information that contributes more broadly to the evidence base for policy approaches backed by the UN system. It serves as the foundation for subsequent UNDAF planning processes. UNDAF evaluations and management responses issued by the UNCT are prepared in line with the UNEG Norms and Standards on Evaluation.

At the country level, an inter-agency M&E group supports the planning and coordination of joint monitoring and evaluation efforts, including the coordination of data collection, provision of coherent M&E advice, capacity strengthening, and sharing of monitoring and evaluation information. In doing so, it draws upon expertise from across the UN system, acknowledging that organization-specific monitoring and evaluation practices will complement the UNDAF monitoring and evaluation work. The M&E support group works closely with the Results Groups and in some cases is an integral part of them. In UN mission settings,

M&E groups work with mission staff to ensure coherence. In humanitarian settings, the groups link as much as possible with humanitarian response monitoring frameworks and systems.

Monitoring and evaluation of the UNDAF contributes to strengthening national data collection systems, including by improving data quality, analysis and use with regards to monitoring progress on national SDG targets, and consistency with global SDG monitoring. Building on and strengthening existing national data and information systems help ensure national ownership as well as sustainability.

Increasingly, the United Nations undertakes joint real-time monitoring activities to support data collection, gauge perceptions from national stakeholders on progress towards UNDAF outcomes, monitor risks and test the continued relevance of the theory of change. A monitoring platform such as DevInfo/ (UNINFO) can support the transparency of data and provide information for reporting. The companion guide on monitoring and evaluation lays out the different steps in detail.

ANNEXES

ANNEX 1: QUALITY CRITERIA FOR UNDAFS

There are five criteria to assure the quality of UNDAFs during design and implementation: a) relevance and strategic focus, b) principled, c) effective, d) efficient and e) sustainable. These criteria define expectations to be considered in programming, and provide common standards for assessing the quality of UNDAF implementation, based on evidence from monitoring. Evaluations are expected to use the same criteria to independently assess the quality and performance of the UNDAF.

Below, each of the quality criteria is rated on a scale from 1 to 5: A ranking of "5" means that the quality criterion has been fully met; "1" means that it is not reflected at all. This quality ranking should be undertaken as a self-assessment during preparation of the UNDAF as well as during the Peer Support Group appraisal to ensure that criteria are met.

QUALITY CRITERIA		DETAILED DESCRIPTION	RANKING (1-5)
Relevance and strategic focus	1	The UNDAF supports national sustainable development priorities, and supports the localization, implementation and monitoring of the SDGs.	
	2	The UNDAF supports and contributes to internationally agreed sustainable development goals and regional sustainable development priorities.	
	3	The UNDAF priorities are underpinned by a theory of change based on available evidence and disaggregated data, including evaluations from earlier programme cycles.	
	4	The UNDAF addresses immediate, underlying and root causes of poverty and inequalities, fosters inclusiveness, and reduces inequalities and discrimination to ensure no one is left behind.	
	5	The UNDAF builds upon a holistic and objective country assessment of the current situation, evidence of the UN system's comparative advantage, evidence-based approaches and potential future risks.	
	6	The UNDAF adequately considers the likelihood of crisis, instability, conflicts, serious violations of human rights and humanitarian law, and who might be affected.	

QUALITY CRITERIA	DETAILED DESCRIPTION		RANKING (1-5)
Principled	7	**Leave no one behind** (a) The UNDAF addresses the promise to leave no one behind and appropriately captures the situation of the most vulnerable and marginalized groups, including through measures targeted at reducing inequalities. (b) The UNDAF addresses the needs of groups affected by inequalities and discrimination. (c) Target groups/areas are clearly identified based on evidence, prioritizing marginalized and vulnerable groups, and those considered to have been left behind. (d) The theory of change clearly explains why these groups will be targeted.	
	8	**Human rights, gender equality and women's empowerment** (a) The UNDAF contributes to the realization of human rights and the use of a human rights-based approach. It supports the capacity of both rights-holders and duty-bearers. (b) The UNDAF supports the country to respect, promote and implement its obligations and commitments under international law, including human rights instruments, international labour standards, environmental or climate-related agreements, and the recommendations of the Universal Periodic Review, treaty bodies and other supervisory bodies. (c) The UNDAF addresses inequalities and discrimination. (d) The UNDAF integrates gender dimensions, such as gender-based violence and discrimination, and promotes gender equality and the empowerment of women and girls.	
	9	**Sustainability and resilience** (a) The UNDAF is designed to advance social, economic and environmental sustainability; reduce conflict and disaster risks; and build resilience. (b) The UNDAF takes into account political, security and human rights risks, and takes preventive steps. (c) The UNDAF aims to build the resilience of societies and systems through developing capacities, taking into account social and environmental safeguards. (d) The UNDAF promotes environmental dimensions of sustainable development, considers the impact of climate change and other emerging issues at global and country levels, and highlights groups most likely to be affected, including in terms of gender dimensions.	
	10	**Accountability** (a) The UNDAF involves inclusive and participatory consultations with relevant stakeholders (e.g., non-governmental stakeholders, invluding groups affected by inequalities and discrimination) to foster broad ownership of the country programme and meaningful participation. (b) The UNDAF promotes social and political arrangements that strengthen the accountability of all stakeholders. (c) The UNDAF contains clearly articulated results (outcome level), indicators for measuring progress, and budgetary resources that reflect UN contributions based on the system's comparative advantage in the country.	

QUALITY CRITERIA		DETAILED DESCRIPTION	RANKING (1-5)
Effective	11	**Results-focused programming** (a) The UNDAF supports the use of evidence and disaggregated data, including data collection and analysis from national institutions, partners, civil society organizations and marginalized groups. (b) The UNDAF applies a results-based management approach, such as through clear results chains, and has a plan for monitoring and evaluation.	
	12	**Risk-informed programming** (a) The UNDAF identifies risks and defines risk management to ensure timely and effective programme delivery. (b) The UNDAF rigorously assesses and mitigates social and environmental impacts to ensure that the country programme does not cause harm to people and the environment.	
	13	**Development, humanitarian and peace building linkages** The UNDAF demonstrates coherent response across development, humanitarian and peace building agendas, underpinned by human rights, in crisis and post crisis settings: (a) UN joint multi-dimensional conflict and risk analysis was undertaken, where appropriate. (b) The CCA considers multi-hazard risks, human rights, humanitarian and peacebuilding dimensions in a holistic way, as well as existing coping and response capacities and resilience systems. (c) When appropriate for the context, the UNDAF has collective outcomes articulated based on joint analysis and multi-year planning, building on the comparative advantages of a diverse group of partners. (d) In contexts where UNDAFs and HRPs exist side by side, direct links are made between the UNDAF and Humanitarian Response Plans/Refugee Response Plans to ensure complementarity, sequencing of development and humanitarian activities and compatibility of results frameworks	
	14	**Coherent policy support** (a) The UNDAF enhances policy coherence at the country, regional and multilateral levels, leading to action (policies and programmes) that build upon and reinforce each other. (b) The UNDAF promotes issue-based approaches to support joint/inter-agency programming.	
	15	**Partnership** (a) The UNDAF considers the development partnership landscape within countries to tap the full potential of partnerships, including with the private sector. (b) The UNDAF considers the development of transboundary national partnerships at the sub-regional, regional and global levels, including through promoting the use of South-South and triangular cooperation.	

QUALITY CRITERIA		DETAILED DESCRIPTION	RANKING (1-5)
Efficient	16	The UNDAF underpins UN transparency and accountability to the beneficiaries of assistance, including through clear mechanisms for accountability.	
	17	The UNDAF considers available resources and realistic resource mobilization targets, accompanied by a resource mobilization strategy/action plan.	
	18	The UNDAF demonstrates a complementary and coordinated approach by the UNDS, including consideration of joint programming and common positions on situations of concern.	
	19	The UNDAF's proposed/planned programming activities are cost-efficient, providing "value for money."	
	20	The UNDAF adequately explores opportunities for harmonizing joint communications and business operations to support UNDAF programming.	
Sustainable	21	**Capacity development** (a) The UNDAF supports the capacity development of national and subnational institutions, civil society organizations and other stakeholders, including agencies and bodies in charge of statistics and data utilization. (b) The UNDAF provides for the systematic assessment of capacity needs and assets to inform capacity development strategies.	
	22	There are explicit links to national plans to ensure UNDAF results respond to national priorities.	
	23	The UNDAF recognizes different programming contexts and diversity among UNCTs, and considers options for operational modalities accordingly.	
	24	The UNDAF supports and encourages innovation, learning, and knowledge gathering and transfer.	

ANNEX 2: TEMPLATE FOR PREPARING THE UNDAF ROADMAP

Note: This document should be sent to the Regional UNDG Teams, Peer Support Groups and the UNDG Development Operations Coordination Office upon finalization, and when substantial changes are proposed.

COUNTRY	
DATE	

INTRODUCTION

Provide a brief overview of the context in which the new UNDAF will be developed, highlighting recent national developments, existing UNDAF evaluations and reviews, and lessons learned from previous reviews/analysis. Detail how non-programme core elements are going to be incorporated, in particular the BOS and communications. [Recommended length: 2-3 paragraphs.]

ALIGNMENT

(a) ALIGNMENT WITH NATIONAL, REGIONAL AND GLOBAL PROCESSES AND/OR PRIORITIES

Highlight how the UNDAF formulation process will be aligned with national planning process and/or national development priorities, as well as other national, regional and global processes and/or priorities including the 2030 Agenda. [Recommended length: 1-2 paragraphs.]

(b) ALIGNMENT WITH OTHER UN PILLARS, INCLUDING HUMANITARIAN, HUMAN RIGHTS, UN PEACE OPERATIONS AND PEACEBUILDING

Detail how the CCA/UNDAF will relate to other UN planning frameworks, including the identification of potential joint approaches across UN pillars that can support/enhance country level action and increase coherence. [Recommended length: 1-2 paragraphs.]

(c) ALIGNMENT WITH UN ORGANIZATION PLANNING PROCESSES

Highlight how the CCA/UNDAF process is aligned to other UN organization planning processes, including the preparation of country programme documents or the equivalent, and when they will be submitted to Executive Boards where required. [Recommended length: 1-2 lines maximum per organization.]

EXISTING ANALYSIS AND IDENTIFICATION OF ANALYSIS GAPS

Identify analysis/data gaps that the CCA will need to address and detail sources for information. [Recommended length: 1-2 paragraphs.]

MANAGEMENT ARRANGEMENTS

Highlight who will be responsible for leading/managing and coordinating the process, as well as providing oversight. Note when other relevant groups such as the OMT, the UNCG and others as relevant will be consulted and involved. [Recommended length: 2-3 paragraphs.]

ENGAGEMENT OF STAKEHOLDERS AND PARTNERSHIP STRATEGY

Provide an overview of relevant stakeholders and partners who should be involved throughout the development of the UNDAF, including when and how they will be engaged. It may be useful to add an annex with the list of all partners who will be consulted, including types of organizations and their constituencies. [Recommended length: 1-2 paragraphs.]

COMMUNICATIONS

Provide an overview of your communications roadmap during UNDAF development, including a media plan to support transparency, accountability, and wider ownership and engagement. [Recommended length: 2-3 paragraphs.]

CAPACITY AND SUPPORT REQUIREMENTS

Provide an overview of training and capacity development needs, and support required from non-resident agencies, and specify if there are any plans to use consultants, what their role will be and what tasks they will undertake. [Recommended length: 2-3 paragraphs.]

RISK MANAGEMENT

Identify and manage any potential risks that could disrupt the planned process of the roadmap and list appropriate mitigation strategies. [Recommended length: 1-2 paragraphs.]

SUMMARY BUDGET

Provide a consolidated overview of the budget as mentioned in the below timeline, and provide details on how the UNCT is planning to finance and share the costs of developing the CCA and UNDAF. [Recommended length: 1-2 paragraphs.]

UNDAF ACTIVITY PLAN

(a) KEY DELIVERABLES

Provide an initial description of the proposed CCA/UNDAF development process, detailing the main agreements on the UNDAF preparation process, and the type of document that will be developed, including the implications of the process as relevant. [Recommended length: 1-2 paragraphs.]

(b) TIMELINE[24]

KEY DELIVERABLE	ACTIVITY/ MILESTONE	20XX												20XX												RESPONSIBLE	BUDGET	SUPPORT REQUIRED[25]
		J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D			
ROADMAP How will the roadmap be developed? Through a consultative and inclusive process, the UNCT and the national stakeholders should prepare and agree on a roadmap aligned with the national development planning process, and laying out steps and milestones for the UNCT's contribution to the CCA and UNDAF formulation.																												
EVALUATION The evaluation of the current UNDAF can be seen as the first step in the formulation of a new UNDAF. UNDAF evaluations are a minimum requirement in the UNDAF process.																												
CCA AND UN VISION 2030 A robust, rights-based and integrated CCA is required for every UNDAF formulation process. The CCA should highlight UN support for the national achievement of the 2030 Agenda, and provides an opportunity to have wider national conversations on a national vision 2030. The CCA should determine the UN system's comparative advantage. A good starting point is to identify any existing analysis by the government and UN bodies (including UN human rights mechanisms).																												

24 Trainings, workshops and retreats should be added under each of the relevant sections (or where they make most sense as some might be relevant for different steps).

25 The Regional UNDG Teams and Peer Support Groups are available to provide technical support and guidance throughout the process. The latter will formally review and provide feedback on each key document (roadmap, CCA and strategic framework), so this should be captured here. Any external support that may be required should also be reflected.

KEY DELIVERABLE	ACTIVITY/ MILESTONE	20XX												20XX												RESPONSIBLE	BUDGET	SUPPORT REQUIRED[25]
		J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D			
	STRATEGIC PRIORITIZATION AND PLANNING Building on the CCA, strategic planning is meant to identify a limited number of key UN strategic priority areas, in which the UN system has the capacity and the comparative advantage to make a difference in the country. The UN system should: 1) identify and agree on strategic priorities areas, 2) prepare a theory of change, 3) agree on UNDAF outcomes and outputs, 4) develop a results matrix (including a medium-term CBF), 5) develop a narrative section, 6) develop a costed M&E plan and 7) devise a financing strategy. This stage should also indicate when the UNDAF will be signed by the United Nations and the government.																											
	ORGANIZATION-SPECIFIC PROGRAMME DOCUMENTS All organizations are required to align their programming processes with the UNDAF. UNDAF strategic priorities/outcomes are the basis for developing organizational programme documents, as appropriate. Organizations may begin preparation of these documents once the UNDAF outcomes are known to ensure that organizational submission deadlines are respected.																											
	JOINT WORK PLANS AND M&E Joint work plans operationalize the UNDAF by translating its outcomes into concrete, measurable and time-bound outputs and key activities (including an annual budgetary framework). Organization-specific work plans complement UNDAF joint work plans, where relevant.																											

ANNEX 3: TEMPLATE FOR UNDAF RESULTS AND RESOURCES MATRIX

RESULTS	INDICATORS	UN PARTNERS	MEDIUM-TERM COMMON BUDGETARY FRAMEWORK		
			Total (C)	Projected to be available (A)	To be mobilized (B)
STRATEGIC PRIORITY 1					
Related national development priority or goal					
Related SDG(s)					
Outcome 1.1	**Indicator:** **Baseline:** **Target:** **Data source**				
Outcome 1.2	**Indicator:** **Baseline:** **Target:** **Data source**				
STRATEGIC PRIORITY 2					
Related national development priority or goal					
Related SDG(s)					
Outcome 2.1	**Indicator:** **Baseline:** **Target:** **Data source**				

NOTES

Resources projected to be available (A):[26] These are funds available from all funding sources and already secured (including under contract) at the time of the CBF preparation. They include both voluntary core/assessed budget funding, as well as non-core/other contributions received in-country, allocated from head¬quarters or regional levels, and/or received through UN inter-agency pooled funds, agency-specific thematic funds or global vertical funds. They include confirmed non-core/other resources, plus all pipeline funds under negotiation between UN organizations and potential contributors.

Resources to be mobilized (funding gap) (B): This is the difference between resources already secured and firmly available, and resources required to implement the UNDAF. This gap should be based both on needs and realistic projections of additional resources that can be mobilized.

Total (C): This is the total estimated cost of implementing the UNDAF. It is the sum of the available resources **(A)** and the resources to be mobilized **(B)**. This total should not exceed 130 percent of the expenditure of the previous UNDAFs unless this increase can be specifically justified

ANNEX 4: UNDAF DOCUMENT TEMPLATE

	A TYPICAL UNDAF DOCUMENT CONTAINS:
1	**Signature page**
2	**Executive summary**
3	**A narrative summary of the UNDAF strategic priority areas**
4	**Risks and assumptions**
5	**Initiatives outside the results matrix**[27]
6	**Overall financing strategy and estimated resource requirements** (This is a summary of the medium-term CBF whereby resources are provided per UNDAF strategic area and outcome, specifying how these are divided among UN agencies, and breaking down between resources that are available and that have to be mobilized.) (Links to Companion Guidance on Funding to Financing)
7	**Implementation arrangements** (These include an organigram and specific roles, responsibilities and accountabilities of the joint UN/national steering committee, Results Groups, M&E taskforce, OMT, UNCG, and any other relevant actor, e.g., gender theme groups. Links to non-programmatic work streams should be included.) (Links to SOPs and UNDAF Guidance Section on Coordination and Management Arrangements)
8	**Monitoring and evaluation provisions** (Link to Companion Guidance on Real Time Monitoring)
9	**Communication of results** (Information on how progress will be communicated and transparency advanced, referring to any joint communication strategy. (Link to Companion Guidance on Communication and Advocacy)
10	**UNDAF results matrix**
11	**Legal clauses** (Link to Legal Annex)

27 The UNDAF results matrix should contain the majority of the UN system's interventions in a country, all of which should contribute to the achievement of UNDAF strategic priorities in support of national sustainable development goals. When an organization undertakes specific activities that do not fit under any strategic priority, they should be detailed here only under exceptional circumstances. An example is the antimicrobial resistance work of the World Health Organization, Food and Agriculture Organization and the World Organization for Animal Health, which is not always possible to integrate under a specific outcome.

ANNEX 5: UNDAF STANDARD LEGAL CLAUSE

See:
https://undg.org/document/undaf-legal-annex/
https://undg.org/document/undaf-legal-annex-faq/

ANNEX 6: QUALITY ASSURANCE AT THE REGIONAL LEVEL

The primary role of the regional UNDG teams is to provide leadership, strategic guidance and support to Resident Coordinators and UNCTs for the achievement of country level results. As outlined in the MAS, the Regional UNDG Teams have four core functions:

● Provision of technical/programme support to Resident Coordinators and UNCTs;

● Quality assurance support and advice on common country programming (e.g., the UNDAF, the Delivering as One process);

● Performance management and oversight of Resident Coordinators and the UNCTs; and

● "Trouble shooting" in complex country situations, dispute resolution, etc.

In line with current institutional arrangements, the main actors involved in providing quality support and advice from the regional level are:

● The **Regional UNDG Team**, composed of the directors of the regional offices of UNDG member agencies, provides policy and strategic advice to UNCTs. Additionally, they are the senior liaisons/focal points where UNCTs can address higher level issues as they arise.

● The inter-agency **Peer Support Group** comprises experienced UN staff delegated by the regional bureaux/offices of UNDG organizations. While the composition of the groups varies among regions, they in general provide strategic and technical support to UNDAF processes.

● The **convening agencies** are members of the Peer Support Group that serve as focal points for one or more UNDAF roll-out countries.

● The **Peer Support Group chairperson** coordinates the group and its members.

Quality assurance services at country level are linked to the main steps in the UNDAF process, as entry points. Quality is assessed against the UNDAF quality criteria (see **Annex 1**). Experience demonstrates that high-quality UNDAF documents depend on the quality of UNDAF roadmaps and CCA exercises, rigorous analysis of UNCT members' comparative advantages, well-planned and executed strategic planning retreats, and synchronized support to UNCTs from the regional and headquarters levels. All of these require early and sustained engagement by the Peer Support Group.

For all steps in the UNDAF process, on behalf of the Regional UNDG Teams, the Peer Support Group will engage to:

● **Provide advice**, based on UNDG guidelines, and global and regional strategic priorities, lessons and good practices, on **how to strengthen UNDAF processes and products**, with a particular focus on priority-setting and policy dialogue;

● **Consolidate and synthesize regional analyses** to support country analysis, strategic planning and a dynamic policy environment at the country level;

● Support data capacity-building, indicator development and evaluation advisory services in connection with on-going UN system-wide efforts on data, including at the global level;

● **Provide concise written feedback to UNCTs** on key programming documents, such as draft CCAs and UNDAFs, pertaining to the strategic direction and content of UNDAF preparations;

- **Support UNCTs to improve continuity in the UNDAF process** by helping to connect major findings and conclusions from one step to the next (for example, supporting UNCTs to consider studies or results from analytical exercises during the CCA and strategic planning steps);

- **Provide and/or facilitate the delivery of technical assistance**, such as through advisory missions or training, including on the three core programming principles;

- **Maintain an inventory of available technical expertise in the region,** with a focus on the programming principles and other thematic issues;

- **Document and disseminate good examples** and lessons learned, share high-quality UNDAFs prepared by roll-out countries, and assist the Regional UNDG Team to gauge the effectiveness of UN reform tools and mechanisms;

- Upon request, **support UNCTs with technical assistance for the annual UNDAF reviews and** during the **implementation** phase of the UNDAF;

- Upon request, provide advice or technical assistance on the **design of UNDAF evaluations**, including through the identification of consultants, and the review of terms of reference and draft evaluations towards ensuring application of UN Evaluation Group guidelines; and

- Provide feedback/advice on the One UN Country Results Report.

The following table describes specific quality assurance activities at country level carried out by Peer Support Group members, per the four main UNDAF steps. This is not an exhaustive list, and actual activities in each region will be tailored to particular country situations and needs.

QUALITY ASSURANCE ACTIVITIES BY PEER SUPPORT GROUPS	
1	**ROADMAP**
	• Support the organization of and participate in UNDAF regional workshops, and participate in country roadmap workshops; offer advice per UNDAF guidelines, and lessons and good practices;
	• Assist UNCTs to assess and prioritize their capacity needs for carrying out the UNDAF process, particularly for strategic priority-setting and in terms of the programming principles;
	• Emphasize the importance of, and advocate for, an objective exercise to identify UNCT comparative advantages with the inclusion of the entire UNDS; and
	• Review the roadmap and provide feedback to the UNCT.
2	**CCA**
	• Provide, if requested and as needed, subject matter/technical expertise drawn from UNDG agencies;
	• Review the strategic direction of the CCA as a basis for providing strategic guidance to the UNCT on substantive and methodological issues, and in terms of identifying the UNCT's comparative advantages and value-added;
	• Monitor and, upon request, participate in country analysis exercises as outlined in UNDAF roadmaps;
	• Participate in and support in-country workshops on the three core programming principles of the UNDAF;
	• Provide comments on the CCA; and
	• Support comparative advantage exercises.

3	**STRATEGIC PLANNING**
	● Provide, if requested and as needed, technical expertise drawn from Peer Support Group/UNDG agencies/experts in undertaking prioritization exercises for the UNDAF;
	● Help to resolve differences in terms of prioritization within the UNCT, and between the UNCT and government;
	● Circulate, coordinate and consolidate inputs from Regional UNDG Teams and provide concise comments on the draft results matrices and UNDAFs, including a review of the application of the programming principles; and
	● Assess the UNDAF by using the quality criteria in **Annex 1**.
4	**MONITORING AND EVALUATION**
	● Monitor the application of the UNDAF M&E plans by inter-agency mechanisms and processes;
	● Participate in annual reviews;
	● Provide comments on UNDAF progress reports; and
	● Participate in UNDAF evaluations.

In line with good practices already being carried out, Peer Support Groups should provide concise feedback to UNCTs on the strategic direction of their UNDAF preparations and the strategic content of their documents, including lessons and advice on ways to identify and position UNCT comparative advantages. This includes specific technical or policy-oriented guidance to ensure analytical consistency and coherence. Every country situation is different, and r**egular feedback from UNCTs is essential** to sustain a dialogue about progress, challenges and potential roadblocks, and to tailor quality assurance activities to specific situations and needs.

Regions enjoy the **flexibility** to organize and structure their available resources and people to best deliver quality assurance services to roll-out countries. In response to unique regional and country situations, the organization, resourcing and specific terms of reference for quality assurance activities and actors will vary. Organizational headquarters must reflect their commitment to quality assurance of the UNDAFs in job descriptions and **performance appraisals** as agreed in the MAS.

The United Nations Development Group (UNDG) unites the
32 UN funds, programmes, specialized agencies, departments,
and offices that play a role in development. Since 2008,
the UNDG has been one of the three pillars of the UN System
Chief Executives Board for Coordination, the highest-level
coordination forum of the United Nations system.

At the regional level, six Regional UNDG Teams play a critical
role in driving UNDG priorities by supporting UN Country
Teams with strategic priority setting, analysis and advice.

At the country level, 131 UN Country Teams serving 165 countries
and territories work together to increase the synergies and joint
impact of the UN system.

The UN Development Operations Coordination Office (DOCO)
is the secretariat of the UNDG, bringing together the
UN development system to promote change and innovation
to deliver together on sustainable development.

United Nations Conflict Analysis Practice Note

Conflict Analysis Practice Note

PURPOSE

This guidance note is an internal resource to support desk officers, planning officers and other staff in UN country teams, missions and headquarters who are responsible for undertaking a conflict analysis or are expected to contribute to one. A range of conflict analysis approaches already exists across the UN system; selection and tailoring of an appropriate method depends on the conflict context, the purpose of analysis and the institutional and contextual triggers. This note provides guidance and identifies good practice. It provides an overview of the core components of a conflict analysis and offers a guide to existing resources.

INTRODUCTION AND PRACTICAL ADVICE

Conflict analysis helps establish an accurate understanding of the root causes, proximate causes, triggers, dynamics, and trends of conflict as well as stakeholders involved, impacts on the people, the operational environment and the UN (and vice versa). UN conflict analysis should include a context-specific analysis of gender issues and of the relationship between human rights issues and violent conflict.

An up-to-date, evidence-based understanding of the conflict should underpin all decision making on UN engagement and programming, including in fragile and unstable environments with latent, as well as active conflict. It will help identify entry-points for engagement with local, national and international interlocutors, and provide a basis for informed strategies, programming, and advocacy. The absence of accurate conflict analysis could lead to missed opportunities to prevent violence or to poorly designed interventions that inadvertently trigger or exacerbate conflict.

A *shared* analysis of conflict is especially important when there is an opportunity to re-assess or re-design the work of the UN-system. Particular attention should be given to conflict analysis in planning the start-up, reconfiguration and drawdown of missions and when a new strategic plan is being prepared[1]. Basing a response on a shared analysis will improve the credibility of the Organization and help to align the work of different UN entities towards common goals.

The decision to initiate a conflict analysis can be taken by leadership in the field or an Interagency/Integrated Task Force (IATF/ITF). Senior UN leadership should decide early on the purpose of the analysis (including the audience and any confidentiality requirements), the duration of the exercise and the level of investment (staff, budget, assets etc.) and the extent of national involvement. The precise purpose of each analysis will vary but

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[1] For example, a UN Development Assistance Framework (UNDAF), Integrated Strategic Framework (ISF), Peacebuilding Priority Plan, Country Programme document or a Compact etc.

the UN requires a *shared* view of a conflict for system-wide planning exercises and the development of strategic priorities.

A conflict analysis can quickly become dated, so it is important to refresh it as the situation changes. For this reason the method selected should be replicable. The UN's policy on integrated assessment and planning (IAP) identifies certain triggers for updating integrated strategic frameworks (ISF), including conflict analysis: significant changes in circumstances; production or review of an integrated strategy; and production of a strategic assessment (or strategic review or mandate review). According to the IAP policy, an ISF should be updated at least every two years.

The composition of the analysis team will vary but should typically be multi-disciplinary, politically astute and include a mix of technical and contextually knowledgeable people who can identify a wide set of conflict causes and determine the motivations and relationships of stakeholders. As conflict analysis can be resource-intensive, consideration should be given to dedicating full-time staff and outside experts (national and international) to the process. The desire for a comprehensive and inclusive process will need to be balanced against the need for a focused, incisive analysis that identifies the most important conflict causes and drivers.

KEY PRINCIPLES OF CONFLICT ANALYSIS

1. **Do No Harm.** Conflict analysis can be sensitive: data collection, analysis and reporting approaches all have the potential to exacerbate tensions. The impact and risk of asking pointed questions or engaging with particular groups should be understood through early consultation with stakeholders and context experts.

2. **Flexible and timely.** Conflict analysis can be a light process. The analysis should be regularly updated to ensure it remains relevant over time in order to inform the most appropriate response.

3. **Collaborative and inclusive.** A conflict analysis process that jointly explores and reconciles a broad range of perspectives from across the UN system will be more useful and influential than an analysis prepared in isolation. If the conflict analysis is to be used as the basis for a joint strategy it should be produced through a collaborative, inclusive process with the full participation of the mission and UN country team, as well as humanitarian actors.

Back-up support is available from:

- *EOSG (Paul Keating, keatingp@un.org and Jo Nickolls, nickolls@un.org)*

- *DPKO Integrated Assessment and Planning (IAP) team (Ekaterina Pischalnikova, pischalnikova@un.org and Jonathan Robinson, robinsonj@un.org)*

- *DPA Policy and Mediation Division (Katja Flueckiger, flueckigerk@un.org)*

- *UNSSC (Svenja Korth, s.korth@unssc.org)*

- *UNDG Task Team on Conflict Prevention (Jonas Horner, Jonas.horner@undp.org)*

These colleagues can help with technical questions on conflict analysis and can also put you in touch with experts in cross cutting issues such as gender, human rights and environmental issues

4. **Participatory.** Local, national and international stakeholders outside the UN may be invited to participate in the conflict analysis and should be encouraged to use the findings. The inherent risks of a participatory process – across political, ethnic, religious, age and gender groups – may well be outweighed by capturing different perspectives, which can help address issues of bias or subjectivity and contribute to the credibility of the analysis.

5. **Balanced.** A conflict analysis will never be fully comprehensive, but it should it identify the key factors that contribute to conflict and peace consolidation[2]. Findings should be rigorously validated and triangulated through diverse reliable sources.

MINIMUM ELEMENTS

No two conflict analyses will be identical as each should be purpose-driven and contextually specific. Even a light update to an existing analysis will depend on perpetually changing factors and so the approach will also need to evolve. Some exercises, such as those conducted to inform the future footprint of the United Nations presence in a country, may be more time-consuming. Others may be done in a few hours with local partners at the start of an urgent intervention. All should be driven by a contextual knowledge of the situation and actors and with a clear objective in mind. Four minimum elements should be included in all conflict analyses:
1) Situation profile; 2) Causal analysis of conflict factors; 3) Stakeholder analysis; 4) Conflict dynamics / drivers of change.

1.   Situation Profile

The situation profile is a factual "snapshot" of the current and emerging historical, political, economic, security, socio-cultural and environmental context (see page 26). It offers an overall picture of the conflict, highlighting key issues relevant to the purpose of the analysis, including the impacts of the conflict, while drawing out issues that warrant further analysis. For example, some profiles may consider the impact of conflict on humanitarian aid and vice versa. The situation profile may be in the form of a timeline. It should explicitly highlight human rights, protection of civilians and gender trends and issues, many of which will be relevant when looking for drivers of conflict and peace. For UN peace operations, it may be important to consider the regional dimensions of conflict and the relationships with neighbouring countries.

The focus and contents of the factual situation profile will vary depending on the purpose of the conflict analysis. For example, the IAP Handbook explains that conflict analysis for integrated assessment and planning of a UN presence should look at the nature of the political settlement, including its legitimacy (is it disputed? if so, by whom, and why?). The 2016 UN Conflict and Development Analysis tool (CDA)[3] recommends that as well as looking at the processes and people driving the conflict, a situational analysis should also consider the drivers of peace or the 'present or emerging foundations for peace'. The World Bank Conflict Assessment Framework

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[2] For an explanation of peace consolidation see Appendix A of this UN document on Monitoring Peace Consolidation
[3] Not on-line yet - see page 53

considers the linkages of six variables to both conflict and poverty (Social and ethnic relations; Governance and political institutions; Human rights and security; Economic structure and performance; Environment and natural resources; External factors).

2. Causal Analysis of Conflict Factors

Understanding the causes of conflict requires mapping the root causes (or structural factors), the proximate causes (or intermediate factors), and triggers of conflict and establishing linkages and synergies between causes / factors[4]. The most useful causal analysis will focus attention on the most important causes, striking a balance between long un-prioritised lists and an overly light or generic summary. Understanding the different layers of the causes of conflict allows for the development of strategic responses as well as conflict-sensitive programming and issue-specific prevention initiatives.

Different tools can be used to support this assessment of the causes of conflict and causal connections. The tools can be used to facilitate a discussion but should not become the focus of the analysis.
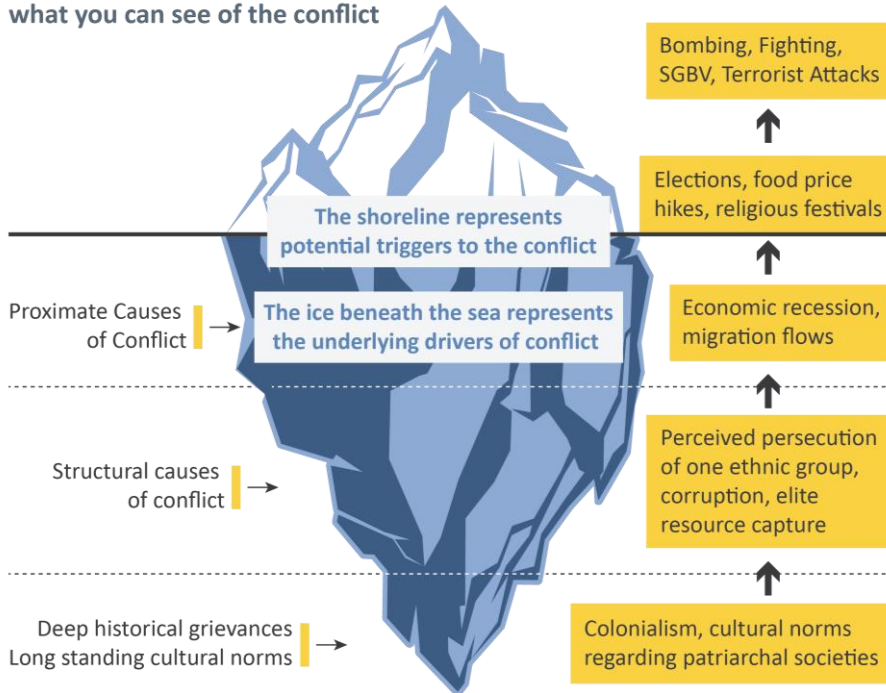
The dynamic nature of conflict means one conflict factor may shift or straddle across categories. For example, human rights violations may be a proximate cause or a trigger or a consequence. Addressing past violations may be both a trigger for conflict and essential for lasting peace. Elections may be a proximate cause or a trigger of violent conflict or a driver of peace.

Examples of commonly used tools include the "conflict tree" and the "iceberg". The conflict tree (or problem tree) can be a useful visual aid with the trunk as the core problem, the roots as causes, and the branches as effects, consequences or symptoms.

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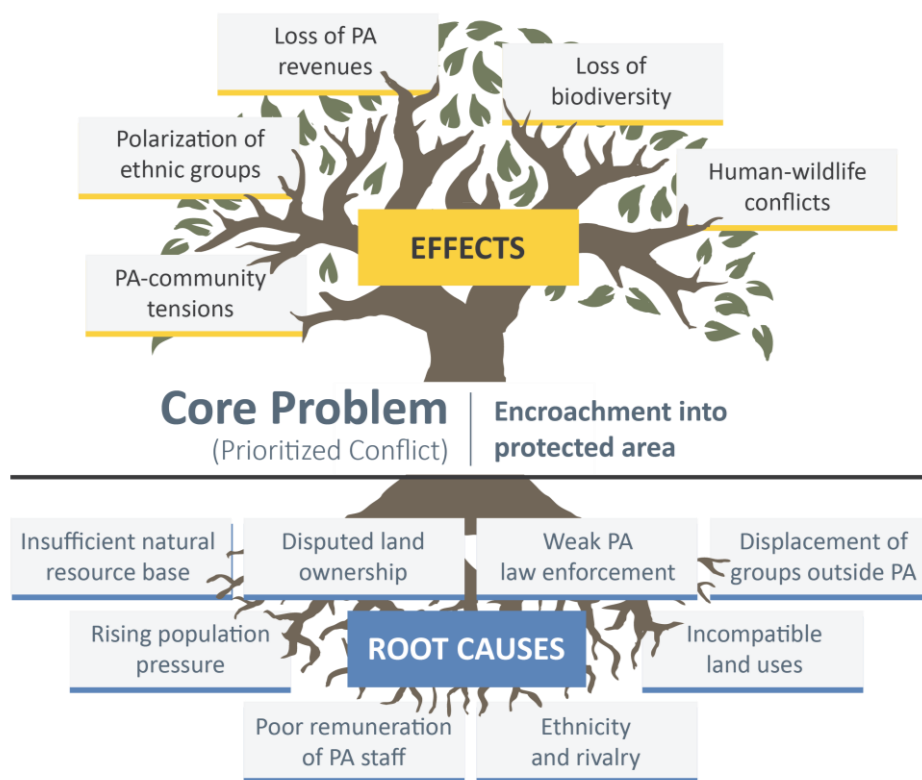
[4] The terms 'causes' and 'factors' in this document are used interchangeably, but other documents may distinguish between the two terms.

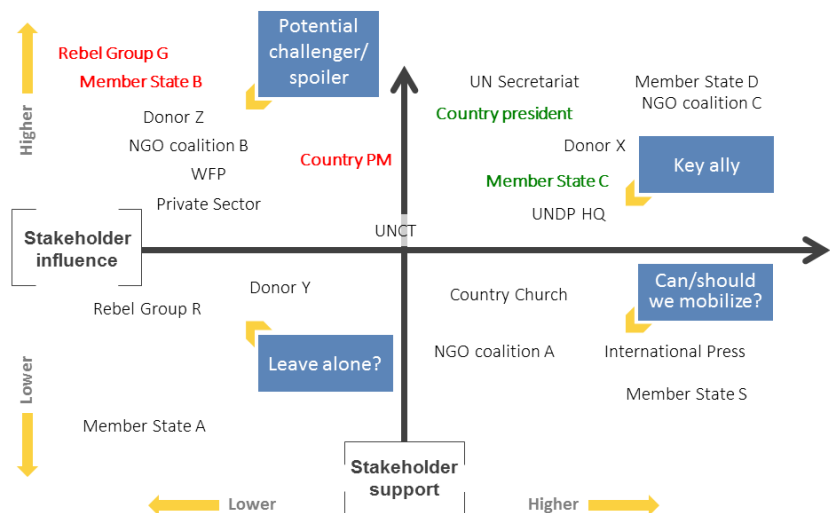**The iceberg above the sea represents what you can see of the conflict**

Bombing, Fighting, SGBV, Terrorist Attacks

The shoreline represents potential triggers to the conflict

Elections, food price hikes, religious festivals

Proximate Causes of Conflict →

The ice beneath the sea represents the underlying drivers of conflict

Economic recession, migration flows

Structural causes of conflict →

Perceived persecution of one ethnic group, corruption, elite resource capture

Deep historical grievances Long standing cultural norms →

Colonialism, cultural norms regarding patriarchal societies

The iceberg tool uses the metaphor of an iceberg to prompt thinking about the manifestations of conflict (the triggers and proximate causes – usually the violence we can see and its consequences – displacement, casualties etc.) and perhaps the more significant conflict causes (those beneath the waterline) which are the structural causes that are not always visible. This is particularly relevant for countries that are emerging from conflict and where the structural or root causes must be addressed to build long lasting sustainable peace.

A European Commission eight-point checklist for root causes of conflict is a useful aide-memoire for facilitating a discussion. The NGO Islamic Relief's Conflict Toolkit (page 21) recommends a participatory tool that considers five dimensions of human dignity: Faith (deen); Life (nafs); Intellect ('aql); Posterity (nasl) and Wealth (maal)
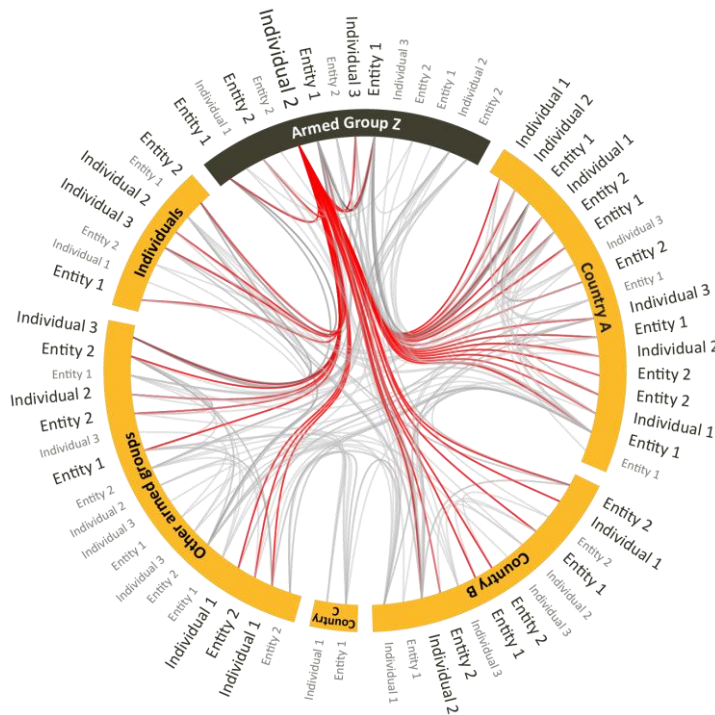
3. Stakeholder Analysis

A mapping of stakeholders (which may include people, groups – including religious and ethnic minorities – or institutions) that directly or indirectly influence or are affected by the conflict and their relationships is an integral step of a conflict analysis. A systematic stakeholder analysis involves mapping actors' positions, interests, needs (PIN), constituencies/partners, capacities, sources of power, alliances or animosities. Understanding the characteristics of stakeholders helps decide with whom to work and to determine the risks involved.

Power Analysis

Higher

Rebel Group G
Member State B

Potential challenger/ spoiler

Donor Z
NGO coalition B
WFP
Private Sector

Stakeholder influence

UN Secretariat
Country president

Member State D
NGO coalition C

Country PM

Donor X

Key ally

Member State C

UNDP HQ

UNCT

Donor Y

Rebel Group R

Country Church

Can/should we mobilize?

Leave alone?

NGO coalition A

International Press

Member State S

Lower

Member State A

Stakeholder support

Lower   Higher

Social Network Analysis

There are many tools available for stakeholder mapping. Where the objective is to build a common understanding of a high-level situation or a national context, a power analysis may be useful - a simple two-by-two quadrant, may be used to map the position of various actors across level of motivation/ interest/ support and level of impact or influence. Where the objective is to devise an engagement strategy – e.g. for a mediation process – an analysis of positions, interests and needs will be useful.

An alternative tool which can stimulate discussions on the approach of stakeholders is a visual mapping of stakeholders and their connection to other stakeholders. See here for an external source interactive social network analysis of support networks of national and regional support networks.

The process of collectively mapping stakeholders onto visual tools can help build a shared understanding of the key allies and important opponents. It can also trigger constructive discussions about the roles of stakeholders and whether they act as 'dividers' which risk escalating conflict, or 'connectors' which can help build resilience or reduce conflict. As a joint exercise, this can be useful when developing strategies to engage key stakeholders. In all cases the focus should be on understanding the links rather than designing a graphic.

When the purpose of the stakeholder analysis is to inform the implementation of a specific strategy or to further the achievement of a political or policy objective, it may be necessary to develop a detailed stakeholder matrix for each objective. If different parts of the Organisation are each undertaking outreach to the same stakeholders, it might be useful to map each interaction/engagement and use it to update positions.

4. Conflict Dynamics / Drivers of Change Analysis

Understanding conflict dynamics involves an examination of the interaction between the causes of conflict and the actors; the trends of the conflict over time and; the conflict systems. For example, a root cause (historic marginalisation) may be linked to a proximate cause (perceived unfairness in service delivery) and a trigger (public demonstrations) which results in the conflict dynamic of a fractured social contract, a corrupt state response and spiral of violence. This analysis helps to identify the conditions driving the conflict and factors which support or undermine peace efforts, and helps detect windows of opportunity for engagement.

The conflict dynamics analysis looks at the distribution of power held by the different actors and how they drive the conflict in a positive or negative direction; and how power dynamics affect the environment and influence the causes of conflicts. Analysis should be gender sensitive: Conciliation Resources' Gender & Conflict analysis toolkit provides a useful list of guiding questions on conflict dynamics and patterns. USAID's Conflict Assessment Framework describes the need to look at how key actors mobilize the communal grievances and resiliencies found in social systems. SIDA's practical guide to power analysis proposes three clusters of questions (1. structures and norms; 2. actors and institutions and; 3. politics and contestation) and helps to identify new issues and entry points outside of programmes and strategies. The World Bank's development-orientated Problem-Driven Political Economy Analysis approach may be appropriate when focusing on a specific problem. It looks at (a) relevant structural factors that influence stakeholder positions; (b) existing institutions, including institutional dysfunctions that channel behaviour, as well as ongoing institutional change; and, (c) stakeholder interests and constellations.

Analysis of conflict dynamics helps to identify patterns or directions of a conflict and their consequences and how conflict changes over time. Where history plays an important role or where elements of the conflict appear to be cyclical (e.g. political or climatic), a conflict timeline may be useful.

Systems analysis or systemic conflict analysis takes the idea of conflict as dynamic one step further. Systemic analysis identifies reinforcing feedback loops that either escalate or de-escalate conflict. It acknowledges that social conflicts do not follow a simple linear logic of cause and effect but that the consequence of an action or event can develop with a significant time delay and that small catalytic events can cause profound changes in systems. In feedback loops, the solution to a problem for one party (such as increased arming) can be the problem for the other one (perceived security threat).

Assessing the backwards and forwards links of a particular element (how it came about and what it influences in turn) and then conceptualizing feedback loops in a comprehensive mapping of a conflict system can help build an understanding of vicious (negative or escalation) cycles and virtuous (positive or de-escalation) cycles, and, subsequently, entry points for intervention. Understanding conflict dynamics is fundamentally useful for developing scenario-based responses. Examples of systemic conflict analysis mappings can be found here (a systemic approach to conflict transformation) and here (good practices in conflict analysis).

NEXT STEPS

The sequencing of a conflict analysis should not be seen as prescriptive or linear (situation profile; causal analysis of conflict factors; stakeholder analysis; conflict dynamics / drivers of change. In some cases, it may be necessary to go back to the causal analysis or to the stakeholder mapping because new information has become available or the initial findings were revised. In other cases, some tools can get the analysis stuck (so- called "paralysis by analysis") or provide different elements of the "truth". Analysts should feel comfortable moving from one tool to another and vice versa.

Finalisation: In circumstances where stakeholders do not reach consensus on the findings of a conflict analysis these differences should be explained rather than deleted or toned down. Under the UN's IAP policy it is the collective responsibility of the Integrated Task Force to endorse the analysis, including with explicit recognition and assessment of divergent views. The lead department is responsible for quality control and should confirm that the analysis has been prepared according to established guidance and policies.

Dissemination: Once the conflict analysis has been finalised and validated with key constituencies, it should be shared with actors who may benefit from the findings. In some situations, it may be published, whereas in others, the audience may be limited to contributors who were promised access to the findings. In disseminating the conflict analysis, the likely positive impact of an improved understanding of the conflict and the potential risks of sharing sensitive analysis should be considered.

Scenario Building: The findings of the conflict analysis can be used to help build scenarios that identify several *plausible* alternative outcomes based on particular assumptions. The team should define the duration of the scenarios, noting that long-term scenario building is less likely to be accurate. Usually three scenarios will be prepared: (a) optimal outcome of the current context; (b) status quo scenario which describes the continued evolution of current trends; and (c) worst case scenario. Scenarios can be used in planning, to help identify strategies and plans and to check that the UN options stand up to the conditions in the different scenarios. PAPEP, a UNDP approach to political prospective analysis (a reflection on the future), helps to identify key decisions for the future. Contingency planning is used for humanitarian response, under Advanced Preparedness Actions of the Emergency Response (see annex 7), using situation and risk analysis.

Risk analysis and management: A risk to UN planning is anything that affects the realisation of intended outcomes. The OECD groups risks as contextual, programmatic, and institutional with additional categories depending on the situation. A risk can be evaluated by considering the likelihood of an event occurring multiplied by the consequence if the event occurs. When the conflict analysis will inform the future footprint of the UN, the risks and benefits resulting from integration arrangements should be identified, particularly for humanitarian activities. Following identification of risks, a decision should be taken about whether to tolerate, transfer, treat or terminate them.

Design of interventions: The conflict analysis provides the basis for the design of activities and programmes including collective outcomes. Joint planning, joint fundraising, and if required joint monitoring and evaluation may then follow. Some interventions may seek to specifically address the drivers of conflict in a coherent, integrated, comprehensive manner (e.g. peacebuilding programmes). Other programmes may have different purposes (e.g. delivery of humanitarian assistance or agricultural support) but may lean on the new conflict analysis to refine or introduce conflict sensitivity into programme design.

LINKS TO AND SUMMARIES OF EXISTING TOOLS

UN Conflict Development Analysis or CDA (February 2016 version will be uploaded soon)

http://www.undp.org/content/dam/undp/documents/cpr/documents/prevention/CDA_complete.pdf

Human Rights

• Guidance for development practitioners on human rights and conflict transformation

http://hrbaportal.org/resources/connecting-human-rights-and-conflict-transformation-guidance-for-development-practitioners

Atrocity Crimes Prevention

• United Nations Office on Genocide Prevention and the Responsibility to Protect, *Framework of Analysis:*
http://www.un.org/en/preventgenocide/adviser/pdf/framework%20of%20analysis%20for%20atrocity%20crimes_en.pdf
In 2015, the Office of the Special Advisers on the Prevention of Genocide and on the Responsibility to Protect developed a framework of analysis to support the assessment of the risk of genocide, war crimes, ethnic cleansing and crimes against humanity from an early warning perspective. The Framework contains two main analytical tools for assessing the risk of atrocity crimes: (a) a list of 14 risk factors for atrocity crimes and (b) indicators for each of the risk factors. Risk factors are defined as conditions that increase the risk of or susceptibility to negative outcomes. The indicators constitute different manifestations of each risk factor, and therefore assist in determining the degree to which an individual risk factor is present.

Humanitarian

• Applying conflict sensitivity in emergency response: Current practice and ways forward. HPN Network Paper No.79 (2011):
http://cdn.worldvision.org.uk/files/3313/6854/5969/Applying_Conflict_Sensitivity_in_Emergency_Response.pdf

• Conflict Sensitivity Consortium, How to guide to conflict sensitivity, Annex 2 – good enough approach to conflict analysis, page 44:
http://local.conflictsensitivity.org/wp-content/uploads/2015/04/6602_HowToGuide_CSF_WEB_3.pdf

Gender

• UNWOMEN, Policy Briefing Paper Gender and Conflict Analysis (2012):
http://wps.unwomen.org/~/media/files/un%20women/wps/resources/wpssourcebook-04a-genderconflictanalysis-en.pdf

• Conciliation Resources, Gender and Conflict Analysis Toolkit (2015): http://www.c-r.org/downloads/CR%20Gender%20Toolkit%20WEB.pdf

Environment

• *From Conflict to Peacebuilding: The role of natural resources and the environment*
http://www.unep.org/pdf/pcdmb_policy_01.pdf

• *Natural Resources and Conflict: A guide for mediation practitioners*
http://postconflict.unep.ch/publications/UNDPA_UNEP_NRC_Mediation_full.pdf

UNSSC Conflict Analysis Handbook (2016) - (will be uploaded soon)

• This comprehensive volume is the result of over a decade of conflict assessments conducted in the UN context. The documents organized in three main sections: the first traces the evolution of conflict analysis as a discipline and highlights its current challenges; the second part explores the changing character of contemporary conflicts to highlight the value added of using new analytical mind-sets, such as systems thinking, for a more accurate and effective conflict analysis. The last section offers an

inventory of conflict analysis tools and a practical walk-through guide to conduct a conflict assessment. The document includes an annotated bibliography that cover over fifty conflict analysis frameworks since 1990s to date.

UNSSC, Conflict Analysis for Prioritization Tool (2009)
http://www.unssc.org/home/themes/peace-and-security/e-learning-0
- This tool is a useful programme from the UN Systems Staff College you can download as a zip file and launch in Adobe Flash Player to run through a guided development of a basic conflict analysis. It provides question checklists, examples of narrative reports, tools templates, links to other online tools and references for a situation profile, causal analysis and a stakeholder analysis. It then moves onto sections on prioritization and implementation.

UNSSC, Conflict Sensitivity Online course (free)
https://www.unssc.org/home/conflict-sensitivity-online-course
- Developed by various UN agencies (comprised initially of DOCO, DPA, OCHA, PBSO, UNICEF, UNDP, UNSSC, and UN Women)

UNDG and the World Bank, Joint Guidance Note on Integrated Recovery Planning using Post-Conflict Needs Assessments and Transitional Results Frameworks (2007)
https://undg.org/home/guidance-policies/transitioncrisis/post-conflict-needs-assessment/
- This note offers an introductory guide for technical practitioners and introduces the topics addressed in greater detail in the PCNA Toolkit. They are presented in four sections. The first section introduces the purpose and the target audience of the guidance note, together with a summary of lessons learned from the PCNA review. The second section describes the basic structure for a recommended integrated recovery planning process, drawing on these lessons learned. The third section explores ways to improve the substance of recovery plans, through incorporating a stronger peace-building and state-building focus. The last section suggests ways to improve the process of recovery planning, and outlines critical linkages between the PCNA-TRF and other processes and actors at work in the post-conflict context.

World Bank, Conflict Analysis Framework (2005)
http://siteresources.worldbank.org/INTCPR/214574-1112883508044/20657757/CAFApril2005.pdf
- CAF is designed to help a team identify and analyze the key factors that impact conflict and their links with poverty, to determine how they best can be addressed through Bank assistance. The team first ascertains whether or not a country should undertake conflict analysis, then if necessary, moves to the second stage of conducting the conflict analysis with CAF. CAF is composed of six categories of variables covering factors that have shown to affect or be affected by conflict, and teams would consider the linkages of these variables to both conflict and poverty for a country

World Bank, Problem-Driven Political Economy Analysis (2014)
https://openknowledge.worldbank.org/bitstream/handle/10986/16389/9781464801211.pdf?sequence=1&isAllowed=y
- This book results from a systematic effort at taking stock of what the World Bank has learned from its efforts to mainstream Political Economy Analysis. It provides eight cases studies and attempts to answer why do good policies and effective institutions emerge in some places, even though these changes typically entail some powerful losers? What is blocking reforms in other places, and what could be done about it? It suggests it is important to understand how such political incentives shape decisions and to build an awareness of political constraints—as well as opportunities—into the provision of advice and development engagement.

Saferworld, Conflict-Sensitive Approaches to Development, Humanitarian Assistance and Peace Building, Chapter 2 (2004)
http://www.saferworld.org.uk/downloads/pubdocs/chapter_2__266.pdf
- The Saferworld toolkit is very comprehensive and easy to use. It includes in Chapter 2 a section on choosing the right framework for conflict analysis and selecting tools. Annex 1 describes a range of "Tools for Conflict Analysis".

SIDA Manual for Conflict Analysis (2006)

http://www.sida.se/contentassets/34a89d3e7cbf497ea58bc24fea7223c5/manual-for-conflict-analysis_1695.pdf

- The manual helps practitioners to map the informal political landscape, including its rules and structures and to understand links between the political landscape and Member States/Donors. It asks who sets the policy agenda, with whose ideas and values; who gets what, when and how; and who knows whom, why and how. The methodology is a useful corrective to approaches that focus on formal political rules and institutions. It provides qualitative information for comparison over time in a single country, but needs to be complemented by other approaches.

SIDA Power Analysis: A Practical Guide (2013)

http://www.sida.se/contentassets/55174801cd1e4b66804430219bab88b3/power-analysis-a-practical-guide_3704.pdf

- This guide offers practical advice and resources for those wanting to bring an understanding of power into development cooperation, whether in the stages of analysing context, developing strategy, designing a programme, selecting partners or delivering results. It is designed to help staff integrate methods of power analysis into their daily work and use them to enhance the cooperation process at key stages. Examples and lessons learned are drawn from more than 10 years' experience of analysing power relations and using this analysis to improve results

UK Government Stabilisation Unit: Analysis for Conflict and Stabilisation interventions (2014)

http://sclr.stabilisationunit.gov.uk/publications/what-works-series

- This paper provides a brief assessment of some of the other organisational approaches and incudes a useful annex on Generic Analytical Tools: Instruments of Power (otherwise known as PEST: P-Political, E-Economic, S- Social, T-Technological, and its variations); SWOT (Strengths, Weaknesses, Opportunities and Threats) Analysis; CAGE (Cultural, Administrative, Geographic and Economic) Analysis; Delphi Technique; Stakeholder Analysis, or Mapping; Cultural Analysis; Scenario Planning; International Political Economy Analysis.

US State Department, Inter-Agency Conflict Assessment Framework – ICAF (2008)

http://www.state.gov/documents/organization/187786.pdf

- ICAF is the United States Government's interagency tool for conflict analysis and has been used in dozens of countries. It seeks to better evaluate the most important risks for armed conflict and the peace and security goals. It also allows for an assessment of how existing development programmes interact with these factors, how the programmes may (inadvertently) be doing harm, and where and how development and humanitarian assistance can most effectively support local efforts to manage conflict and to build peace. The ICAF is aimed at identifying key drivers of conflict and mitigating factors and was designed to enable a multi-disciplinary U.S. Government team assess conflict situations systematically and collaboratively, and to prepare for inter-agency planning for conflict prevention, mitigation, and stabilization.

USAID, Conflict Assessment Framework – CAF 2.0 (2012)

http://pdf.usaid.gov/pdf_docs/pnady739.pdf

- The CAF 2.0 is designed to be complementary to ICAF. It offers a methodological approach for implementing a conflict assessment to help USAID better evaluate the risks for armed conflict, the peace and security goals that are most important in a given country context. Annex A provides a list of diagnostic questions designed as prompts to help conflict analysts ensure the assessment is comprehensive. Annex B of the Conflict Analysis Framework provides a "Key Mobilizer Analysis Tool" which could either be used as part of the stakeholder analysis or the conflict dynamics section.

See here for a relatively comprehensive list of frameworks for conflict analysis: http://www.thebrokeronline.eu/Articles/List-of-Frameworks-for-Conflict-Analysis

UNITED
NATIONS
DEVELOPMENT
GROUP

COMMON COUNTRY ANALYSIS

UNDAF COMPANION GUIDANCE

TABLE OF CONTENTS

1. INTRODUCTION

The purpose of this companion guidance note is to complement the 2017 UNDAF Guidance with more detailed advice and recommendations on each step of the process of developing a Common Country Assessment (CCA). It also provides an annotated list of recommended data sources, tools and methodologies along the various steps of the process.

The CCA is a key part of United Nations Development Assistance Framework (UNDAF) preparation, occurring at the very first stages of the process. As such, it closely ties into the development of the UN Vision 2030, the theory of change, and monitoring and evaluation frameworks; draws from the programming principles; and incorporates aspects of capacity development, funding to financing as well as communications and advocacy. Separate guidance notes have been prepared for each of these topics, complementing the guidance on the CCA.

The CCA provides an opportunity for UN agencies to come together with key national and international stakeholders to discuss national development challenges and common approaches in the beginning of the UNDAF cycle. It thus holds the potential for ensuring that support provided by UN agencies as a whole in a country is coherent and complementary, drawing from each agency's expertise, resources and mandate.

2. THE CONCEPT

As stated in the 2017 UNDAF Guidance, "The CCA is a required and essential element of every UNDAF process. It is the UN system's independent and mandate-based articulation of the country context, opportunities and challenges, encompassing sustainable development, human rights, gender equality, peace and security, and humanitarian perspectives."

The CCA should serve as a basis for the prioritization exercise, the definition of outcomes, the preparation of the **UN Vision 2030** and subsequent development of the overall UNDAF **theory of change.** It should be based on a critical review of the concept of leaving no one behind and reaching the furthest behind first, with a focus on defining the needs of the most vulnerable and at-risk people.

The CCA and UN Vision 2030 are the primary building blocks for the theory of change. They are mutually reinforcing and developed alongside each other.
The CCA's assessment and analysis, based on a variety of data sources and applying a causal analysis, inform the trend analysis of the UN Vision 2030, while the longer term horizon of the UN Vision 2030 guides the orientation of the CCA. The analyses of the CCA and the UN Vision 2030 seek to identify immediate, underlying and structural development challenges at the national level.

The analytical frame of the CCA is directly linked to key elements of the programming principles in the UNDAF Guidance. The CCA delivers thematic analyses based on the principles of leaving no one behind; human rights, gender equality and women's empowerment; sustainability and resilience; and accountability.

The CCA informs the design of UN policies and programmes at the country level based on the review of context-specific data that correspond to the 17 Sustainable Development Goals (SDGs) and 169 targets of the 2030 Agenda. The integrated and indivisible nature of the SDGs will require United Nations Country Teams (UNCTs) to adopt a "thinking as one" approach to analysis that builds on a "whole of system" engagement for planning and implementation.

The CCA should assist in identifying links among goals and targets in order to effectively determine mutually reinforcing priorities and catalytic opportunities for implementation of the new agenda as a whole. It should seek to move beyond the aggregation of sectoral analysis to develop a comprehensive and common understanding of the interdependence of the SDGs across the peace, humanitarian and development nexus.

Through the pooling of data and blending of technical resources in the CCA process, UNCTs should seek to develop an integrated strategic analysis that identifies a clear set of unifying and collective outcomes with the potential to advance national development across the widest possible range of the SDGs.

3. MOVING FROM THEORY TO PRACTICE

3.1 DEFINING THE NATIONAL CONTEXT

This subsection provides an overview of the process involved in defining the national context. As such, it looks into the cross-cutting themes guiding the analysis, and offers detailed support in incorporating data and the evidence base, a risk profile, national policy and institutional frameworks, gender, the financial landscape and modalities for localization.

While the 2030 Agenda is universal in nature, each country faces a unique set of challenges in terms of the actions and investments required for achieving the SDGs. The CCA seeks to translate the SDG framework into an analysis of the national context through a consideration of civil, cultural, socioeconomic, environmental and political concerns. The national context can be defined by different cross-cutting themes (Table 1).

TABLE 1: CROSS-CUTTING THEMES FOR DEFINING THE COUNTRY CONTEXT	
THEME	**ELEMENTS**
Socio-economic situation	• Economic situation and poverty and other sustainable development challenges • Health, education and decent work • Population demographics • Infrastructure and urbanization • Sustainable livelihoods, including consumption and production • Circumstances of inequality, discrimination and vulnerability, particularly for women and girls, minorities, indigenous people, persons with disabilities, people living with HIV/AIDS, migrants and displaced persons, etc.
State institutions and political situation	• Government structure, executive, legislative, judiciary • Public participation in national governance and development processes • National, legal and policy frameworks • Financial structures • Influence of the country on subregional, regional and global development agendas, and capacity for South-South and triangular cooperation
Human rights, inequality and discrimination	• Compliance with international norms and standards, and adherence to national commitments emerging from intergovernmental mechanisms and processes. • Engagement with human rights mechanisms, including ratification and reporting status • Gender equality

Climate and environment	• Natural resource degradation/management (land, air, water, biodiversity, etc.) • Resilience and climate action including mitigation and adaptation • Influence of the country on subregional, regional and global development agendas, and capacity for South-South and triangular cooperation
Peace-humanitarian-devgelopment nexus	• Disaster risk reduction • Conflict and displacement risks • Humanitarian response, based on human rights approach • Short-, medium- and long-term activities for sustainable development • Efforts for sustaining peace, as both an enabler and an outcome of sustainable development

Beyond this, the context analysis should, whenever possible, rely on a solid data and evidence base, include a risk profile for the country, and provide an analysis of the national policy and institutional frameworks as well as gender equality and the financing landscape. It also includes the modalities for localization of the SDGs, with a view to harnessing national ownership of the process. Further guidance on how to capture each of these elements is given below.

3.1.1. DATA AND EVIDENCE BASE

The initial point of departure for conducting the CCA consists of gathering available data to establish the evidence base for determining the status of progress against the SDGs, including quantitative and qualitative baselines, normative commitments and long-term trends. Linked with this, there will also be a process of identifying gaps, including with regard to the disaggregation of data and assessment of the data collection system. These gaps will subsequently be addressed programmatically, and with national partners, through the UNDAF.

The CCA should seek to establish an overview of key trends based on available data of relevance to the SDGs. These trends should be both historical and forward-looking in order to ensure that UNCT priorities are determined by a clear understanding of the "big picture" dynamics that will have an influence on the sustainable development trajectory of the country. These elements could contribute to the development of the theory of change and the UN Vision 2030.
To accurately report on progress against goals and targets, as well as to capture the UNCT's contributions, the first priority of the CCA should be to establish baselines across the SDG framework, to the extent possible. The UNDAF Results Groups use these baselines to track progress against clearly defined outcome level

indicators over the three-to-five year duration of the UNDAF. Where gaps in the indicator framework exist at the national level, the UNCT should seek to identify proxy indicators and/or conduct a qualitative analysis and begin developing longer term plans with national partners for filling data gaps and sustainably financing the collection of necessary data.

To the extent possible, the CCA should serve to outline areas where investments will be required either by the UN system, the government or other actors to address gaps in the near term.

Surveys can be considered at the commencement of the CCA to ensure direct participation by a wide range of stakeholders involved in the development process. Such surveys should be as inclusive as possible, incorporating gender concerns, minorities and vulnerable groups.

3.1.2. RISK PROFILE

The CCA should seek to identify the key risks that could impact the development trajectory of the country. These include climate change and disaster risk, disease outbreaks, rapid urbanization, conflict and displacement, and financial and economic shocks.
Risk can be understood as the probability of negative consequences resulting from the interaction of hazards, vulnerability and capacity. The Sendai Framework for Disaster Risk Reduction 2015-2030 draws attention to risk of small-scale and large-scale, frequent and infrequent, sudden and slow-onset disasters, caused by natural or man-made hazards as well as related environmental, technological and biological hazards and risks. Vulnerability relates to the characteristics of a community, system or institution that make it susceptible to the damaging effect of a hazard, and can be described as being a function of exposure and coping and adaptive capacity.

The CCA should highlight the ways in which a thorough analysis of risks and their underlying drivers affect the overall developmental landscape in the country and provide linkages to disaster risk reduction and climate change adaptation as well as humanitarian response, peacebuilding and the Human Rights Up Front agenda. The CCA should indicate the need for both mitigation and contingency measures related to the most fundamental and significant risks.

Conflict is one of the greatest threats to development. Depending on context, a dedicated conflict analysis may be required as a core element of the CCA.

3.1.3. NATIONAL POLICY AND INSTITUTIONAL FRAMEWORKS

The CCA should provide a strategic overview of the most critical government policies as well as the most significant gaps in the policy architecture. It should also reference the need to review capacity assessments of key government agencies that can serve to inform the identification of priorities for institutional strengthening. This information is essential for identifying opportunities for multistakeholder collaboration and defining the comparative advantage of the UN system.

The CCA should analyse and provide an overview of compliance with global norms and standards, their integration into national policy/legal frameworks and institutional arrangements, and adherence to any corresponding national commitments emerging from intergovernmental mechanisms and processes.

The CCA should address the extent to which social and environmental safeguards (policies, laws and regulations) and grievance mechanisms are in place. Robust social and environmental standards (e.g., safeguards) and related accountability mechanisms (e.g., grievance mechanisms) aim to ensure that development interventions do not result in inadvertent harm to people or the environment.
They support a rights-based approach that is transparent, inclusive and participatory.

The CCA should document national participation in subregional, regional and global mechanisms, including trade agreements, that can eventually forge the subregional, regional and global development agenda, and promote South-South or triangular cooperation.

3.1.4. GENDER ASSESSMENT

Gender assessment requires thoroughly examining gender equality problems across different sectors and themes, linking these to specific normative standards, and identifying patterns of discrimination and inequality. It includes assessments of policies and programmes to

identify areas where national policies require alignment with UNDAF and gender principles.

Gender assessment provides information that recognizes that gender, and its relationship with race, ethnicity, culture, class, age, sexuality, disability and/or other status, is important for understanding the different dynamics of power relationships between men and women, their access to and control over resources, and their patterns of involvement, behaviour and activities in economic, social, political and legal structures. Gender assessment also highlights the main constraints women and men face relative to each other, and involves examining the potential impact of certain development interventions on existing gender roles and strategic gender interests.

3.1.5. FINANCING LANDSCAPE

A key objective of the new generation of UNDAFs is to support the alignment of finance with implementation of the SDGs (see also underlined funding to financing companion guidance). Financial analysis should be undertaken at the CCA stage of the UNDAF, and include a review of financing flows in a country, sectoral flows in chosen outcomes, and the sources and levels of resources that the UN can access.

3.2 STEP-BY-STEP GUIDE FOR CCA PREPARATION

This section provides a step-by-step guide for the CCA process consisting of three main parts: a data review, assessment and analysis, and comparative advantage analysis. A checklist for CCA preparation is provided in the Annex.

An SDG-sensitive CCA process needs to cater to the localization of the SDGs, a cross-cutting component.

3.2.1. DATA REVIEW

CCAs include a review of existing assessments, evaluations and analyses by the government, the UN system and other stakeholders, such as international human rights mechanisms. Existing flagship publications, specific assessments and analytical tools, in particular those contributing to the global monitoring of progress on the SDGs, may be useful sources of information.

Types and sources of data

Data for an SDG-sensitive CCA need to support two purposes. They will inform the preparation of the UNDAF, which usually has a three-to-five year

timeframe, and at the same time support the trends analysis for the UN Vision 2030.

To the extent possible, the CCA refers to, rather than duplicates, data and information contained in other reliable national data information systems. It also includes a review of data (and analyses) contained in documents of the United Nations, the World Bank and other partners. This includes assessments and analyses from international human rights mechanisms and supervisory processes governed by UN conventions, international human rights instruments and other relevant references (see the programming principles companion guidance).

A mapping of available data and studies can be undertaken through a CCA preparatory workshop, which can also be used in a second stage to assess broad thematic areas that would lend themselves to structuring the analytical part of the CCA. Alternatively, existing UNDAF results groups, national cluster working committees or similar structures can be used to structure and implement the data review process.

It is important to account for the integrated nature of the SDGs and ensure that data are not segmented and sectoral. While this will be less pertinent at the data review stage, UNCTs can consider establishing processes such as specific workshops or other means providing the space for a discussion of the cross-linkages of data, datasets and indicators. These workshops can bring together the leads of the respective data collection clusters to discuss underlying positive and negative SDG interactions and multidimensional risks, followed by an analysis phase providing an opportunity for the horizontal SDG integration of the analysis. For an example of interactions, see here and here.

In addition, data collection should include an outreach element, such as broad consultations with various stakeholders, to ensure a diversity of data beyond national statistics can be garnered. Guidance, resources and examples of outreach approaches are contained in the Mainstreaming, Acceleration and Policy Support) Resource Compilation.

The CCA is supported by more detailed data collection and analysis than may be available. It will also use data and analysis from UN supervisory bodies and processes, such as the Universal Periodic Review, with regard to the rights aspects of the CCA in an SDG context, and the UN Commission on the Status of Women, with regard to gender equality and women's empowerment.

Related national SDG processes

As part of their commitments under the 2030 Agenda and supported by the MAPS process and others, countries are integrating the SDGs into national development plans and preparing national SDG action plans with related monitoring and implementation mechanisms and processes.

Furthermore, countries are reporting to the annual High-level Political Forum on SDG implementation through voluntary national reviews. These often also prompt countries to develop national SDG indicator frameworks on the basis of the globally agreed SDG indicators framework (URL, when adopted).

The CCA should build on and use these processes, thus increasing country ownership and potential for alignment, and reducing reporting transaction costs. Data and definitions used for the CCA should be compatible with the national SDG indicator framework to the extent possible. More detailed guidance on this aspect and examples can be found in the MAPS.

The CCA will also use data and analysis made available by UN supervisory bodies and processes, such as the UPR, for the rights aspects of the CCA in an SDG context.

Disaggregation is key to ensuring that implementation meets the political vision and commitment of the SDGs—to leave no one behind. As stressed by the report of the Secretary-General's Independent Expert Advisory Group on the Data Revolution, *A World That Counts,* "no one should be invisible." Proper disaggregation of the SDG indicators firmly anchors the 2030 Agenda in a rights-based approach by addressing factors of inequality, discrimination and exclusion.

Disaggregation will also help reach the last mile by assisting in bringing the benefits of sustainable development to the poorest, and most marginalized and disenfranchised people. Leaving no one behind should focus on countering discrimination, exclusion and inequalities, using disaggregated data to assess who is left behind, and adopting new monitoring tools for equity/equality analysis, measurement and monitoring that capture progress in closing the gaps and reducing inequalities.

SDG follow-up and review processes at all levels should be rigorous and based on evidence, informed by country-led evaluations and data that are high in quality, accessible, timely, reliable, and disaggregated by income, sex, age, race, ethnicity, migration status, disability, geographic location and other characteristics relevant in national contexts.

A CCA aligned with this approach will ensure that throughout the UNDAF cycle, UN system support to a country meets the expectations, vision and principles of the 2030 Agenda. Where available—and warranted by the country situation—the CCA will include and build on post-conflict needs assessments or similar documents.

3.2.2. ASSESSMENT AND ANALYSIS

This section describes the main elements of CCA assessment and analytical processes on the basis of available data. The assessment aims to provide an impartial and evidence-based description of the country situation and an assessment of risks. The analysis aims to identify and understand the underlying causes of critical development challenges and risks.

A main aim of this process is to identify areas for policy coherence and respective measures needed in line with the integrated nature of the 2030 Agenda and the SDGs. Two perspectives for integrated thinking encompass vertical and horizontal.

The **vertical dimension** addresses the requirement that a CCA and UNDAF are, to the extent possible, aligned to and consistent with national priorities and sustainable development plans and strategies, and in particular, with national SDG action plans. National priorities should not be simply equated with government priorities. A sound process of planning and priority setting will have included all stakeholders as defined in the UNDAF Guidance. Where gaps exist in this regard, additional data and analysis should be produced by the UNCT.

Examples for useful tools and approaches in this context are:

Matrix and spreadsheet approaches to compare national plans with the SDGs. The United Nations Institute for Training and Research (UNITAR) tabular tool is available in the *Reference Guide to UN Country Teams for Mainstreaming the 2030 Agenda for Sustainable Development,* page 36; further tools are listed on page 44ff. The United Nations Development Programme (UNDP) created a Rapid Integrated Assessment tool that provides guidance on conducting a gap analysis, including the identification of SDGs not addressed in national plans.

The **horizontal dimension** addresses the interconnectedness of the 2030 Agenda, the SDGs, targets, indicators and related data. An analysis of this dimension is technically complex and, given the broad scope of the SDGs defined in 169 targets, might best be undertaken through an experts group-type meeting or workshop. This workshop could build on the cross-linkages workshop in the data collection phase. More tools can be found in the MAPS, page 55ff.

In summary, the CCA analysis will need to address the following aspects:

- Economic situation and poverty and other sustainable development challenges
- An SDG target network analysis or matrix analysis to identify links and synergies among targets in line with the integrated nature of the 2030 Agenda;
- A multidimensional poverty analysis with a focus on the most vulnerable and those at risk of being left behind;
- A causal, role – pattern and capacity gap analysis framed by the human rights-based approach and informing the theory of change;
- A stakeholder analysis;
- A gender analysis highlighting impacts on women, men, boys and girls as well as looking at all relevant sex-disaggregated data, and assessing the underlying and root causes of gender inequality across all SDGs, and the key societal, cultural, economic and political barriers to gender equality in the country;
- An analysis of cross-cutting issues and potential transformative drivers of change that can be linked to the UNDAF theory of change;
- An analysis of capacity and capacity development requirements;
- An analysis of the implementation environment in terms of political economy;
- An assessment of risk in all its dimensions (e.g., disaster, conflict, climate, institutional, financial, political, security, etc.) and the underlying drivers; and

- An analysis of regional and global issues affecting the country, including climate change.

It will hence normally result in:

- Strategic conclusions covering all areas of the 2030 Agenda that are based on root causes of poverty and other sustainable development challenges, and their effects on the population, particularly on those left behind or at risk of being left behind;
- The identification and mapping of capacity gaps among rights-holders to make claims and duty-bearers to meet their obligations;
- An overview of opportunities for (and obstacles to) free, active and meaningful participation in national economic, governance, and development processes and outcomes;
- A substantive contribution to the preparation of the national development framework, working to ensure that national priorities reflect the SDG Action Plans, or similar documents, and treaty obligations;
- A detailed analysis of gender inequality in the country, drawing on new and pre-existing data, and based also on an assessment of national adherence and compliance with internationally agreed norms, standards and commitments on gender equality and women's empowerment;
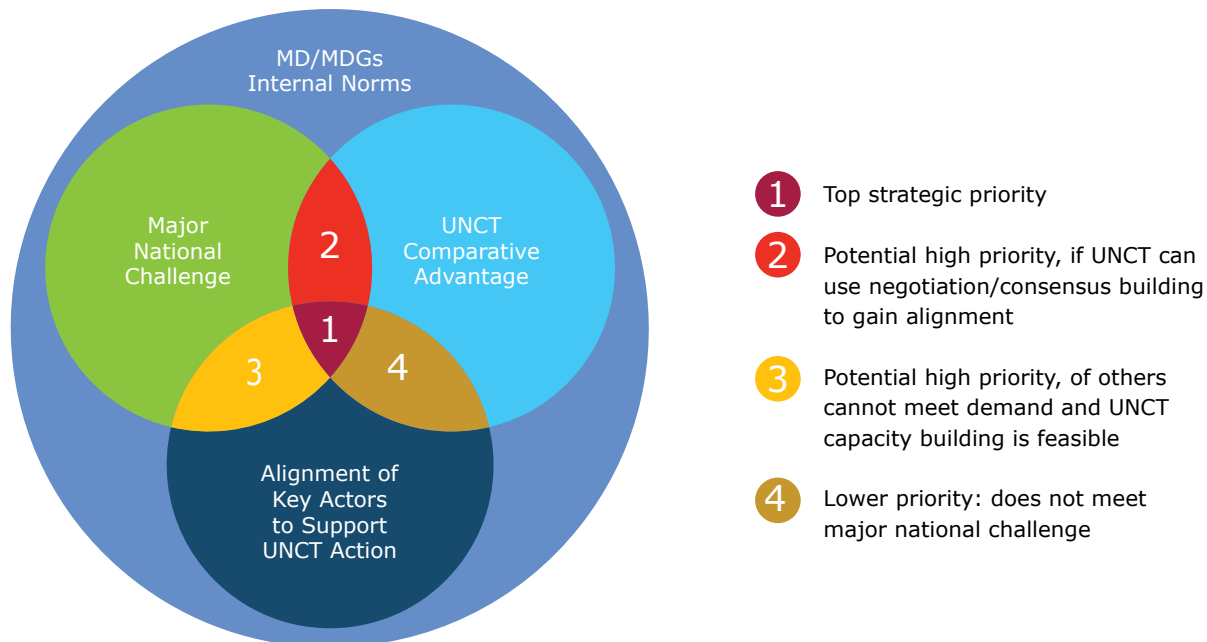
- A contribution to developing capacity for crisis prevention and sustaining peace and—where applicable—to mitigation plans, post-conflict recovery and rehabilitation, and plans for the transition from relief to sustainable development;
- A substantive contribution to national and local disaster risk reduction strategies;
- An identification of critical risks that affect sustainable development in the country; and
- An identification and mapping of needs for strengthened national capacities for data analysis and utilization for priority-setting, including risk and vulnerability assessments, with geographic and beneficiary targeting based on disaggregated and accurate data with respect to indigenous peoples, ethnic groups and other minorities.

3.2.3. COMPARATIVE ADVANTAGE ANALYSIS

This section describes the process for the UNCT to identify its comparative advantage in supporting the country. The comparative advantage is an important element to determine UNDAF priorities, as it is in these areas that support will be most efficient and effective.

FIGURE 1.
STRATEGIC PRIORITY SETTING FOR UN COUNTRY TEAMS

1. Top strategic priority
2. Potential high priority, if UNCT can use negotiation/consensus building to gain alignment
3. Potential high priority, of others cannot meet demand and UNCT capacity building is feasible
4. Lower priority: does not meet major national challenge

The timing and methodology of the comparative advantage analysis are flexible. Undertaking a SWOT (strengths, weaknesses, opportunities, threats) analysis may be useful. A SWOT analysis should at the minimum include the individuals leading the UNCT. It is advisable, however, to also include senior programme and coordination staff. Moreover, SWOT exercises including external stakeholders have in general yielded more valuable SWOT results.
Guidance on how to undertake a SWOT analysis can be found in the 2010 UNDAF Guidance, Part II, page 15ff. SWOT analyses can also be undertaken for each of the thematic areas of a country analysis, thus providing a more differentiated picture. This approach was applied in the CCA for Kazakhstan *(URL).* Other methodologies to establish the comparative advantage are included in Section 5 of this guidance piece.

3.2.4. MODALITIES FOR LOCALIZATION

This subsection describes how the mandatory CCA addresses the requirement for national ownership of the 2030 Agenda and the SDGs in an UNDAF context, and how it can interlink with the localization of the SDGs in the respective target indicator frameworks. The latter aspect has been set out in subsection 3.2.2. above. In addition, however, the structure and scope of the CCA will need to be responsive to local circumstances, risks and capacities.

In order to enhance the potential impact and uptake of the CCA at the national level, it should be developed in collaboration with government and other stakeholders to encourage buy in and the strengthening of national institutions.

It should, however, also address concerns related to conducting the CCA in complex contexts where government participation is either problematic or detrimental to the quality and impartiality of the analysis. In such circumstances, some partners may disagree about the quality of some aspects of country analysis, or about the measures needed to fill gaps. In all situations, the UN has the option to conduct a separate CCA. Depending on the context, it might not always be effective to insist on this, however. As much as possible the UN should be working to strengthen national capacities for analysis and priority setting. Unless they contravene UN principles and strategies, every effort should be made to work with the measures proposed by governments. UNCT reservations can be noted, and the team should monitor and evaluate the effectiveness of analytical contributions closely to inform discussion on policy and programmatic work for the next cycle.

Options for dissemination with a view to sustaining ownership and engagement are described in UNDG Joint UN Advocacy for the 2030 Agenda: Strategic Guidance for UNCTs, Zero Draft, December 2016. (hyper-link final version)

4. LESSONS LEARNED, TIPS AND GOOD PRACTICE FROM REAL COUNTRY EXAMPLES

Preparation and implementation of the new generation of UNDAFs and CCAs is at an early stage. At this point, only a few experiences and lessons learned are available. In the preparation of earlier generation UNDAFs, country teams stressed the need for the overall UNDAF process—including the CCA—to be inclusive, light, adaptable and flexible, resulting in a strategic but high-quality UNDAF.

First insights into SDG-era UNDAFs can be gleaned from the 2016 UNDAF desk review undertaken by UNDOCO *(URL here when available from DOCO).* The review noted that CCAs that are not methodologically robust, in particular with regard to the human rights-based approach and root cause analysis, limit the opportunities for the UN to have a shared understanding of the situation in a given country.

Case studies on how to integrate the UN normative and operational framework can be found here. They underline the need to build an evidence base for development frameworks based on the application of normative principles. In **Albania** for example, following a decade of UNCT support to the country in bringing its legislation in line with international human rights standards, a Gender Brief provides evidence-based support for priority interventions that can advance gender equality and women's rights.

Turkmenistan provides a good example of a CCA that built on observations and recommendations from UN human rights mechanisms and national human rights plans *(URL from DOCO).*

The CCA of **Kazakhstan** *(URL from DOCO)* is based on a desk review of over 100 studies, triangulated with input collected via an online survey and discussions with more than 120 internal and external stakeholders (rights-holders and duty-bearers). The report employs the five pillars defined in post-2015 consultations to provide a structure for the overview of development challenges.

Following a brief update on progress under the 2010-2015 UNDAF and a summary of lessons learned, the report concludes with recommendations on priority development challenges.

This section will be updated as more experience in preparing and implementing new UNDAFs accumulates.

5. TOOLS AND RESOURCES

This section provides key tools that may be useful in the CCA prcess; this is not an exhaustive list and will continue to be updated over time. Additional tools used in CCAs should be shared with United Nation Development Operations Coordination Office (DOCO)

A. OVERARCHING SDG ANALYSIS

MAPS Toolkit

United Nations Institute for Training and Research (UNITAR): Reference Guide to UN Country Teams for Mainstreaming the 2030 Agenda for Sustainable Development, page 36; further tools are listed on page 44ff.

United Nations Development Programme (UNDP): Rapid Integrated Assessment tool

Swedish Environmental Institute:
Matrix assessment and ranking tool
Framework for understanding SDG interactions

United Nations Environment Programme (UNEP):
http://uneplive.unep.org/portal#synergies

United Nations Department of Economic and Social Affairs (UN-DESA):
Social network analysis tool (MAPS, page 52); based on A. Mrvar and V. Batagelj, 2015, Pajek, version 3 and 4: *Programs for Analysis and Visualization of Very Large Networks—Reference Manual.*
Organisation for Economic Co-operation and Development (OECD):
Multiparameter SDG target tool
Framework for Policy Coherence for Sustainable Development

Millennium Institute:
Policy option pathway tool Threshold 21: Millennium Institute, 2015, *Historical Development and Applications of the T21 Model.*

Integrated Sustainable Development Goals planning model (iSDG)

B. DATA AND EVIDENCE BASE

Multidimensional Poverty Index

Population Situation Analysis

Root Cause Analysis, Human Rights-Based Approach

Gender Analysis

ILO KILM (Key Indicators of the Labour Market)

Poverty-Environment Initiative

UNDG Guidance Note on Human Rights for RCs and UNCTs, particularly the checklists on pages 15-16 on understanding/analysing the human rights situation in the country

Universal Human Rights Index, which includes recommendations to different countries from the human rights mechanisms—Universal Periodic Review, treaty bodies and special procedures

The Human Rights Up Front country analysis, particularly pages 2 and 3

C. RISKS

Preventionweb: "Understanding Disaster Risk," includes links to a range of datasets, data viewers and risk models (including for hazards, exposure and vulnerability)

INFORM, global, open-source risk assessment for humanitarian crises and disasters; can support decisions about prevention, preparedness and response; includes country profiles

United Nations Children's Fund (UNICEF) guidance risk analysis *(URL needed here)*

UNICEF: ***Technical Note on Conflict Sensitivity and Peacebuilding***

World Food Programme (WFP): Integrated Context Analysis

World Bank Climate Change Knowledge Portal

Centre for Research on the Epidemiology of Disasters (CRED): International Disaster Database

CCAFS-Climate Data Portal

OECD States of Fragility

D. INSTITUTIONAL AND POLICY FRAMEWORKS

UNDP Institutional and Context Analysis Guidance Note

E. THEMATIC DATA SOURCES

Food Security and Nutrition
Vulnerability Assessment Mapping
Integrated Phase Classification
Food Insecurity Experience Scale
Joint Child Malnutrition Estimates

Health
The Innov8 approach for reviewing national health programmes to leave no one behind

Tools for developing, implementing and monitoring the National Multisectoral Action Plan (MAP) for NCD Prevention and Control

World Health Statistics 2016: Monitoring health for the SDGs

Global Health Observatory

Trends in maternal mortality

2014 non-communicable diseases profiles

HIV/AIDS statistics

Country profile environmental burden of disease

100 Core Health indicators—global reference list

Universal health coverage data portal

F. COMPARATIVE ADVANTAGE ANALYSIS

Additional tools can be found at: Chartered Institute of Management Accountants, 2007, Strategic Analysis Tools, Topic Gateway Series No. 34 (London).

Tools focused on internal analysis:
PEST (or STEEP) analysis PEST stands for political factors, economic factors, social factors and technological factors, and in the PEST analysis, the impacts of the external macro-environment in each area are assessed vis-à-vis the organization. PEST analysis can be conducted as a preceding step to SWOT analysis, as the factors coming out of the analysis can be classified as opportunities or threats in the SWOT matrix. STEEP is a similar analytical framework, including ecological factors in addition to the four elements mentioned above.

Tools focused on competitor analysis:
Porter's five forces : The competitive position analysis named Porter's five forces was developed in 1979 by Michael Porter of the Harvard Business School. The tool assists in analysing where power is situated in different business scenarios, thus helping to understand an organization's current competitive position as well as to reposition it for the future. The five forces include: (i) supplier power (power of suppliers to drive up prices; this can also be understood as the ability to purchase—internally or externally—inputs to its knowledge products); (ii) buyer power (power of buyers to drive prices down; this can also be understood as the ability of buyers to dictate the terms); (iii) competitive rivalry (number and capability of competitors in the market); (iv) threat of substitution (existence of close substitute products in the market); and (v) threat of new entry (how easy is it for new entrants to penetrate the market).

The six forces model: The model adds an additional element to the Porter's five forces model, namely system liquidity, understood as the aggregate financial capability of all four players in the industry (firms, customers, suppliers and entrants).

Porter's four corners model
The four corners model helps to analyse competitors, notably focusing on their future strategy. It considers two major issues with two subcomponents each: motivation— drivers (helps to determine whether the competitors are satisfied with their current position); motivation—management assumptions (analysing competitors' assumptions can help to identify their blind spots); actions—strategy (determines how a competitor competes in the market); actions—capabilities (different assets that the competitors possess, such as skills, networks, patents and copyrights, etc.).

6. ANNEX

CHECKLIST FOR CCA PREPARATION

STEP I: DATA REVIEW

Guiding questions

- What data are available for the SDGs and are they disaggregated by vulnerable groups?
- Are data available for subnational and regional level analysis?
- How do datasets correspond to the global SDG target indicators and/or national SDG target indicators, including sources of data that have been established for real-time decision-making?
- Are datasets available that can support a forward-looking trends extrapolation with a 2030 horizon?
- What national obligations under international treaties and agreed international norms and standards has the country entered into?
- What data are available related to risks, including climate and disaster risks?
  What safeguards and related mechanisms are in place to prevent and manage risks?

STEP II: ASSESSMENT AND ANALYSIS

Guiding questions

- Who are the groups facing vulnerability, exclusion and marginalization, and what is their exact situation? Are non-nationals, such as refugees and migrants, included?
- What are the patterns of discrimination and inequalities, including horizontal inequalities between ethnic and other groups?
- What are the key contextual risks that need to be considered and managed to ensure sustainable development?
- What is the gender equality situation in the country, and what are its underlying drivers and barriers to accelerated progress? What are the structural and immediate causes of inequality?

- Are there early warning signs of potential problems?
- What are the underlying root causes of multidimensional poverty, inequalities, discrimination and conflict? What are the structural and immediate causes?
- How do various stakeholders have a voice in pursuing the objectives of the 2030 Agenda?
- Are there mechanisms to promote accountability that allow partners to know if goals have been achieved and demand action if progress is not being made?

- What is the commitment of the country towards global, regional and multilateral agreements (including trade) and bilateral arenas (particularly with neighbouring countries)?
- How is the country performing relative to national obligations under international treaties and agreed international norms and standards?

STEP III: COMPARATIVE ADVANTAGE ANALYSIS

Guiding questions depend on the tools applied for comparative advantage analysis.

UNITED NATIONS DEVELOPMENT GROUP

The United Nations Development Group (UNDG) unites
the 31 UN funds, programmes, specialized agencies,
departments, and offices that play a role in development.
Since 2008, the UNDG has been one of the three pillars
of the UN System Chief Executives Board for Coordination,
the highest-level coordination forum of the United
Nations system.

At the regional level, six Regional UNDG Teams play
a critical role in driving UNDG priorities by supporting UN
Country Teams with strategic priority setting,
analysis and advice.

At the country level, 131 UN Country Teams serving 165
countries and territories work together to increase the
synergies and joint impact of the UN system.

The Development Operations Coordination Office (DOCO) is
the secretariat of the UNDG, bringing together the
UN development system to promote change and innovation
to deliver together on sustainable development.

UN VISION 2030

UNDAF CAMPANION GUIDANCE

TABLE OF CONTENTS

1. INTRODUCTION

The purpose of this companion guidance piece is to provide practical and hands-on technical guidance on developing a UN Vision 2030 as part of the UNDAF process. It should be read as a complement to the 2017 UNDAF Guidance and relates closely to the other seven companion guidance papers on programming principles, the Common Country Analysis (CCA), the theory of change, communications and advocacy, capacity development, monitoring and evaluation, and funding to financing.

The UN Vision 2030 refers to a time horizon up to the formal completion of the 2030 Agenda. The new United Nations Development Assistance Framework (UNDAF) guidance highly recommends a long-term visioning exercise alongside the CCA (hyperlink to CCA CGP) to inform UNDAF priorities.

The UN Vision 2030 exercise helps to ensure that UNDAF interventions are grounded in in depth understanding of the national development context and positioned within a longer term strategic view. Each UN Country Team (UNCT) is expected to identify the normative role of the UN system as well as the role of the UNCT in supporting the country, and to provide added value to the national vision and policy for the 2030 Agenda and the Sustainable Development Goals (SDGs).

The UN Vision 2030 paper, in two-to-three pages, summarizes the visioning exercise results, reflecting a shared picture of the country's sustainable development challenges and objectives. It also lays out how the CCA and the contributions of successive UNDAFs represent logical steps in the longer term results areas that define the UN system's primary contributions to supporting national attainment of the 2030 Agenda, based on a set of criteria that include equity, comparative advantage and feasibility (for further details, please see the theory of change companion guidance note (hyperlink to ToC CGP)).[1] The UN Vision 2030 paper includes:

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[1] It is recommended to apply the MAPS (Mainstreaming, Acceleration and Policy Support), which provides UN Resident Coordinators and UNCTs with useful insights and practical tools for the UN Vision 2030 exercise.

- The **UN system's internal and external working assumptions**, considering the country's plausible long-term development trajectories until 2030
- **The envisaged strategic UN positioning and role** in the country through 2030
- How **the five-year UNDAF fits into the 15-year 2030 Agenda**

The UN Vision 2030 is formally revisited and revised every UNDAF cycle, although the UN system may choose to update it at any point based on new developments.

The UN Vision 2030 and the CCA are mutually reinforcing and should be developed in parallel. The CCA's assessment and analysis inform the trend analysis of the UN Vision 2030 and the definition of the UNDAF strategic priorities, while the UN Vision 2030 situates and orients the CCA's medium-term assessment and analysis within a longer term perspective. The UN Vision 2030 will guide the development of future UNDAFs and corresponding CCAs.

Building on the CCA and the UN Vision 2030, the UN system develops an overall theory of change that identifies viable development causal linkages, and is used to derive collective key outcomes to which the UN and its partners will contribute in the overall pursuit of national SDG-related targets.

The UN Vision 2030 should fully apply the UNDAF core programming principles (hyperlink to PPs CGP), which are to leave no one behind; human rights, gender equality and women's empowerment; sustainability and resilience; and accountability. It needs to align the strategic direction of the UNDAF with the vision and principles of the 2030 Agenda, in particular the overarching principle of leaving no one behind.

2. THE CONCEPT

The UN Vision 2030 exercise should help the UNCT contextualize its plan with a longer term perspective, aligned with the vision and priorities of the government and other stakeholders, over the full duration of the 2030 Agenda. Hence, building on national capacities and resources is essential. Some countries undertake multiyear vision planning, and UNCTs can then prepare the UN Vision 2030 aligning with national instruments.

UNCTs can undertake this exercise in a flexible manner, from using foresight processes (external support may be required) to simpler exercises such as using "futures wheels" (see Annex II). The UN Vision 2030 exercise should be consultative, collaborative and inclusive, thereby resulting in a truly shared vision that all "own" and subscribe to, including the furthest behind.

Policy coherence across the 2030 Agenda should directly inform the CCA and UN Vision 2030 exercises so that UNDAFs are able to effectively address the interconnected and integrated nature of sustainable development, and link to the conflict prevention/sustaining peace agenda.

A Vision 2030 exercise provides opportunities for:

- Adding value to the national vision for the 2030 Agenda and the SDGs by defining the role and positioning of the UNCT and identifying opportunities for its contributions as well as normative role in the national context;
- Strengthening links among the UNDAF, the 2030 Agenda and the SDG targets and indicators, and other international, regional and subregional legal commitments and agreements;
- Effectively balancing and integrating the three dimensions of sustainable development (economic, social and environmental);
- Assessing the broader global and regional context in relation to the country;
- Identifying priority actions, drivers and structural changes needed to accomplish the SDGs as well as longer term assumptions and risks (using the **CCA** (hyperlink to CCA CGP) as a basis), and unearthing

blind spots and planning for uncertain futures (considering risk, prevention and resilience);
- Formulating collective understanding of the key challenges and shared approaches required, in mission and non-mission settings, across the work of the UN and its partners on sustainable development, humanitarian response, conflict prevention and sustaining peace;
- Engaging national partners in a longer term analysis and definition of priorities, including joining and building on national exercises of this kind;
- Enhancing team-building within the UNCT and technical teams;
- Encouraging synergies with advocacy and communications activities; and
- Building individual and organizational capacities to think systematically about the future and the interconnectedness of the SDGs, as a basis for enabling integrated and transformational development change.

3. MOVING FROM THEORY TO PRACTICE

3.1 GUIDING QUESTIONS

The UNCT should **define the UN's working assumptions in terms of the country's longer term development trajectories**, over the duration of the 2030 Agenda. The internal working assumptions are cross-linked with the logic of the **theory of change (**hyperlink to ToC CGP), in particular for strategic prioritization, based on a set of criteria, including equity, comparative advantage and feasibility. External assumptions are based on the UN Vision 2030 exercise and the CCA.

Guiding questions:
- Does the UN Vision 2030 provide a structured and comprehensive long-term perspective for the UNDAF process as it defines contributions to the broader 15-year goals of the 2030 Agenda?
- Does the UN Vision 2030 consider the interconnected and integrated nature of sustainable development and its implications for the UNDAF and CCA processes?
- Has the visioning exercise considered and assessed the implications of the different development trajectories and the implications associated with social, economic and environmental vulnerabilities and unexpected events/crises, in the possible scenarios for attaining the Agenda 2030 at national and subnational levels?
- Does the UN Vision 2030 identify key barriers related to environmental sustainability, economic limitations and inequality patterns?
- Are other developments/emerging issues likely to affect the operating environment, for instance: vulnerability to climate change, disasters caused by natural or man-made hazards, inequality trends, technological revolutions, demographic changes, regional conflicts, marked political and economic changes/transitions, or refugee arrivals/internal displacement or migration patterns?
- Is the UN system taking a "whole of UN system approach" across the UN pillars—human rights, conflict prevention, and sustaining peace and sustainable development—as well as humanitarian needs to respond to complex challenges?

- Does the UN Vision 2030 take into account the implications of the global and regional context in the country implementation of the SDGs?
- Does the UN Vision 2030 identify structural changes needed and drivers towards accomplishing the SDGs?
- Will the role and influence of non-UN actors likely decrease or increase?
- Does the UN Vision 2030 reflect a shared vision of the country's sustainable development challenges and objectives, and help with the prioritization of actions over the longer term, aligned with the vision and priorities of the government and other stakeholders?
- Does the UN Vision 2030 include a longer term analysis and priorities, including through joining national exercises proposed by the national partners?

The UNCT should also **outline the UN's contribution** in supporting the country's attainment of the 2030 Agenda, including its means of implementation (i.e., data, monitoring and reporting; policy coherence; allocation, mobilization and leveraging of funds; technical assistance and capacity development) over the 15-year period.

Guiding questions:
- How can the UN best support the country in attaining its vision of where it should be by 2030?
- Does the UN Vision 2030 assess and outline the role of the UN in the country for the duration of the 2030 Agenda?
- Is the value added of the UNCT incorporated within the projected vision?
- Is the UNCT drawing on capacities and expertise from across the UN system, not just those present at country level?
- Does the UN Vision 2030 identify longer term results areas that the UNCT anticipates will define its primary contribution in supporting attainment of the 2030 Agenda in the country?
- What is the UN's likely evolving role (in scale and scope) and positioning in the country?
- How will the UNCT need to evolve or adapt to respond to evolving needs/demands?

- Are changes expected in the mandate or presence of the UN, e.g., a drawing down of peacekeeping missions?
- Has the UNCT engaged in an on-going national visioning/planning exercise or has it taken into account existing national long-term planning policy documents?
- Does the UN Vision 2030 identify key actors (national, local, international) to involve in the implementation of the Agenda 2030 (see also the theory of change companion guidance (hyperlink ToC CGP)?
- Is the UN Vision 2030 built on the strong ownership of governments and national stakeholders?
- Does the UN Vision 2030 involve a broad range of stakeholders' views, including citizens?
- To what extent have stakeholders been involved in the development of the UN Vision 2030?
- Does the UN Vision 2030 make use of data and information gathered from social networks, citizen consultations and/or other big data sources?

Finally, the UNCT should **define the ways in which the five-year UNDAF fits into the long-term 2030 Agenda**, with the key outcomes of the successive UNDAFs representing logical steps in the longer term results areas that the UNCT anticipates.

Guiding questions:
- Based on the comparative advantages of the UN, is there a shared vision and articulation of collective key challenges, objectives and approaches, by a wide range of partners, over multiple years?
- If all the tasks were achieved, would the UN Vision 2030 be realized?
- Based on the previous UNDAF outcomes, has the new UNDAF been built to progressively contribute to the attainment of the 2030 Agenda?
- Does the **CCA** (hyperlink to CCA CGP) reflect an evolution in the country situation, as compared with previous CCAs?
- How will addressing the key challenges contribute to building long-term capacities at country level (see also the capacity development companion guidance (hyperlink CD CGP)?
- Will the immediate, underlying and structural causes as analysed in the CCA have a strong likelihood to increase, decrease or remain the same?
- Does the UN Vision 2030 identify longer term advocacy goals and milestones, and promote a public understanding of those? Is that embedded within the joint communication strategy, as an opportunity for effective communications and advocacy activities? (see also the communication and advocacy companion guidance (hyperlink C&A CGP)

3.2 METHODOLOGIES

The UNCT should decide the most feasible approach considering country capacities and resources available. Available methodologies include:

- **Foresight processes** are used to explore the future that people are expecting and a range of plausible alternatives; they inform the development of strategies that are robust across that range of plausible futures. They can generate a range of possible futures and possible strategic options along with understanding of challenges and strategic risks. Foresight exercises can assist in prioritization, aimed at directing the UNCT's support where it is most needed and likely to deliver the greatest improvement over the baseline expected achievement. Foresight exercises usually require outside support or support from colleagues who have been involved in conducting such exercises.

- **Back-casting** is a reverse forecasting technique that starts with a specific future outcome and then works backward to present conditions. For example, this could involve organizing one-day reflections with all UNCT members (and non-resident agencies) dedicated to a discussion around the central question of: Where do we think, as the UN, that the country will/should be in 15 years and what could/should be the contribution of the UN to achieving that? External participants/speakers from across government ministries, academia, the private sector, civil society, youth groups and media should be invited.

- **Scenario analysis** is a way of structuring thinking about the future; it describes a possible future situation, including the path and hypotheses leading to it. The Millennium Institute, for example, released the Integrated Sustainable Development Goals planning model (iSDG). It is a comprehensive simulation tool that generates country-specific development scenarios to show the implications of policy on a country's progress towards the SDGs. It covers all 17 goals, and facilitates a better understanding of the interconnections of the goals and targets, in order to develop synergetic strategies to achieve them.

4. LESSONS LEARNED, TIPS AND GOOD PRACTICE FROM REAL COUNTRY EXAMPLES

GOOD PRACTICE EXAMPLES

Some of the innovative/successful national visioning exercises are:

- Lao People's Democratic Republic: Futurescaper (a digitalized foresight methodology) engaged all staff of the UNCT, development partners, civil society organizations, the Government and the public to explore development issues and build scenarios around them, including through the use of crowdsourcing.
- Montenegro: For its 2015 UNDAF, Montenegro's UNCT used a light touch foresight process that engaged a wide range of stakeholders (citizens and non-experts). They employed innovative methods that empowered new voices, including through online platforms and a game in which a colourful board, cards and tokens were used to discuss the future from the perspective of challenges, opportunities, partners, actions and values. They also used back-casting and innovative approaches to think out of the box, unveil blind spots and map uncertainties.
- Bosnia and Herzegovina: Building on the work in Montenegro, the UNCT in Bosnia and Herzegovina applied strategic foresight as part of its consultation process to build momentum for the SDGs. The team adopted their original game, named the SDG Consultations Tool, through a participatory planning process with 600 people to gauge their positive and negative associations with the past and present, and their visions for the future. As a result, over 80 ideas were generated, and demographic data on priorities, values, actions and institutional suggestions were collected. The accompanying "Postcards from the Future" campaign encouraged people to imagine what the future could or should be.
- Rwanda: Foresight exercises have been used to plan large-scale development projects as well as to conduct planning in urban and rural areas
- Sri Lanka: UNDP, in cooperation with national government entities, organized a Foresight and Innovations Summit to initiate a national dialogue on foresight as an innovative tool to assist traditional development planning in achieving sustainable human development and the 2030 Agenda.
- Bahrain: A working meeting to review and strengthen the draft Strategic Cooperation Framework for 2016-2020 between the Government and the United Nations discussed the value and main elements of a UN Vision 2030 Note, using forecasting and futures wheels (see Annex II).
- Albania deployed crowdsourcing to develop the new UNDAF, engaging the public to get their priorities in the design phase.

TIPS

For an effective UN Vision 2030 exercise:

- Try to engage in on-going national visioning/planning exercises or take into account existing long-term planning documents.
- Focus attention on the assumptions, as these are crucial in defining the causal linkages to a vision, and how they will be validated to inform future pivot points towards that vision.
- Be bold and try out new/innovative methods and tools: e.g., participative foresight, back-casting and scenario analysis, empowering new voices and using online platforms in strategic planning.
- Engage world-class knowledge, facilitators and staff who are open minded and willing to carry out innovative approaches, think out-of-the-box, unveil blind spots and map uncertainties.
- Involve partners from the beginning to have a participatory process; do not forget "human-centred design;" involve citizens and non-citizens.
- Look to and learn from the experiences of others.
- Engage regional Peer Support Groups for guidance, regional examples, technical support, facilitation of milestones and quality assurance (feedback should be provided within 15 working days).

5. TOOLS AND RESOURCES

MAPS (Mainstreaming, Acceleration and Policy Support) frames the UN development system's support to UNCT engagement in the implementation of the new agenda, through the UNDAFs

UNDG Blog (2016): Now is the best time to embrace the futures: SDGs success depends on strategic foresight

UNDG (2016): "Applying Foresight and Alternatives Futures to the UNDAF"

UNDP Foresight Manual (2015) features a selection of methods and techniques suited for framing development or policy discussions

UNDP (2014): "Foresight as a Strategic Long-Term Planning Tool for Developing Countries" was developed to support decision makers in developing countries to maximize the strengths and benefits of national foresight programmes.

#UNDP4Future: The essential foresight reading list UNESCO Anticipation and Foresight Programme aims to strengthen intellectual, ethical and strategic watch functions

UNEP Foresight Process addresses one of the goals of the UNEP Science Strategy: "anticipating the future."

6. ANNEXES

ANNEX I: SUGGESTED UN VISION 2030 OUTLINE/FORMAT

The new UNDAF Guidance highly recommends the development of a short UN Vision document to help the UN system strategically plan for contributing to the 2030 Agenda and the SDGs in a given country, and indicate how successive UNDAF results can build on each other. The following format can be adapted by UNCTs based on local contexts.

The UN Vision 2030 paper is expected to be brief, a maximum of three pages.

PROPOSED ANNOTATED OUTLINE:

1. **2030 Agenda and SDG result areas of UN focus in country X**
    This section articulates plausible long-term priorities, sustainable development goals and indicators for the UN's contributions over the time horizon of completion of the 2030 Agenda and the SDGs, based on the CCA, the UN strategic planning consultative exercises and process guidance. It demonstrates the ways in which the achievements of successive UNDAF's represent logical steps in the long-term results areas that define the UN system's primary contributions to supporting the national attainment of the 2030 Agenda.

2. **Linkages with available national 2030 visioning paper/framework in country X**
    In this section, the paper makes reference to any existing national 2030 visioning paper and how the UN Vision 2030 contributes towards reaching the national vision.

3. **Fulfilment of a range of international and human rights treaties ratified by country X**
    The UN Vision 2030 process also takes into account the fulfilment of and reporting on long-range commitments and international and regional human rights conventions and other treaties ratified by the country such as the Paris Agreement, Universal Periodic Review, Sendai Framework for Disaster Risk

Reduction 2015-2030, World Humanitarian Summit and the New Urban Agenda, among others. Provide a brief in this section.

4. **How the new five-year UNDAF fits into the long-term vision**
    Describe how the results and strategies in the new five-year UNDAF (period) fits into the long-term trajectory described in Section 1.

5. **UN system's working assumptions**
    This section is to outline both internal and external working assumptions for the UNCT's contributions to longer term results.

6. **Role of the UN in the country**
    Describe the evolving role and position of the UN system in country X, including, where appropriate, coherence with an integrated UN mission for the duration of the 2030 Agenda.

7. **Summary of the consultative process to develop the UN Vision 2030**
    Include briefly the collaborative and consultative process to develop the UN Vision 2030, including quality assurance from the regional Peer Support Group, if any.

8. **Date of development/date of revision of the UN Vision 2030**
    The UN Vision 2030 is formally revisited and revised every UNDAF cycle, although the UN system may choose to update it at any point based on developments at the country level.

ANNEX II: FUTURES WHEEL

This is a method for graphic visualization that lays out the direct and indirect consequences of a decision, event or trend:

- **Step 1:** Identify the trend and write it in the centre.
- **Step 2:** Identify the possible direct, first-order consequences of that trend.

- **Step 3:** Identify indirect, second-order consequences:
    - o After brainstorming all the possible second-order consequences of each of the first-order (direct) consequences, add them to the diagram and repeat this by identifying the third-order consequences, fourth-order consequences, and so on.
    - o It is useful to colour-code each "level" of the wheel; this makes it easier to prioritize and analyse consequences once the brainstorming is complete.
    - o Consequences are not necessarily negative.

- **Step 4:** Analyse implications, what are the key assumptions?
- **Step 5:** Identify scenarios
    - o Choose one or two series of consequences that seem most plausible as future scenarios
    - o Describe the scenario: What's happening? Who will be most affected by the changes? Who will be in a position to influence the changes?
    - o Role for the UN system: What role could UN system agencies play to take advantage of opportunities or prevent/mitigate harm? What can the UN system do in the mid-term (next three-to-five years) to anticipate, and position itself and partners?

FIGURE 1.
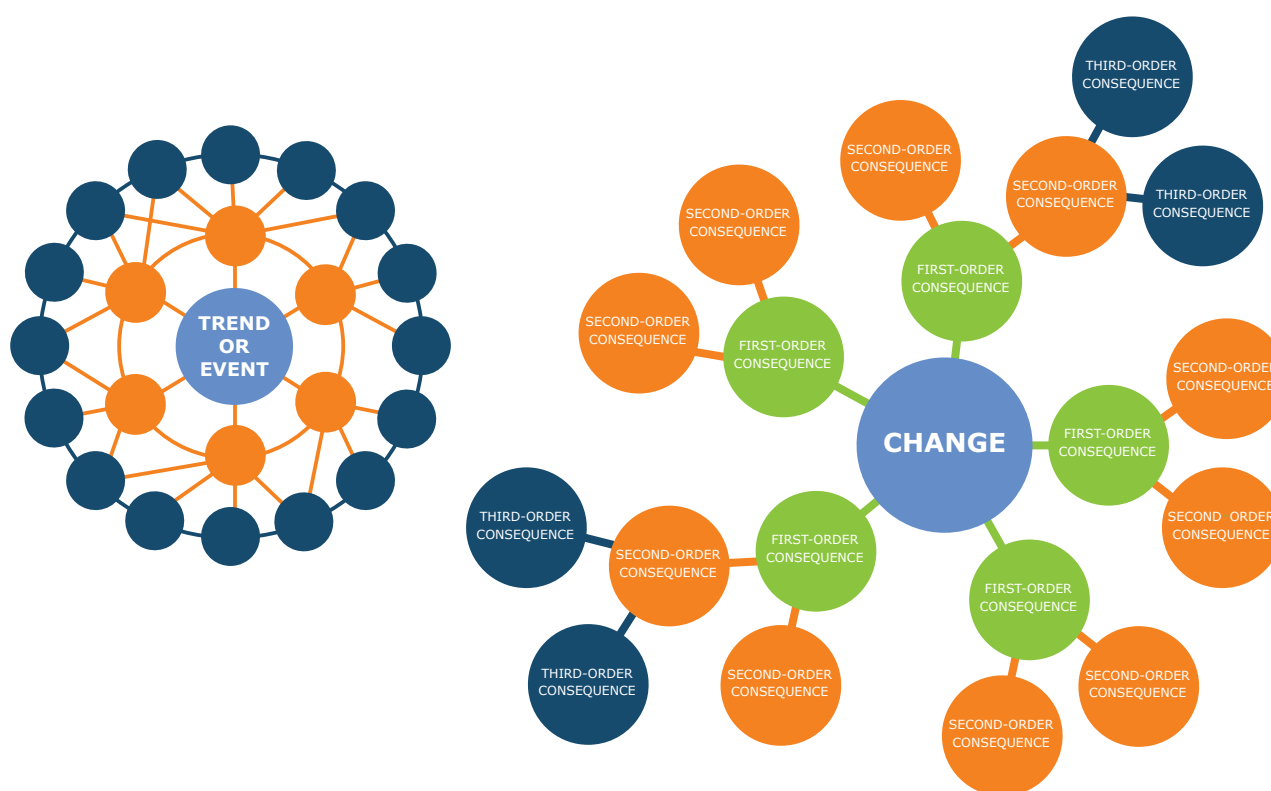
(The **network diagram** on the left could be applied to a brainstorming exercise of potential future trends or events.)

The United Nations Development Group (UNDG) unites
the 31 UN funds, programmes, specialized agencies,
departments, and offices that play a role in development.
Since 2008, the UNDG has been one of the three pillars
of the UN System Chief Executives Board for Coordination,
the highest-level coordination forum of the United
Nations system.

At the regional level, six Regional UNDG Teams play
a critical role in driving UNDG priorities by supporting UN
Country Teams with strategic priority setting,
analysis and advice.

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