



## **Implementation Guidelines for MDG Achievement Fund Joint Programmes**

*Prepared by the MDG Achievement Fund Secretariat*

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## 1. Introduction

MDG-F joint programmes are nationally owned programmes that promote pro-poor public policies, strengthen national and local capacities and involve and benefit local populations. These programmes are supported by United Nations Participating Organisations and other partners such as civil society and the private sector. The following MDG-F guidelines<sup>1</sup> have been drafted in response to the demand from UN participating organizations and their national counterparts, to consolidate experiences on joint programmes and provide guidance on joint programmes and implementation at the national level. This document therefore captures country led efforts to elaborate joint programme manuals (e.g. Honduras), as well as the views and inputs that emerged from three regional workshops organized by the MDG-F Secretariat in Morocco, The Philippines and Colombia in 2009. The guidelines reflect lessons learned from our partners at the country level (including national governments at the central, region and municipal levels, UNCT, UN agencies, civil society organizations) as well as the philosophy of the Fund, and ultimately aim to guide the implementation of MDG-F financed joint programmes. At the centre of this exercise is the ambition to improve the ability of the UN to deliver results that support national development outcomes, while placing greater emphasis on government leadership and commitment. For further information on the driving principles of the MDG-F please visit the website at <http://www.mdgfund.org>. These guidelines have been updated in February 2011 to reflect lessons learnt and feedback from the joint programme implementation teams based on the implementation of joint programmes for over a period of two years.

## 2. MDG-F Global Governance Structure

Overall leadership of the MDG-F is provided by the **MDG-F Steering Committee**. The Steering Committee sets the strategic direction of the Fund, approves individual financial allocations based on recommendations made by the MDG-F Technical Review Committee, monitors strategic allocations and delivery amongst priorities and countries, and tracks Fund-wide progress. The Steering Committee is composed of the UNDP Administrator and Chairperson of the undg, and the Spanish Secretary of State for International Cooperation. Additional members may be invited at the discretion of the Steering Committee.

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<sup>1</sup> At the time of revising this document, UN DOCO has published the New UNDAF Action Plan Guidance Note and Support package to simplify the UNDAF process for UN Country Teams and to improve the ability of the UN in its delivery of results to support national development outcomes. This document has been reviewed while preparing these guidelines.

**MDG-F Technical Review Committees** were constituted, reflecting the eight thematic focus areas of the Fund, to review all the programme proposals submitted to the MDG-F for financing. Technical Review Committees were made up of 10-12 UN, Spanish and independent experts appointed by the Steering Committee, meeting under a Convenor. The Convenor, a designated representative of a UN Agency, was responsible for coordinating the review process in their respective field of expertise. These Review Committees advised the Steering Committee on the technical and design merits of applications making recommendations for amendments and/or approvals.

The **MDG-F Secretariat** is the operational coordination unit for the Fund and services the Steering Committee. The Secretariat is delegated by the Steering Committee to ensure that policies and strategies approved by the Steering Committee are implemented and adhered to. The Secretariat also coordinates the proposal review process, recommends joint programmes for approval and manages the Fund's overall strategies for monitoring and evaluation, communication and advocacy and knowledge management.

The MDG-F Secretariat advises and supports the joint programme teams in the implementation of the above mentioned strategies. The Secretariat monitors ongoing programme interventions in close cooperation with the Offices of the UN Resident Coordinator and the Joint Programme management teams.

The UN system is concentrating efforts to enhance coherence and efficiency at the country level and to increase joint UN activities. In this context, UNDP is often called upon to play the role of Administrative Agent (AA) through its MDTF Office for MDTFs and Joint Programmes (JPs) that use the pass-through fund management model. Financial administration of the Fund is entrusted to the **Multi-Donor Trust Fund** (MDTF) Office of UNDP. The MDTF Office is the Administrative Agent of the Fund. The MDTF Office is responsible for transferring funds based on fund transfer requests from the Resident Coordinator on behalf of the National Steering Committee and consolidating financial reporting on a quarterly and annual basis at the global level. The MDG-F Secretariat also closely monitors the financial status of joint programmes. The MDG-F Secretariat will work with the MDTF to ensure consistency. At the country level, the role of Administrative Agent can be performed by participating UN organizations, and include the responsibilities to: receive contributions from donors; administer funds received; disburse funds to each of the Participating UN Organizations in accordance with instructions from the Steering Committee/Resident Coordinator (on behalf of the Steering Committee); consolidate statements

and reports, based on submissions provided to the AA by each Participating UN Organization; etc.

### 3. Overview of National MDG-F Governance Structure

Experience from several countries shows that strong government leadership, together with a united Country Team led by the Resident Coordinator, are imperative in making strategic choices and delivering development results effectively. The MDG-F is flexible in terms of using national governance structures linked with the UNDAF process or National Programmes. At a minimum, for the management of MDG-F joint programmes, governance structure at the country level is as follows:

**3.1 National Steering Committee (NSC):** The NSC is the highest body for the strategic guidance, oversight and coordination of all MDG-F joint programmes. In principle there must be only one NSC for all MDG-F joint programmes. See Annex 1 for NSC generic terms of reference. If country teams already have similar mechanisms in place, there is no need to create a new mechanism for discussion on MDG-F related programmes, as long as the composition below is ensured:

- **Composition:** To guarantee its independence, the NSC should include parties who are not involved in programme implementation:
  - A representative of the Government, in the role of Co-Chair;
  - The Resident Coordinator of the United Nations Systems (UNRC), in the role of Co-Chair.
  - A representative of the Government of Spain.

Additional members may be invited at the discretion of the National Steering Committee.

<b>Committee</b>	<b>Main role</b>	<b>Frequency of meetings</b>	<b>Decision-making process</b>	<b>Facilitated by:</b>
National Steering Committee (NSC)	Strategic guidance, oversight, and coordination	<b>Bi-annual</b> (Members can convene extraordinary meetings)	Each member has the right to vote and decisions are made by the co-chairs on a consensus basis.	Office of the Resident Coordinator or as determined locally

**3.2 Programme Management Committee (PMC):** The PMC oversees programme implementation and will make the technical/operational decisions required to manage the joint programmes appropriately. See Annex 2 for PMC terms of reference.

- **Composition:** The PMC is composed of the joint programme implementing partners who have decision-making abilities:
  - The UN Resident Coordinator or his/her delegate in the role of Co-Chair<sup>2</sup>;
  - Lead Government representative in the role of Co-Chair<sup>3</sup>;
  - Implementing national and local government counterparts;
  - Participating UN Agency Representatives or their delegates; and
  - Non-state representatives from citizens' groups, NGOs, civil society and/or the private sector. Particular attention should be given to traditionally excluded and marginalized groups such as women, youth, indigenous populations, ethnic/religious minorities, amongst others, ensuring that their perspective is integrated into programme management.

<b>Committee</b>	<b>Main role</b>	<b>Frequency of meetings</b>	<b>Decision-making process</b>	<b>Facilitated by</b>
Programme Management Committee (PMC)	Managerial	Quarterly	Final decisions are taken by the Co-Chairs when a consensus cannot be reached	Programme Coordinator/ Manager if existing or as determined locally

If deemed necessary the PMC may invite other members to join the body such as technical representatives of Spain, other donors, larger representation of non-state actors, media organizations etc. It is important to ensure the participation of relevant implementing partners at

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<sup>2</sup> The MDTF Operational Guidance note refers to the UN Resident Coordinator being the sole Chair of the PMC. However, experience has shown that this committee should be co-chaired with Government.

<sup>3</sup> If there is no lead government partner, then the NSC government representative should designate the government Co-Chair for the PMC.

the PMC discussions. In countries where high numbers of involved partners obstructs sustained substantive discussions during the PMC, additional levels of discussion may be considered. Such models are discussed in the Section 4.4 on Coordination Mechanisms.

**3.3 The UN Resident Coordinator and the UNRC's Office:** The Fund supports UN Resident Coordinators in their strategic leadership of the UN Country Team. The Fund relies on the Resident Coordinators to exercise leadership and provide ongoing oversight to ensure that programmes are on track, promised results are being achieved, and participating organizations are meeting their obligations. Together with the UNCT's, Resident Coordinators can provide the strategic guidance necessary to ensure that JPs are well inserted in the national development context and UNDAF, and contribute to public policy dialogue and development that is focused on MDG achievement. The Resident Coordinator exercises his or her authority over the programme by being entrusted with leadership of the overall programme design, ongoing programmatic oversight of the Fund's activities and by co-chairing regular Steering Committee meetings. On receipt of consolidated reports, the Resident Coordinator, in the role of Co-Chair of NSC and PMC, provides an overall assessment of the programme's progress and results. He/she will also facilitate ongoing monitoring and evaluation of Fund-supported activities in conformity with UN standards and any guidance provided by the Fund Secretariat or Steering Committee.

The UNRC's Office supports the RC's leadership and convening role during the formulation of joint programmes and RC's coordination and oversight role during their implementation. The MDG-F has agreed that programme funds can be used to support the UNRC's Office in order to assist with the execution of the functions of the NSC. Some of the functions performed by the UNRC's Office can include: the review and validation of all the reports to be submitted to the MDG-F Secretariat and the MTDf Office; ensuring an inter-agency perspective in all efforts

**Table 1: Key Principles of the relationship between UN Agencies and the Government**

- The achievement of the MDGs, fulfillment of human rights, UN Conferences and Summits
- Strong alignment with national priorities and country processes
- Building on experience of previous programmes
- To meet objectives of greater coherence and coordination between the UN Agencies
- Ensure alignment with current trends in the aid environment; Paris Declaration
- The Doha Financing for Development Review Conference Outcome document and its implications at country level
- The aid environment/Paris Declaration, reference to any prevailing frameworks for enhancing aid effectiveness (e.g. joint assistance strategies)
- To foster constructive partnerships with civil society and non-governmental sector

Source: UNDAF Action Plan Guidance Note: Annex 1, UNDG, 2009



related to the formulation and implementation of joint programmes; strengthening linkages between ongoing JPs and other UN supported initiatives; facilitating the organization of NSC, PMC and other relevant meetings; monitoring progress and achievement within the UNDAF framework; facilitating the articulation of national advocacy interventions; facilitating coordination between MDG-F funded joint programmes; and liaising with the MDG-F Secretariat and MDTF.



#### 4. Joint Programme Management Models

The MDG-F actively promotes national ownership which translates into national leadership in the management of joint programmes and the participation of relevant national stakeholders. Depending on the national context, relationships, existing capacities, the stakeholders decide on the most adequate management model. In this regard, the management of the programmes resides within national entities<sup>4</sup> and/or UN agencies. The implementation of the joint programmes may be delegated to a number of partners ranging from Government; UN Participating Organisations; and civil society including NGOs, citizen’s groups, the private sector and national/local institutions such as universities.

The core structure to manage a joint programme is comprised of a Programme Manager/Coordinator that reports to the Programme Management Committee; an M&E specialist and an advocacy and communication expert. This team can be complemented by

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<sup>4</sup> In those instances such as crisis countries where national capacity may be weak, UN Agency leadership can be a valid option (direct execution).

technical expertise either project staff or within the participating UN agencies to substantively lead the implementation of designated outputs. This core structure ensures overall progress in the implementation of the joint programme, engages with and coordinates all partners involved in the implementation and identifies results and bottlenecks and reports to relevant governance bodies for decision making.

#### **4.1 Lead Ministry**

In instances where joint programmes have a number of national entities involved in a programme, Government may decide to have a lead ministry<sup>5</sup> manage the joint programme. The Lead ministry is responsible for coordinating all the joint programme partners, managing and monitoring the programme, and reporting back to the PMC. Some of these responsibilities may be delegated to the PC/M and the PMT or other implementing partners such as the United Nations and/or civil society. It is recommended to identify the roles and responsibilities of each implementing partner during the inception phase of the joint programme. The responsibilities of a lead ministry are further explained in Annex 4.

This entity should identify a “Programme Coordinator/Manager” (PC/M)<sup>6</sup> who may come from the ministry (a focal point) or be recruited from outside. The NSC endorses the selection process of the Programme Coordinator/Manager. Should this PC/M be joined by other programme team members, this group will be referred to as the Programme Management Team or PMT<sup>7</sup> which is located in Government offices. Areas of responsibility covered by PMTs vary, including programme management, monitoring and evaluation, coordination, advocacy and communication<sup>8</sup>, providing technical expertise, and administration. Sample terms of reference for the PC/M and other PMT members can be found in Annexes 3 and 4.

A number of complementary mechanisms for the management of joint programmes are possible depending on the nature of the joint programme, the institutional context and the number of different stakeholders involved in the implementation of outcomes and outputs. The utilization of

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<sup>5</sup> For the purposes of the guidelines, “lead ministry” can denote any lead national entity.

<sup>6</sup> The Programme Coordinator/Manager should be identified in consultation with the members of the Programme Management Committee as this person works on behalf of all the joint programme partners.

<sup>7</sup> Lack of available space may require a PMT to be based outside the government. Only exceptionally should a PMT be based in a UN agency.

<sup>8</sup> Advocacy and communication are both the responsibility of Government and UN agencies.

these complementary mechanisms for the management of joint programmes does not replace overall joint programme governance structures that guarantee national ownership, and a coherent joint vision and strategy. These can include:

**4.2 Management of components (or outcomes/outputs) distributed among partner ministries (or national entities):** During programme formulation, it may have been decided that the management of joint programme components or outcomes/outputs should be distributed to the responsible technical ministries. As mentioned above, ministries should identify a focal point similar to the Programme Coordinator/Manager to manage the activities and outputs within that component or outcome. A PMT may or may not be established. The Government will need to identify which ministry or entity will co-chair the PMC on behalf of this group.

*Role of the technical ministries:* The technical ministries are responsible for managing and monitoring their components and reporting back to the PMC. Some of these responsibilities may be delegated to the PC/M and the PMT or other implementing partners such as the United Nations and/or civil society. The responsibilities of these ministries are further explained in Annex 5.

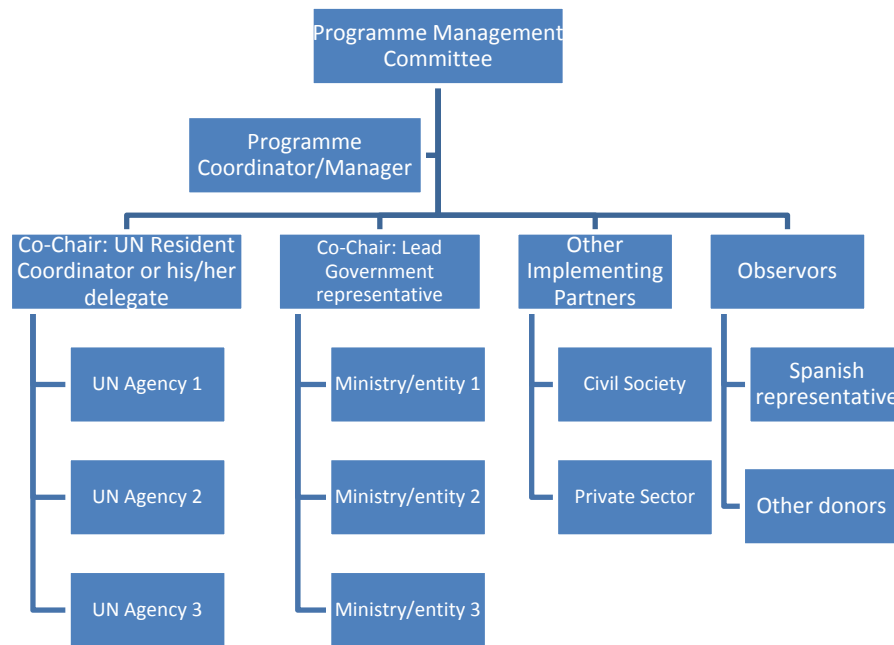
In exceptional circumstances where the national Government does not have the capacity to manage and implement programmes, UN agencies may implement directly and are accountable for the use of resources as well as for the production of outputs and achievement of programme objectives. In this scenario, the joint programme should justify why this is the case and include a strategy to further develop Government capacity so as to be able to phase out from the direct implementation to national implementation as soon as possible.

**4.3 Lead UN Agency:** Often during the formulation of joint programmes, a UN Agency was identified to lead this collaborative effort, playing a key role in coordinating and incorporating the contributions of all the partners. As the UN Resident Coordinator may delegate his/her role as Co-Chair of the PMC to a UN Agency, the role of Lead UN Agency may continue on into programme implementation. The delegated Co-Chair may or may not be the same as the Lead

UN Agency during formulation<sup>9</sup>. The MDG-F stresses the importance of complying with the Paris Declaration and emphasizing national ownership though local circumstances may differ on how this is achieved. As such the lead agency and its UN partners are responsible for promoting these principles in all the stages of the programme cycle. This will require Government involvement and leadership in formulating joint programmes and ideally in assuming a lead role in implementation. Concrete spaces for participation of citizens and civil society in defining and implementing joint programmes need to be ensured.

*Role of lead UN Agencies in programme implementation:* In joint programme implementation, UN Agencies can play a number of roles. If requested by the Government, a lead UN Agency can coordinate the implementation of joint programmes activities and outputs. If requested by the UN Resident Coordinator or the partner UN Agencies, a lead UN Agency can be responsible for coordinating the overall actions of UN Agencies on a joint programme or in some cases coordinate by component, outcome or output. When several UN Agencies are working with one ministry or national entity within a given joint programme, the latter can be overwhelmed by the variety of procedures and so a lead Agency can assist in coordinating this partnership. In some instances, a UN Agency has a field presence in a geographic area such as a province or state and may act on behalf of Agencies that are not present in that area.

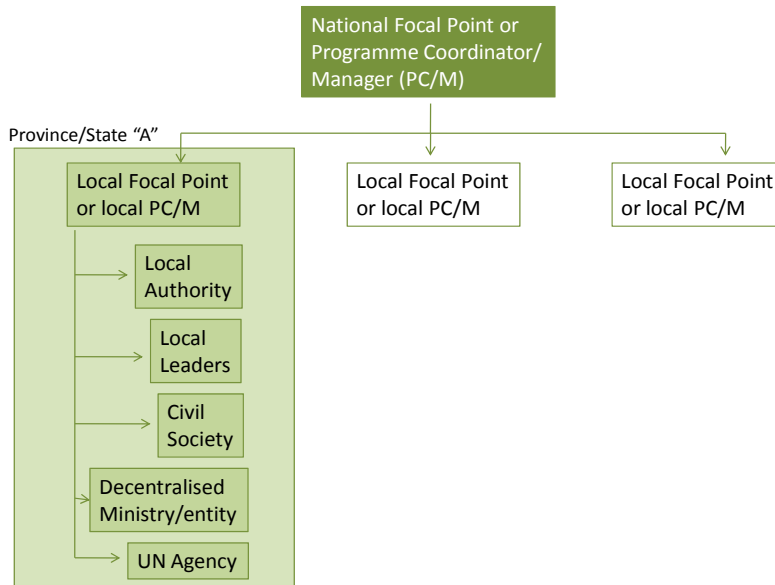
**National level:**



<sup>9</sup> Lessons learned have shown that it is important for lead UN Agencies to refrain from “managing” the programme unless it has been given this responsibility by the partners.

The above mentioned diagram illustrates options that might include decentralized management structures with local authorities or other sub-national entities. The diagram below illustrates the preferred multi-stakeholder character of these national and sub national structures.

**Sub-national structures:**



**4.4. Coordination Mechanisms**

In pursuing the management and implementation of joint programmes, a number of coordination mechanisms (either existing or newly established) have been used to ensure not only better coordination but harmonization and alignment among the implementing partners with other national, local and international partners. The following list is non-exhaustive:

**4.4.1 National:**

- Inter-governmental coordinating body: Some governments may decide to have their own committee which brings together the government implementing partners chaired by the PMC Co-Chair, feeding information to the Government representative in the NSC.
- Local level committees: For joint programmes working at the local level, it is important to establish a coordination/decision-making body which includes the following participants as necessary: local authorities, local leaders, civil society (including NGOs, private sector and community-based organizations), UN Agencies, and representatives of local targeted populations.

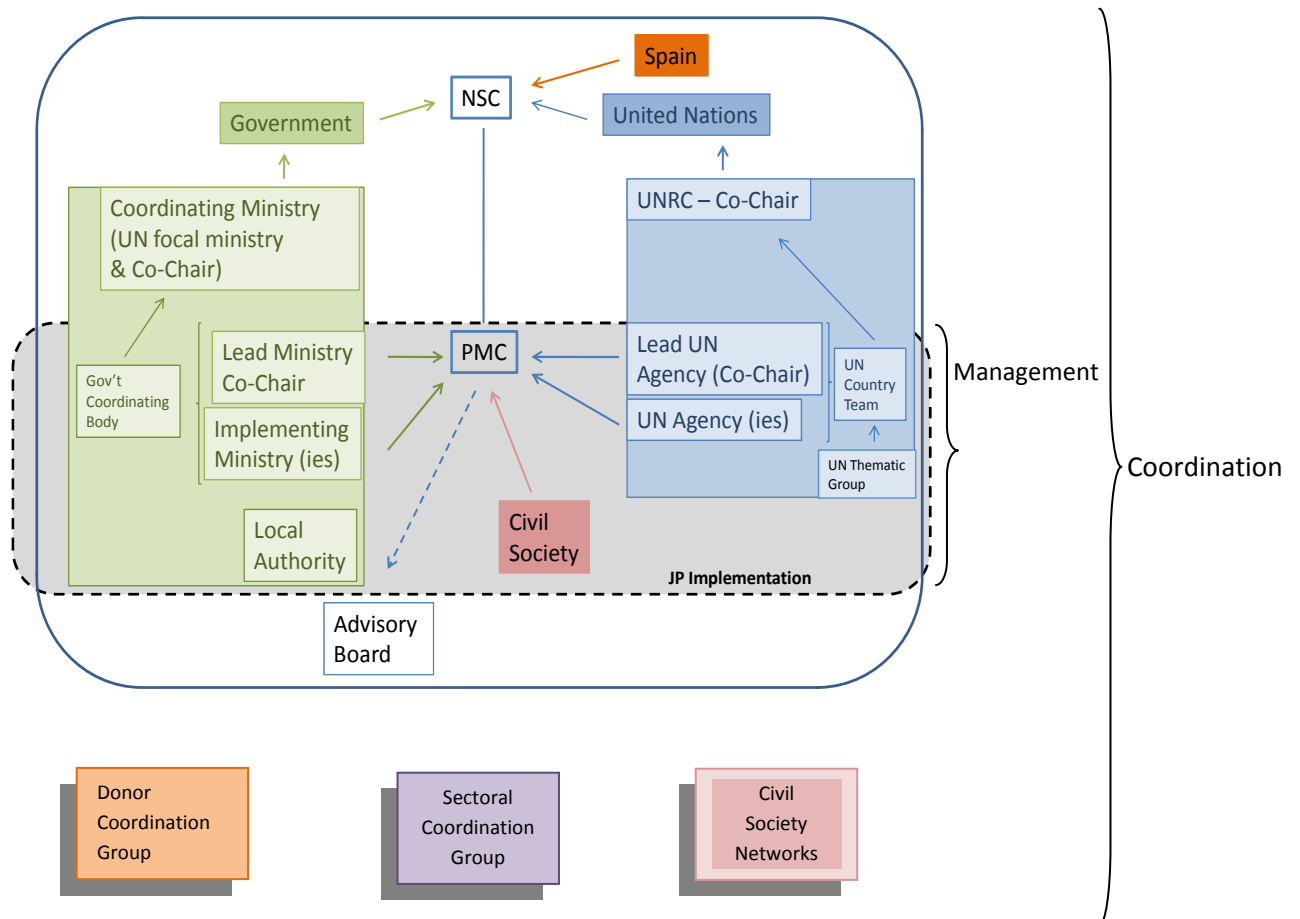
- Advisory Boards (national and local levels): Joint programmes may choose to establish or use previously established Advisory bodies composed of leading experts in a specific thematic area as a platform for focused discussions on key issues.
- Sectoral Coordinating Body: In some contexts where there are existing nationally led coordinating mechanisms at the sector or cross sectoral levels, the JPs may also want to reach out to the latter. Participating in such discussions could (i) ensure that JP's are aligned to government programmes and activities financed through the national budget or other resources, and (ii) ensure that lessons learned, experiences and results of the MDG-F interventions are shared with all the relevant stakeholders and used both as an opportunity for advocacy as well as for potential the replication of successful pilot initiatives.
- Donor Coordination Groups: Linkages with other donor-funded programmes can be made through such bodies.
- Civil Society Networks: Civil society refers to all citizens/peoples groups that are engaged in meeting/advocating for the development needs particularly of the poor. This could include NGOs, faith-based organizations, trade unions, youth groups, women's groups, social movements etc.

#### **4.4.2 Programme-specific:**

- Results Groups: The Secretariat has seen these working groups under a number of guises including Outcome and Output Committees. Whichever their denomination, they are often used when a joint programme either has a large number of implementing partners and/or a large number of outcomes/outputs. They are composed of the implementing partners working on that specific component, outcome or output and usually chaired by the relevant national counterpart. Such groups coordinate with the PC/M and report back to either the lead ministry/technical ministry or the PMC itself.
- Programme Coordinator/Manager Group: For countries with several MDG-F joint programmes, the PC/Ms may wish to establish a venue for sharing ideas, exploring ways to join efforts for advocacy, exchanging best practices and discussing lessons learned.

#### 4.4.3 United Nations (mechanisms vary according to local UN coordination modalities):

- **UN Country Team:** The UN Agencies involved in the implementation of MDG-F joint programmes may consult with the UN Country Team either directly or through the UN Thematic/UNDAF groups, with the intention of building consensus around substantive issues involving and/or informing the UN Resident Coordinator as Co-Chair of the NSC.
- **UN thematic/UNDAF groups:** In certain countries the UN thematic/UNDAF groups have provided an ideal venue for UN partners to have inter-agency technical discussions about programme interventions. In some countries, the Chair of the thematic group becomes the Lead Agency co-chairing the PMC.
- **Inter-agency technical groups:** These groups bring together UN Agency technical staff that can contribute particular expertise/insights into programme interventions or who are more closely involved in the formulation and monitoring of joint programmes. One example may be the UN Communications Group.



## 5. Monitoring and Evaluation (M&E)

Monitoring and evaluation, like programme design or implementation, forms part of the joint programme cycle and should therefore be implemented collaboratively throughout the life of the joint programme. It is important to always keep the monitoring and evaluation framework up to date and revise it when it is appropriate to ensure that the implementation of the joint programme contributes to the expected results. An allocation of 3 to 5% of overall programme resources is recommended to ensure an adequate monitoring of the programme activities. Is there are monitoring and evaluations mechanisms/structures in place there is no need to create new groups or mechanisms but it is recommend to use existing ones.

For the purpose of the MDG-F, **monitoring** is defined as a continuous process of collecting and analyzing information mainly on substantive indicators (at the activity, output and outcome level) to show progress toward the attainment of expected outcomes. Monitoring is a systematic, evidence oriented and quality based exercise where specific, measurable, attainable, reliable and time bound indicators (SMART) show proof of the substantive Joint Programme progress. **Evaluation** is the assessment of a planned, ongoing, or completed development intervention to determine its relevance, efficiency, effectiveness, impact and sustainability.

The MDG-F underscores the importance of involving citizens and their organizations in the monitoring and evaluation of programme interventions. A variety of means for participatory M&E methods can be used to ensure that the perspectives of citizens who are intended to benefit from programmes are accounted for. This process should, on the one hand, stimulate greater accountability of the programme in delivering results as well as enhance ownership and sustainability. The MDG-F Secretariat will provide guidance as and when needed.

To facilitate the programming of M&E activities, a checklist with Ten Steps to Joint M&E can be found in Annex 9.

### **5.1 Levels of Information**

The MDG-F includes four levels of information or units of analysis derived from its design and structure. Each unit of analysis builds on the results of the previous ones to offer a complete and coherent view of the progress and impact of the MDG-F.



- i. **The joint programme level of analysis** looks at the impacts and contribution that a joint programme has on target populations/institutions. It is the building block for the M&E system - most of the information, evidence, conclusions and findings will be based on this unit of analysis. The analysis of the joint programme is not intended to be a collection of activities and outputs from different actors but rather a complete picture in and of itself, which is more than the sum of its parts. The joint programme's implementation team has the responsibility to measure the change induced by the joint programme on/by citizens, institutions and other programme stakeholders.
- ii. **The country level of analysis**, when a country has more than one joint programme, considers the contribution and induced effect of the joint programme(s) on national development priorities as derived from their combined action in a specific country context.
- iii. **The MDGs and thematic window level of analysis** reviews the contribution and induced effect of joint programmes in the eight MDG-F thematic areas and their contribution towards MDG achievement at the national level.
- iv. **The MDG-F as a mechanism** consists of a systematic and rigorous synthesis of the above mentioned units into two pieces of comprehensive and evidence based work-mid-term and final reports.

**5.2 The Monitoring and evaluation function of a Joint Programme** consists of:

*Monitoring*

- Collecting a baseline for the indicators of the Joint Programme Monitoring Framework (JPMF) included in the joint programme document (if not already done);
- Collecting data on indicators of the JPMF;
- Carrying out any other activities included in the M&E plan;
- Fostering and facilitating participation of stakeholders through M&E activities;
- Collecting and reporting data, every six months, on thematic indicators, joint programme coordination and the Paris Declaration included in the JPMF;
- Preparing and submitting a monitoring report that includes updated data on indicators, additional identified in the M&E framework, information and evidence (including financial), is prepared on the basis of this information twice a year by the PC/M or an M&E specialist to be submitted to the PMC and subsequently to the NSC and MDG-F Secretariat A template to this effect is provided in Annex 13. The submission of this report is done through an online application at [https://reporting.mdgfund.org/users/sign\\_in?unauthenticated=true](https://reporting.mdgfund.org/users/sign_in?unauthenticated=true)

## *Evaluation*

- Facilitating M&E processes such as adapting the templates of the terms of reference for the joint programme mid-term evaluations by the MDG-F Secretariat in consultation with the UNRC's Office and PMT;
- Organizing field visits;
- Preparing an improvement plan to address the recommendations highlighted by the mid-term evaluation, and
- Implementing recommendations from M&E activities and reports into the programme cycle to improve the joint programme.

**5.3 Joint Programme M&E Tools:** A number of M&E tools are at the disposal of the joint programme partners to conduct monitoring and evaluation:

- *Joint Programme Monitoring Framework:* is the key element for the M&E system. The JPMF is part of the signed joint programme and is adjusted and revised during the Inception Workshop to reflect and take into consideration comments provided by the MDG-F Secretariat and maybe also after the mid-term evaluation and after the mid-term evaluation, if required.
- *Joint Programme field visits:* Whenever possible, visits to areas of programme interventions should be done jointly and in a coordinated manner with Government, UN agencies and other partners. This way the different members of the team will use the same methodology to analyze and interpret their observations allowing comparison among the visits and linking this exercise to the monitoring and evaluation plan and activities at country and Secretariat level.
- *Annual Reviews:* Annual reviews are an opportunity to bring together the joint programme partners and stakeholders to discuss progress to date, find solutions to any identified obstacles, discuss the results of the M&E Plan, formulate lessons learned, and prepare the new Annual Work Plan. It is at this time that requested changes to the AWP and budget should be discussed in anticipation of the preparation of the request for funds for year 2 and year 3 of the joint programme. Please see section on programme and budget revisions for more guidance in this respect.

- *Annual Work Plan (AWP)*: The Annual Work Plan for year 1 is prepared during joint programme formulation and subsequently updated during the Inception Workshop. The AWP for subsequent years is generally developed by the PC/M following consultations with all implementing partners, reviewed by the PMC and approved by the NSC. The AWP for Year 2 and Year 3 must reflect any carryover of funds pertaining to the previous as they correspond to delayed and postponed activities, and the request of new funds for new activities. It is also recommended that the annual work plan is reviewed by the Programme Management Committee on a quarterly basis to monitor progress.
- *Reporting*: See Section 10 below.
- *Evaluations*: For joint programmes with duration of two years, only one evaluation is required toward the end of the programme unless it is agreed otherwise. For joint programmes with duration of three years, mid-term and final evaluations are required.
  - *Mid-term evaluations*: The mid-term evaluation of a joint programme is financed and led by the MDG-F Secretariat. The purpose of this evaluation is to contribute to the improved implementation during its second phase, to capture knowledge and to identify best practices and lessons learnt. A guidance note to this effect is annexed to this document.

The evaluation process is divided into 3 phases:

- 1.) *Design*: The main product in this phase is the adaptation of the generic terms of reference (TOR) provided by the Secretariat to the joint programme information needs (the TOR are attached to this document). Consultants will be recruited by the Secretariat and the mid-term evaluation will be facilitated by the JP partners in each country. The evaluation reference group is established for each joint programme. The Secretariat will prepare generic terms of reference by thematic window. The generic TOR are adjusted to the country specific context by the evaluation reference group.
- 2.) *Implementation*: The main product and milestones for this phase are the inception report, the field visit and the final report. The joint programme team and the evaluation reference group propose a programme for the field

visit. The programme includes also visits to the programme sites. All pertinent documentation is sent to the consultant. An inception report is prepared prior to the field visit.

- 3.) Dissemination and improvement plan: The main deliverable here is an action plan to disseminate the results of the evaluation and an improvement plan for the joint programme that incorporates the recommendations from the mid-term evaluation. Comments to the final draft report will be provided prior to finalizing the report. Subsequently, the recommendations of the report will be discussed at the PMC to prepare an improvement plan (management response) for submission to the NSC. The joint programme team is responsible for implementing the mid-term evaluation recommendations as per improvement plan.

There will be 3 main actors engaged in the evaluation process with a relevant role in the activities and decisions to take during the evaluation process, their functions and roles are described as follows:

- The MDG-F Secretariat manages, promotes, facilitates and supervises the overall evaluation process and its products.
  - An independent expert (consultant) conducts the evaluation and delivers the products required in the TOR.
  - The evaluation reference group: is a consultative body comprised by a representation of the most relevant stakeholders in the joint programme. These individuals and institutions are the natural users of the conclusions and recommendations derived from the evaluation study. This evaluation reference group is usually the PMC that can be extended to incorporate key stakeholders for the evaluation process.
- *Final evaluations:* Final evaluations are financed, prepared and managed at the country level. The Resident Coordinator Office or identified focal point should prepare the terms of reference, and facilitate the evaluation mission. Generic terms of reference will be developed by the MDG-F Secretariat and available on the website for the joint programme teams. The results of this evaluation should be discussed with the JP partners including the PMC and the NSC. A copy of the evaluation reports should be shared with the MDG-F Secretariat.

## 6. Audit

The MDG-F Secretariat recommends conducting the audit exercise in a joint manner. In line with OECD/DAC standards, it is good practice that when preparing the audit exercise for a development programme, all relevant implementing partners should have an input in the following: 1) preparation of the terms of reference including the definition of the scope of the audit, 2) agreement on the due date for submission of audit reports, 3) having a single audit report (where project financial reports reflect all sources of funds, the audit report should normally fulfill the requirements of all partners), and 4) providing comments to the Management letter that addresses deficiencies noted in the system of internal controls and contains the audit findings.

This does not preclude that activities carried out by the Participating UN Organization shall be subject to internal and external audit as articulated in their applicable Financial Regulations and Rules according to the Memorandum of Understanding.

## 7. Advocacy and Communication for Development

*The MDG-F Secretariat* in consultation with the various participating UN Agencies elaborated an Advocacy & Partnerships strategy with the aim of helping the MDG-F advance its main goal of accelerating progress on the MDGs and related goals while advancing collaborative UN efforts. It responds to the demonstrated need to strengthen citizen's participation in development efforts and have clear advocacy interventions that push for more inclusive and responsive public policy and practice. The strategy, further described below, provides a guiding framework within which to articulate national advocacy plans, and has been articulated at a macro level intentionally so that countries can use it to define context specific activities that lead to similar goals and outcomes.

All MDG-F participating countries should, if not already done, develop a **national advocacy strategy** that is based on country level MDG and related priorities. These should take the form of a simple yet targeted **advocacy action plan** (see Annex 10 for guidance note) outlining specific interventions that aim to accelerate progress on the MDGs by raising awareness, galvanizing broad-based support and increasing citizens participation in MDG related policy and practice. Individual Joint Programmes (JPs) should also have clear advocacy interventions that are defined by the programmes desired policy impact. These should be inserted in and reinforce the national level advocacy plan. In countries with more than one MDG-F JP, there

should be clear and articulated overlap in key advocacy efforts that give visibility to the MDGs and to the work of the MDG-F. Forging strategic partnerships with various non-state actors (e.g. citizen groups, private sector, media, academia etc.) will be instrumental to the success of advocacy efforts helping to increase outreach, legitimacy and support.

**For the purpose of the MDG-F advocacy** is understood as an umbrella term used for a variety of means available for influencing outcomes (decisions) that directly affect people's lives. To be most successful, advocacy should work at two complementary levels: policy influence and citizen empowerment helping to build transparency and accountability.

**7.1 The MDG-F Advocacy and Partnerships Strategy's** overall goal, outcomes and outputs are briefly described below. For a more detailed description of these please refer to Annex 9.

**Overall Goal: Accelerate progress on the MDGs by raising awareness, strengthening broad-based support and action and increasing citizen engagement in MDG related policy and practice.**

***Outcome 1: Increased awareness and support for the MDGs***

- Output 1: Strategic partnerships with media for advocacy and accountability
- Output 2: Key dates and events used to galvanize support for the MDGs and related goals (e.g. mobilization of Stand Up and Take Action against Poverty)
- Output 3: Link with and support citizen groups in their advocacy efforts
- Output 4: Work with UN Communication Groups or other inter-agency groups to establish joint messages on MDGs and engage in joint advocacy efforts
- Output 5: Public outreach and Communication: Producing awareness and advocacy materials such as public service announcements, policy notes, theatre pieces, etc

***Outcome 2: Programmes are leveraged for increased MDG results***

- Output 1: Citizen groups/networks have been strengthened to have more effective participation in MDG policy and practice areas- giving strategic support
- Output 2: Strengthened dialogue between local governments and civil society groups- opening neutral spaces for interaction between citizens and their governments for the formulation of inclusive public policies
- Output 3: Innovative cases are documented and used to facilitate learning and advocacy
- Output 4: Wide range of partnerships established in support of MDGs and JP goals.

### ***Outcome 3: Achieve greater accountability and transparency***

- Output 1: Accountability to all partners including citizens in target areas is strengthened- includes the right to information and participation.
- Output 2: MDG-F identify is strengthened and it is recognized as trusted partner

### ***7.2 Mechanisms for Financing and Implementing Advocacy Plans***

As and where possible the articulation and implementation of advocacy efforts should build on capacities and mechanisms that already exist within Country Teams. The coordination mechanisms outlined in section 5 of these guidelines can also be used and strengthened to provide a collaborative forum and platform for joint communication, advocacy and mobilization. These could be advisory groups, local level committees for location specific interventions, inter-agency technical groups and/or programme management teams.

One concrete and effective way of moving forward with these efforts is to designate an existing senior UN staff (e.g. Agency Representative) to take the lead on UN advocacy efforts. This “leader” can use an existing group or convene an **advocacy technical group** to discuss and develop advocacy plans that are based in national MDG and related priorities. MDG-F Joint Programme Coordinators/ Managers and relevant UN Agency representatives should be part of this group. Many country offices can also make use of existing **interagency Communication Groups** (e.g. UNCG), building on these to include programme staff that can help in articulating the desired policy impacts of national advocacy plans. In the latter case, greater effort should be made in linking the work of the UNCG to that of the UNCT to ensure that communication and advocacy is being used to its full potential to achieve progress on country programme objectives.

Within JPs, the planning, implementation and oversight of advocacy interventions should fit into the management models that programmes and country offices opt for, with caution not to designate all responsibility for advocacy to a Government entity.

All national advocacy strategies/plans as well as JP action plans must be equipped with an **appropriate budget**. In the case of JPs, the Secretariat recommends that funds should be explicitly allocated for advocacy efforts. To do so, earmarking 2% of overall budget is a good standard, understanding that advocacy and communication activities are often embedded into

activity budgets and are not stand alone. If this was not planned in year one, it can be accounted for in subsequent budget revisions. When coming together to formulate national advocacy action plans, the 2% (or part of it) allocated by JPs should be directed towards the national plan. Agencies should discuss how to put together additional funds to back up their efforts.

## **8. Focus Country initiative**

Nine focus countries (Ecuador, Colombia, Honduras, Morocco, Mauritania, Ethiopia, Bosnia Herzegovina, the Philippines and East Timor) have been selected to receive additional support for the rigorous implementation of the global strategy of Communication and Advocacy and Monitoring and Evaluation at the national level. This initiative has led to the development of national MDG advocacy plans that draw on and extend beyond programmes aiming for wider MDG advocacy; and to prepare national action plans to conduct participatory country case studies.

## **9. Knowledge Management**

### Overview of the Strategy

Through its knowledge management (KM) strategy, the MDG-F is gathering and systematizing the wealth of experiences generated by the Fund's 128 joint programmes worldwide. The activities undertaken within the framework of this strategy allow colleagues from UN Agencies, UN Country Teams, joint programmes and national partners to share data, information and knowledge accrued throughout the joint programme formulation and implementation process. The objective of the strategy is to foster stakeholders' abilities to apply innovative approaches and share practices and skills among partners by providing them access to the knowledge generated in the design and implementation of its programmes. The strategy rests on three pillars, a) nine UN Agency-led thematic knowledge management plans, b) an electronic platform knowledge platform, "Teamworks," and c) research partnerships with institutions outside the UN system.

All Joint Programmes will work in conjunction with the MDG-F Secretariat in the implementation of activities under the knowledge management strategy, through the three pillars mentioned above.

*a) Nine UN Agency-led thematic knowledge management plans*



The MDG-F is working with UN Convenor Agencies at the thematic window level plus UNIFEM, which is focusing on gender as a cross-cutting issue. US\$ 750,000 was made available to these agencies following a call for proposals, which were all approved. These proposals, while led by the Convenor Agencies, have the joint programmes as their primary base and include other relevant UN Agencies, use Teamworks and coordinate with the Secretariat. Activities undertaken within these knowledge management plans include stakeholder needs assessments, programme portfolio mapping, global/ regional workshops, case studies, and syntheses of lessons learned.

Joint Programmes become members of a Community of Practice for each thematic knowledge management plan; share existing knowledge management materials with conveners, provide input into case studies, best practices, and lessons learned.

*b) An electronic platform knowledge platform, "Teamworks"*

Teamworks is a knowledge platform with a user-friendly interface modeled on popular social networking sites and using current collaboration technologies (including blogs, wikis, social networking and instant communication tools) to connect people to knowledge and experience and to distribute their knowledge products. Teamworks provides each user a profile space within which to capture their work and receive feedback, and allows them to access other user profiles. In addition, the site includes online spaces for each of the Fund's 128 joint programmes, as well as nine larger communities of practice for the thematic areas and for gender as a cross-cutting issue. Through these spaces, users can communicate with colleagues in all programme countries working within the same thematic window, and across other windows. The site is open to both staff from UN agencies as well as other MDG-F partners across geographical and functional areas.

Joint Programme teams register on the Teamworks platform; connect with other Joint Programme teams to exchange experiences; join as members on the respective MDG-F thematic windows - and programme spaces; share relevant materials and information on the platform; actively take part in, and contribute to, online forums and discussions.

*c) Research Partnerships*

One of the cornerstones of the Fund's approach to development programming is collaboration with other development partners, both within the UN system and beyond - all of its 128 joint programmes are implemented in partnership with other UN agencies as well as government and civil society counterparts. In line with this approach, the Fund plans to

work with research institutions outside the UN system to further develop research relevant to its programmes.

The overall objective of this initiative is to ensure that knowledge goes beyond the MDG-F Secretariat and its programme countries to the wider development community. The Fund aims to develop research that will make the impacts of its own joint programmes sustainable after the programmes reach completion, inform global development work in the Fund's thematic focus areas, and contribute to the international development debate. Specifically, the Fund plans to work with research centers, universities, and other development initiatives to develop further studies pertaining to its areas of work. Through this process it will create a global network of partners to share existing research as well as new research that will come out of this initiative.

Where needed, Joint Programmes will collaborate with research institutions contracted by the MDG-F Secretariat to provide input into research work.

## **10. Reporting**

The reporting function consists of communicating a collection of information and perceptions on a variety of joint programme dimensions in the form of a narrative text that also includes the financial dimension of the joint programme. Reporting is a source for capturing traces and trends of information and facts to be taken into consideration for M&E activities as well as for internal accountability purposes. However, this function does not replace the robust, evidence based, participatory, processes and products generated by the M&E function.

The main purpose of reporting is to fulfill the accountability requirements prescribed in the Memorandum of Understanding of the MDG-F signed by the donor and UNDP on behalf of the participating United Nations Agencies. The main purpose of the M&E on the other hand is to improve programme's performance through learning and the generation of knowledge.

The reports produced are an important piece of information that allows the Secretariat to identify bottlenecks and provide support to joint programmes that need it. The reports also constitute a source for discovering good practices and lessons learnt permitting the Secretariat to quickly share new developments and knowledge with other joint programmes.

The following reports are to be prepared and submitted by each Joint Programme:

**10.1 Quarterly Color-coded AWP:** At the end of each quarter, following the initial receipt of funds, an updated work plan, color-coded according to progress made on activities (green for completed, yellow for on-going, and red for delayed), is expected for the MDG-F Secretariat's review and further follow-up with the Joint Programme Teams. Please note that once the joint programme has completed a programmatic year, and if a request for Year 2 or Year 3 Funds (whichever applies) has not been submitted, an Annual Work Plan for Year 2 or Year 3 must still be sent to the MDG-F Secretariat, reflecting the activities and complete budget for that year.

**10.2 Monitoring Report:** This monitoring report shall be submitted to the MDG-F Secretariat **twice a year**, one due on 20 July for the reporting period of January to June, and the other one on 20 January for the reporting period of July to December.

**10.3 Annual Report:** The annual report is available in the [MDTF Office GATEWAY](#).

- *Narrative:* The narrative annual report is prepared by the MDTF Office and consists of the consolidation of the two bi-annual monitoring reports. The narrative annual report is available on March 31 following the end of the calendar year of the report.
- *Financial:* Each Participating UN organization will submit to the MDTF Office a financial report stating expenditures incurred by each programme during the reporting period. The dead-line for this report is 30 April.

**10.4 Request for Year 2 and Year 3 Funds:** The release of second and third year funding is contingent to review of progress and achievements of the joint programme. In the light of progress, once a joint programme has committed a minimum of 70% of the Year 1 or Year 2 budgets, the Resident Coordinator can request a release of funds for Year 2 or Year 3 respectively. As such the following documents should be submitted:

*Request for release of funds form at: <http://mdtf.undp.org/factsheet/fund/MDG00>*

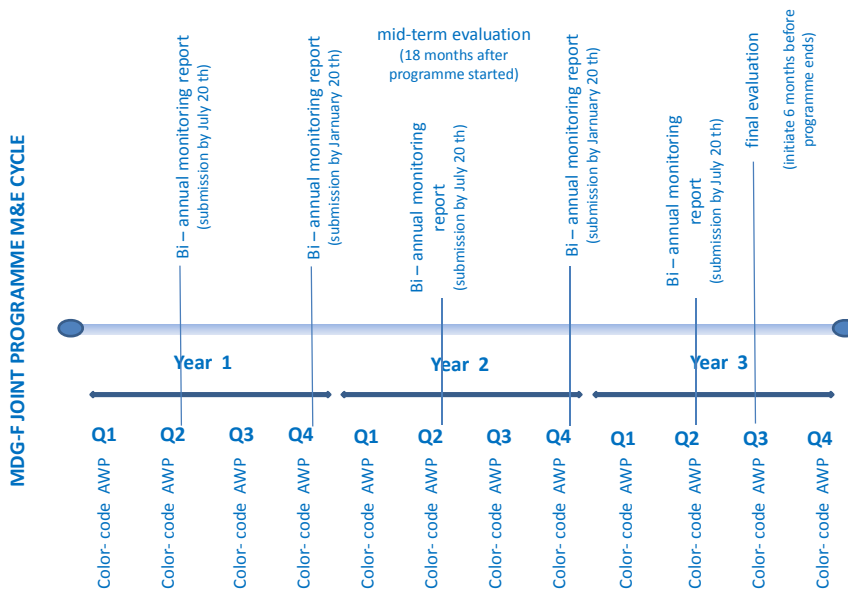
- *Annual work plan (AWP):* The annual work plan for Year 2 or Year 3 must be submitted. The AWP must include the carryover of funds of the previous year per activity and the proposed new funds per activity. See a sample in the Annex.

*The following reports should be available with the MDG-F secretariat for review and so there is no need to re-submit them:*

- *Monitoring report*
- *Annual report*

- *Improvement plan and implementation of the mid-term evaluation recommendations (only for Year 3 funds)*

The MDTF Office will review the request for release of funds form to ensure that it is in line with standards. The MDG-F Secretariat will recommend the release of funds, once it has reviewed the above mentioned documents. The actual clearance of the release of funds will be subject to the review of progress based on results achieved. If a mid-term evaluation has also taken place, the mid-term evaluation report and its respective management response will also be considered for the release of funds.



Joint programmes that are granted and extension will consequently continue with the same M&E cycle until they finish implementation

## 11. Implementation Modalities

Each JP will need to determine the modality (ies) of implementation to execute the JP activities. The definition of these modalities will take into consideration the national systems and procedures; the legal context and agreements for delivering development assistance in each country; and UN country experience to date. There are two broad categories to execute a joint programme: National Implementation or Direct Implementation. Regardless of the modality of implementation, national ownership should be ensured in the implementation of all programme activities.

When the JP is designed, the formulation team should discuss with all the identified state and non-state implementing partners and UN agencies how respective activities will be implemented. This is critical since the MDG-F uses the Pass-through modality for the disbursement of funds i.e. each UN agency will receive the Funds at the agency HQ which is subsequently made available to the country offices. Identifying the modalities of implementation and cash transfer that each UN agency will be using is essential to determinate potential gaps in the pace of implementation of programme activities and different phases within each output or between outputs. The Programme document should contain an explanation of how each UN agency will work with respective implementing partners (if not already done, do so during the Inception Workshop). A joint programme may contain various modalities of implementation and transferring funds depending on the degree of UN harmonization of procedures in a given country. In those countries that are HACT<sup>10</sup> compliant, this modality of transfer should be used.

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<sup>10</sup> HACT (Harmonized Approach to Cash Transfer) is a simplified and coherent set of procedures for requesting, disbursing, and reporting on funds, and for audit. It is based on managing risks related to transferring cash to partners in a particular country context and building these partners' capacities for proper public financial management. Following the T CPR, UNDP, UNICEF, UNFPA and WFP, adopted a common operational framework for transferring cash to government and non-government Implementing Partners. HACT was developed as a further step in implementing the Rome Declaration on Harmonization and Paris Declaration on Aid Effectiveness, which call for a closer alignment of development aid with national priorities. (UNDG)

Graphic illustration of fund management for a Joint Programme with Pass-Through Funding



In the case of national implementation, the appropriate national partners will be directly implementing programme activities with technical support from UN agencies. National implementation has the potential to greatly improve the capacity of individuals to manage development programmes, under the right conditions. Countries vary considerably in their levels of self-reliance in procurement, contracting, and recruitment, and national personnel are often aided by UN Agencies, but in a great many countries national personnel are moving to handle much of this work themselves.

Under national implementation there are different modalities for making payments and transferring cash. These are summarized in the table below:

Modality	Obligation is approved by	Disbursement/ payment made by	Frequency of Payments
Cash advances	Government	Government	Quarterly
Direct payment to providers	Government	UN Agency	Based on activity and request
Reimbursement	Government	Government	Quarterly

In the case of direct implementation, UN agencies will implement activities and make payments on behalf of Government.

## 12. Programme and budget revisions

It is good management practice to adjust the programme and the budget as part of the implementation of a programme. It is important that each programme team discusses and determines early on, who will initiate and prepare a programme/budget revision, and the frequency of these. Such revisions arise when:

**12.1 Timely delivery of activities** during which programme implementation requires adjustments and changes in the activities or in the budget categories of an agency. In this case, the following options apply:

- Changes of activities that **do not affect** the outputs and outcomes could be decided by the PMC and communicated to the NSC. This will ensure that (i) any revision, no matter how small it is, is not carried out unilaterally but instead approved by the responsible Programme Management Committee that includes implementing partners and UN agencies, and (ii) the governmental counterpart participates in this decision reinforcing ownership and mutual accountability. The NSC could establish maximum budget amounts beyond which any change should be approved by the NSC (this is up to the NSC in every country).
- Changes of activities that **do affect** outputs and outcomes, especially if this implies a change in the programme's strategy, must be approved by the NSC and then submitted to the MDG-F Secretariat (that will refer the issue to the Global Steering Committee of the Fund).

**12.2 Delays or lack of joint implementation** Where changes done at any point during programme implementation imply moving budget between years and/or between agencies, the following information provided in the transmittal memos can be applicable:

“In order to allow the implementation team some flexibility to adapt the strategy to unexpected challenges and opportunities (most particularly delivery issues), and to empower Resident Coordinators in their oversight responsibilities, this memorandum also provides you with the authority over the three year duration of the programme **in consultation with Participating Organizations and with the agreement of your National Steering Committee** to:

- Transfer up to \$1,000,000 or 20% of the total value of the project budget – whichever is lowest – between Participating Organizations identified in the original Joint Programme budget, and
- Re-phase up to \$1,000,000 or 20% of the total value of the project budget – whichever is lowest - between years.

The base-line against which these ceilings will be measured is the annual budget projection (by year and by participating organization) confirmed at the time of your first funds-advance request. The MDG-F Secretariat and MDTF Office must be informed of any revisions of this kind, decided locally and is responsible for tracking these delegation ceilings for each programme. Any changes that fall outside these parameters will have to be referred back to the (Global) MDG-F Steering Committee for approval.”

When reaching the end of the first or second years of implementation, a new Annual Work Plan (AWP) must be developed. In those cases where the 70% combined commitment rate has not been achieved, the unspent funds are re-phased into the following year, including them in the new AWP. The AWP for year 2 or 3 should include those uncompleted activities from year 1 or 2. In such cases implementation should continue until 70% commitment is reached. Please note that the 70% is measured against the total amount of funds transferred to date. Once this requirement has been fulfilled, the following tranche disbursement can be requested as per section 10.3.

**12.3 Changing circumstances** that can lead to changes in the activities, outputs and/or outcomes such as:

- A conflict or crisis;
- New resources mobilized from Government or donors result in increasing the scope of a joint programme;
- Recommendations and management response to the Mid-term Evaluation Report (MTR) improvement plan.

As a result of these, the joint programme needs to be amended, the annual work plan revised and the budget adjusted to accommodate new allocations from different funding sources. It is recommended that resource allocation adjustments are done at the local level and additional resources transferred to designated UN country level accounts. Other scenarios may be caused



or example by rising implementation costs that result in having to decrease the scope of a programme.

These changes should at a minimum be approved by the NSC. The MDG-F Secretariat should be consulted for changes that may require the approval of the MDG-F Steering Committee.

### **13. Request for No-cost extension of joint programmes**

The approval of requests for no-cost extensions will only be granted by the MDG-F Secretariat on an exceptional basis provided that the request clearly articulates the effectiveness of the joint programme, in a revised, realistic and time bound results framework along with joint work plan that illustrates by when and how the expected results are going to be achieved.

The request for one time no-cost extension is made by the National Steering Committee to the MDG-Fund Secretariat through the UN Resident Coordinator. This request can only be submitted after the Mid-term Evaluation (MTE) has taken place for those three year programmes. The request for no-cost extension of two year programmes is made at the time of requesting funds for year 2 (final tranche), and of three year programmes at the time of requesting year 3 (final tranche)<sup>11</sup>. All the joint programmes are expected to be operationally closed by the agreed date and no later than June 30, 2013.

The MDG-Fund considers that the following are key ingredients for the successful implementation of a joint programme:

- **The scope and results framework** of the joint programme is feasible and has the potential to achieve development results. **The proposed joint work plan** clearly articulates what are the expected results framed within realistic timelines and the proposed division of labor by activity between the implementing partners.
- **The areas of intervention and beneficiaries** (right-holders) have been clearly identified and are taking part in the implementation of the joint programme.
- **National leadership and ownership** of programme interventions.

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<sup>11</sup> For those joint programmes that have already requested year 3, the request for no-cost extension can be submitted subsequently.

- **Monitoring system in place:** baseline data has been collected, indicators identified are relevant and realistic, means of verification are clear, and values are updated on a bi-annual basis.
- **Communications and advocacy plan** is available and being implemented articulating the linkages of the work of the JPs with the national MDG agenda and available advocacy platform.
- **Estimated financial information** is available (funds transferred to date and funds disbursed are reported every six months);
- **The improvement plan** is approved and implemented, when applicable.
- **Administrative and processes challenges** are identified and measures adopted to remedy the situation;
- **External risks** identified and mitigation measures are in place.
- **Partnerships** identified and reflected in the programme's sustainability strategy.

#### **Documents to be submitted**

- **Completed Memo** requesting no-cost extension (hyperlink to template in the webpage)
- **Improvement Plan** responding to the MTE recommendations
- **Revised results framework along joint work plan with financial information** (including carryover of funds) covering the remaining programme period
- **Sustainability strategy** discussed at the PMC indicating how the benefits of the programme interventions are likely to continue after the closure of the joint programme.
- **Fund transfer request form** to be submitted only when the no-cost extension request is accepted or rejected by the MDG-F Secretariat, <http://mdtf.undp.org/document/download/1851>

The Secretariat will also review the following documents that have been previously submitted

- Bi-annual monitoring reports
- Secretariat's feedback to the monitoring reports
- MDG-F Secretariat mission reports and recommendations
- MTE Report

#### **Approval process**

- Prior to submission to the MDGF-Secretariat, documents should be approved by the PMC and the NSC.

- Once the complete documentation is submitted, the Secretariat will review the request memo with the submitted justification, progress made up to date in terms of progress towards achievements of proposed outputs and outcomes, and the proposed joint work plan approved by the NSC.
- At the same time, the MDTF Office will be responsible for reviewing all financial information in the fund transfer request form as this request is done at the time of requesting for Y3 funds (final tranche). Once all requirements are met, MDTF Office releases the funds.

## **14. Early Termination of Joint Programmes, Programme Closure and Reimbursement of Funds**

### **14.1 Early Termination of Joint Programmes**

The early termination of joint programmes is a decision of the MDG-Fund Steering Committee when the joint programmes are not delivering the agreed results nor have the potential to deliver those within the timeframe. The MDG-F Secretariats recommends to the MDG-Fund Steering Committee the early termination of a joint programme, only when the joint programme:

- has systematically been unsuccessful to undertake the planned interventions due to its failure to identify the areas of intervention and beneficiaries and consequently has yet to deliver development results;
- has been unsuccessful to manage the joint programme with the government counterpart and there is no national ownership of the programme interventions;

When the MDG-F Secretariat contemplates the possibility to recommend an early programme termination, the following steps are followed:

- 1) MDG-F secretariat visits the joint programme team and the National Steering Committee to discuss the option of early termination with all the partners concerned.
- 2) A mission report is prepared by the MDG-F Secretariat recommending the course of action: a) renewed commitment by all to achieve the programme results; or b) recommendation prepared for early termination of the joint programme to be submitted to the MDG-F Steering Committee.

3) Once the joint programme is officially informed of the MDG-F Steering Committee decision for termination of the JP, the JP team takes measures to operationally (first) and the financially close the joint programme. Unspent funds are to be returned to the Multi-donor Trust Fund Office (MDTF)

## **14.2 Programme Closure**

The majority of joint programmes are expected to close after two to three years of programme implementation following the date of release of funds. In some instances and following the recommendations of the mid-term evaluations, JPs are expected to close at an earlier or later date.

The closure of a joint programme consists of closing the programme operationally and financially. It is desirable that the operational closure of a JP is carefully planned in order to ensure adequate handover of activities and sustainability of the programme interventions. In development programmes, it is desirable that this process of operational closure begins six months prior to the actual projected end date of the joint programme. The financial closure of accounts of each participating UN agency to the joint programme will be done in accordance to each UN agency rules and procedures. In most instances the financial closure takes place 12 months after the operational closure of the programme. Between operational and financial closure, the implementing partner is required to identify and settle all financial obligations.

A final programme review by the National Steering Committee during the final quarter of the project duration is recommended. Its purpose is to assess the performance and success of the joint programme, ensure the sustainability of results, including the contribution to related outcomes (and the status of these outcomes) and capacity development; and consolidation of lessons learnt.

After completing each financial closure of participating UN agencies to the joint programme, unexpended balances are refunded to the MDTF Office.

## LIST OF ANNEXES

1. Terms of Reference for the National Steering Committee
2. Terms of Reference for the Programme Management Committee
3. Terms of Reference for the Programme Management Team and/or Programme Manager/coordinator
4. Responsibilities of Lead Ministry
5. Responsibilities of Lead Agency
6. Responsibilities of Technical Ministries
7. Participation in Monitoring and Evaluation
8. Generic Terms of Reference for Mid-Term Evaluations
9. Ten Steps to Joint M&E
10. Guidance Note for Advocacy Action Plan
11. Administrative and Procurement Processes
  - 11.1 Recruitment of consultants
  - 11.2 Procurement of goods and services
  - 11.3 Plan for Operational Closure of the Joint Programme
12. A sample of AWP for Year 2 and Year 3
13. Template for Monitoring Report (Revised Template) and Guidance note complete monitoring report

## **Annex 1: Terms of Reference for the National Steering Committee**

A National Steering Committee (NSC) will be set up. There will be one Committee per country overseeing all joint programmes.

Role: Oversight and Strategic Leadership of joint programmes at the national level.

Composition: To guarantee its independence, the NSC should include parties who are not involved in programme implementation:

- A representative of the Government, in the role of Co-Chair;
- The Resident Coordinator of the United Nations Systems (UNRC), in the role of Co-Chair; and
- A representative of Spain.

Additional members may be invited as observers at the discretion of the National Steering Committee.

Functions:

### ***Formulation***

- To approve the joint programme before submission to the Fund Steering Committee. Minutes of the NSC meeting are to be sent to the MDG-F Secretariat with final programme submission;

### ***Management set up***

- To revise and approve the regulations and other tools of the National Steering Committee and to amend them as necessary;
- To approve the duly documented agreements or arrangements for the management and coordination of joint programmes;
- To approve the selection process for the Joint Programmes Coordinator/Manager;

### ***Planning and reporting***

- To approve the JP Annual Work Plans and the Annual Budgets as well as any adjustments required to achieve the desired results in line with the implementation guidelines, when applicable;

- To review/approve the annual report for each of the joint programmes, to make observations and take strategic decisions;
- To propose corrective actions for the implementation of joint programmes when it becomes apparent that there have been deviations from the Work Plans and to make recommendations on how to improve the implementation of programmes at the national level;

### ***Monitoring, evaluation and audit***

- To review the internal and external Evaluation and Audit reports for the programme or its components and ensure the recommendations are put into practice;
- To ensure and guide implementation of monitoring mechanisms and administrative procedures to enable the joint programmes to be managed efficiently.
- To review the bi-annual monitoring reports to assess progress and delivery on the implementation of joint programmes and to make observations and recommendations accordingly;
- To endorse management response to the Mid-term Evaluation Report (MTR)

### ***Advocacy and Communications***

- To request and provide impetus to the articulation of National Advocacy Action Plans that are in line with the MDG-F Advocacy and Partnerships strategy.
- Discuss and approve the National Advocacy Plan and request periodic updates on its implementation ensuring that key national development priorities are targeted through articulated advocacy interventions that bring together UN Agencies, local governments as well as citizen groups.
- Ensure that policy outcomes are consistently being sought and that the MDGs are at the centre of development efforts.

### ***Coordination and participation***

- To promote synergies between the joint programmes and related projects and/or programmes, even if they are funded by Government or other development partners;
- To make sure that the participatory consulting processes with the main national and local partners take place, so as to ensure ownership, enable synergies and avoid any duplication or overlapping between the Fund and other financial mechanisms, thus reducing transaction costs.

## **Annex 2: Terms of Reference for the Programme Management Committee**

*One Programme Management Committee (PMC) will be set up for each joint programme.*

Role: To undertake the technical and operational oversight and coordination of the joint programme at a management level.

Composition: The PMC is composed of the joint programme implementing partners who have decision-making abilities:

- The UN Resident Coordinator or his/her delegate in the role of Co-Chair<sup>12</sup>;
- Lead Government representative in the role of Co-Chair<sup>13</sup>;
- Implementing National and local government counterparts;
- Participating UN Agency Representatives or their delegates; and
- Selected representatives of the non-state actors such as NGOs, civil society and the private sector. The most vulnerable populations such as women, indigenous populations, ethnic minorities, etc. are often forgotten and consequently the choice of representative in the PMC must be given the highest consideration.

Key Functions:

### ***Management arrangements***

- To manage and approve the hiring of the Joint Programmes Coordinator/Manager, and the team;
- To manage the programme resources appropriately in order to achieve the anticipated results and outcomes;
- To revise the consolidated progress and financial reports for the programme in order to identify any points requiring attention or any deviations from the Work Plan in the implementation, and to make recommendations;
- To address management and implementation problems;

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<sup>12</sup> The MDTF Operational Guidance note refers to the UN Resident Coordinator being the sole Chair of the PMC. However, experience has shown that this committee should be co-chaired with Government.

<sup>13</sup> If there is no lead government partner, then the NSC government representative should designate the government Co-Chair for the PMC.



### ***Planning and Coordination***

- To recommend approval of the Work Plans and the Annual Budgets for annual forwarding to NSC;
- To recommend any reallocations, adjustments or revisions of the budget required for the programme;
- To suggest and recommend approval to any reallocations, adjustments or revisions of the budget required to achieve the expected results;
- To undertake the general coordination for the joint programme between the UNS Agencies, national institutions and other participating Partners, as well as to create links with other similarly-themed programmes being implemented;
- To ensure that the technical and operational teams work together, in a coordinated way, on the programme activities and in consultation with the Programme Coordinator;

### ***Technical oversight***

- To provide technical and substantive advice on the expected results and the activities laid out in the Work Plan;
- To verify and ensure that the activities financed by the MDG-F are in line with the national priorities approved under the United Nations Development Assistance Framework (UNDAF);

### ***Advocacy and Communications***

- Organize brainstorming session with JP Coordinators and key partners from civil society and government to articulate clear advocacy and communication interventions that are in line with joint programmes policy objectives and national priorities. This session should produce a clear action plan that is shared and approved by the NSC.
- Coordinate media visits to JP programme activity areas ensuring proper briefing on programme goals as they relate to the overall MDG message. In collaboration with ongoing MDG advocacy efforts, help to nourish strategic partnerships with media for greater coverage of MDGs.
- Ensure that JPs have identified key local actors (citizen groups or others) and adequately include them in programmes creating neutral spaces for effective participation in MDG policy and practice. Explore and recommend partnerships with civil society groups, local governments, media, youth, academia, etc

- Ensure that programmes produce catchy and interesting communication materials (human interest stories, videos, reports, photo documentation etc) that can be used for advocacy and reporting back to MDG-F secretariat.
- To ensure consistent use of the MDG-F logo;

### ***Monitoring and Evaluation***

- To oversee the establishment of programme baselines to enable sound monitoring and evaluation
- To review the consolidated monitoring and evaluation reports of the joint programme and ensure the system works well by institutionalizing it in national entities;
- To identify the lessons learnt from the implementation and ensure that they are documented and disseminated to the Agencies and Partners of the programme.
- To prepare the management response to the MTR.

### **Annex 3: Terms of Reference for the Programme Management Team and/or Programme Manager/Coordinator**

Role: To manage and coordinate the implementation of the joint programme on behalf of all the partners. The selection of the Joint Programme Coordinator is approved by the National Steering Committee.

Functions:

#### ***Planning and coordination***

- a. To support the operational teams of the Agencies and Partners in establishing the Work Plans and the Annual Budgets,
- b. To timely consolidate the Work Plans and the Annual Budget and present them to the Programme Management Committee (PMC) for review and approval;

#### ***Implementation coordination***

- c. Play the lead role in ensuring that all partners work together to deliver the programme, in compliance with the work plan;
- d. To advise the PMC on the implementation of the joint programme and to make recommendations on both substantive and financial issues, including budget revisions;
- e. To provide secretariat services for the PMC and to follow up on the decisions taken;
- f. To help establish working level coordination mechanisms, including at the sub-national level and generate synergies between different outcomes;
- g. To support all partners' successful implementation of programme activities through direct assistance and technical and operational advice;
- h. To facilitate resolution of disputes among partners and to troubleshoot obstacles to timely implementation;
- i. To provide strategic advice on a comprehensive exit strategy.

#### ***Capacity development***

- j. Promote national ownership by supporting the government in its leadership role within the joint programme and strengthen the government's capacity to play this role
- k. Ensure that all joint programme activities prioritize sustainable capacity development of the targeted beneficiaries.

#### ***Communication and advocacy***

- l. To drive the articulation of an advocacy and communications plan that advances the policy impacts of the joint programme while putting citizens and their organizations at the centre of local interventions.
- m. Facilitate the implementation of the advocacy and communications plan in coordination with UN Agencies and national Partners;
- n. To identify strategic partnerships with media organizations and other relevant non state actors with the aim of increasing awareness and visibility of poverty issues and the MDGs.
- o. Work collaboratively with citizen groups fostering their active participation in programme management, implementation, monitoring and evaluation.
- p. To leverage programme outcomes through advocacy to create broader, systemic change and achieve policy impact
- q. Ensure that programmes are accountable to all relevant partners particularly citizens for delivering programme results making available information as and when needed.

#### ***M&E and Knowledge Management***

- r. To ensure the implementation of the monitoring and evaluation plan, in a participatory manner;
- s. To ensure that corrective actions are taken as a results of M&E findings;
- t. To ensure transparency of the M&E process by disseminating information to partners and relevant stakeholders.
- u. To identify and disseminate lessons learnt;
- v. To forge links with other initiatives including joint programmes to identify best practices and share lessons with partners.

#### ***Reporting***

- w. To prepare the narrative and consolidate financial information on expenditures for the programme and present them to the PMC for approval, before they are sent to the NSC.

#### **Annex 4: Responsibilities of Joint Programme's Lead Ministry**

- a) To coordinate participation by national, regional, municipal and territorial government partners in the programming and implementation processes of the joint programmes in order to ensure that they own them.
- b) To promote the institutionalization of the programme's processes and products (monitoring and evaluation, systematization, outreach, baseline, etc).
- c) To consolidate feedback for the Government National Steering Committee member.

In addition to these responsibilities, the lead partner must ensure that there is a physical space for the coordinator and his or her team in the lead partners' facilities should one be planned for.

#### **Annex 5: Responsibilities Joint Programme's designated Lead Agency**

In some instances, a UN agency has been designated to play a lead role in the coordination of the joint programme on behalf of all partners or just on behalf of participating UN agencies. In any circumstance, the role of a lead agency is to effectively take the leadership and coordinate the different stakeholders participating in the joint programme.

Some of the functions assumed by a lead agency include:

- a) In collaboration with the Office of the Resident Coordinator, to support the preparation and organization of the Programme Management Committee and National Steering Committee meetings;
- b) To lead and coordinate the preparation of work plans and inception process;
- c) To lead and consolidate the inputs for the preparation of bi-annual monitoring reports;
- d) In consultation with all relevant parties, to lead the participation of the joint programme in the mid-term evaluation process; and
- e) To lead the preparation of the final evaluation.

#### **Annex 6: Responsibilities of Technical Ministries**

- a) To facilitate ongoing participation and coordination with the institutions and organisms related to the implementation of the programme's outcome(s).

- b) To support the harmonization and allocation process among the central government and regional partners participating in the outcome(s), for the purposes of achieving a better implementation.
- c) To implement/execute programme elements.
- d) To ensure full participation of local authorities, etc.

## **Annex 7: Participation in Monitoring and Evaluation**

### **What is Participatory Monitoring and Evaluation (PM&E)?**

Participatory monitoring and evaluation is a process through which stakeholders at various levels engage in monitoring or evaluating a particular joint programme, share certain control over the content, the process and the results of the M&E activity and engage in taking or identifying corrective actions.

### **Why is Participatory Monitoring and Evaluation important?**

Participation should be an integral part to certain types of M&E processes, since it offers ways of assessing and learning from change that are more inclusive and more responsive to the needs and aspirations of those most directly affected. PM&E is geared towards not only measuring the effectiveness of a programme, but also towards building ownership and empowering beneficiaries; building accountability and transparency; and taking corrective actions to improve performance and outcomes. Participation ensures utilization of the monitoring and evaluation exercises.

### **What are the principles of Participatory Monitoring & Evaluation?**

- Primary stakeholders are active participants – not just sources of information.
- Building capacity of local people to analyze, reflect and take joint action.
- Learning of stakeholders at various levels catalyzes commitment to taking corrective actions.

### **What are some of the tools used?**

- Participatory rural appraisal (PRA)
- Citizen report card and community score card
- Public expenditure tracking survey (PETS)
- Beneficiary Assessments
- Participatory Poverty Assessments (PPA)
- Related Methodologies

### **References**

There is a wealth of literature, manuals and documents that provide with guidance and examples on how to conduct participatory M&E. However there is not a one size fits all solution. Each manager, M&E officer or consultant should think through the best alternatives on how to

use this powerful instrument for change. A complete resource center with on-line documents can be found at: <http://www.pnet.ids.ac.uk/prc/index.htm> Institute for Development Studies Resource Center.

On using participation to enhance the utility of evaluations: Quinn Patton, Michael, Utilization Focused Evaluation, 4th Edition, Sage Publications 2008



## Annex 8. Generic Terms of Reference for Mid-Term Evaluations of Joint Programmes

### General Context: the MDG-F

In December 2006, the UNDP and the Government of Spain signed a major partnership agreement for the amount of €528 million with the aim of contributing to progress on the MDGs and other development goals through the United Nations System. In addition, on 24 September 2008 Spain pledged €90 million towards the launch of a thematic window on Childhood and Nutrition. The MDGF supports countries in their progress towards the Millennium Development Goals and other development goals by funding innovative programmes that have an impact on the population and potential for duplication.

The MDGF operates through the UN teams in each country, promoting increased coherence and effectiveness in development interventions through collaboration among UN agencies. The Fund uses a joint programme mode of intervention and has currently approved 128 joint programmes in 49 countries. These reflect eight thematic windows that contribute in various ways towards progress on the MDGs.

### The following points should be provided by the joint programme team

- Describe the joint programme, programme name and goals; include when it started, what outputs and outcomes are sought, its contribution to the MDGs at the local and national levels, its duration and current stage of implementation.
- Summarize the joint programme's scale of complexity, including its components, targeted participants (direct and indirect), geographical scope (regions) and the socio-economic context in which it operates.
- It is also useful to describe the human and financial resources that the joint programme has at its disposal, the number of programme implementation partners (UN, national and local governments and other stakeholders in programme implementation).
- Changes noted in the programme since implementation began, and how the programme fits in with the priorities of the UNDAF and the National Development Strategies.

## 2. OVERALL GOAL OF THE EVALUATION

One of the roles of the Secretariat is to monitor and evaluate the MDGF. This role is fulfilled in line with the instructions contained in the Monitoring and Evaluation Strategy and the Implementation Guide for Joint Programmes under the Millennium Development Goals Achievement Fund. These documents stipulate that all joint programmes lasting longer than two years will be subject to a mid-term evaluation.

Mid-term evaluations are highly formative in nature and seek to **improve implementation of the joint programmes during their second phase of implementation. They also seek and generate knowledge, identifying best practices and lessons learned** that could be transferred to other programmes. As a result, the conclusions and recommendations generated

by this evaluation will be addressed to its main users: the Programme Management Committee, the National Steering Committee and the Secretariat of the Fund.

### 3. SCOPE OF THE EVALUATION AND SPECIFIC GOALS

The mid-term evaluation will use an expedited process to carry out a systematic, fast-paced analysis of the design, process and results or results trends of the **joint programme**, based on the scope and criteria included in these terms of reference. This will enable conclusions and recommendations for the joint programme to be formed within a period of approximately three months.

**The unit of analysis or object of study for this interim evaluation is the joint programme**, understood to be the set of components, outcomes, outputs, activities and inputs that were detailed in the joint programme document and in associated modifications made during implementation.

This mid-term evaluation has the following **specific objectives**:

1. To discover the programme's **design quality and internal coherence** (needs and problems it seeks to solve) and its external coherence with the UNDAF, the National Development Strategies and the **Millennium Development Goals**, and find out the degree of national ownership as defined by the Paris Declaration and the Accra Agenda for Action.
2. To understand how the joint programme **operates** and assess the **efficiency of its management model** in planning, coordinating, managing and executing resources allocated for its implementation, through an analysis of its procedures and institutional mechanisms. This analysis will seek to uncover the factors for success and limitations in inter-agency tasks within the **One UN** framework.
3. To identify the programme's **degree of effectiveness** among its participants, its contribution to the objectives of the **Economic Governance thematic window**, and the Millennium Development Goals at the local and/or country level.

### 4. EVALUATION QUESTIONS, LEVELS AND CRITERIA

**The main users of the evaluation represented in the evaluation reference group (Section 8 of the TOR), and specifically the coordination and implementation unit of the joint programme, are responsible for contributing to this section. Evaluation questions and criteria may be added or modified up to a reasonable limit, bearing in mind the viability and the limitations (resources, time, etc.) of a quick mid-term evaluation exercise.**

The evaluation questions define the information that must be generated as a result of the evaluation process. The questions are grouped according to the criteria to be used in assessing and answering them. These criteria are, in turn, grouped according to the three levels of the programme.

#### **Design level:**

- **Relevance: The extent to which the objectives of a development intervention are consistent with the needs and interest of the people, the needs of the country, the Millennium Development Goals and the policies of associates and donors.**

- a) Is the identification of the problems, with their respective causes, clear in the joint programme?
- b) Does the Joint Programme take into account the particularities and specific interests of women and men in the areas of intervention?
- c) To what extent has the intervention strategy been adapted to the areas of intervention in which it is being implemented? What actions does the programme envisage, to respond to obstacles that may arise from the political and socio-cultural background?
- d) Are the follow-up indicators relevant and do they meet the quality needed to measure the outputs and outcomes of the joint programme?
- e) To what extent has the MDG-F Secretariat contributed to raising the quality of the design of the joint programmes?

**- Ownership in the design: Effective exercise of leadership by the country's social agents in development interventions**

- a) To what extent do the intervention objectives and strategies of the Joint Programme respond to national and regional plans and programmes, to identified needs, and to the operational context of national politics?
- b) To what extent have the country's national and local authorities and social agents been taken into consideration, participated, or have become involved, at the design stage of the development intervention?

**Process level**

**- Efficiency: Extent to which resources/inputs (funds, time, etc.) have been turned into results**

- a) To what extent does the joint programme's management model (i.e. instruments; economic, human and technical resources; organizational structure; information flows; decision-making in management) contribute to obtaining the predicted products and results?
- b) To what extent are the participating agencies coordinating with each other, with the government and with civil society? Is there a methodology underpinning the work and internal communications that contributes to the joint implementation?
- c) Are there efficient coordination mechanisms to avoid overloading the counterparts, participating population/actors?
- d) Is the pace of implementing the products of the programme ensuring the completeness of the results of the joint programme? How do the different components of the joint programme interrelate?
- e) Are work methodologies, financial instruments, etc. shared among agencies, institutions and Joint Programmes?
- f) Have more efficient (sensitive) and appropriate measures been adopted to respond to the political and socio-cultural problems identified?

**- Ownership in the process: Effective exercise of leadership by the country's social agents in development interventions**

- g) To what extent have the target population and participants made the programme their own, taking an active role in it? What modes of participation have taken place?
- h) To what extent have public/private national resources and/or counterparts been mobilized to contribute to the programme's objective and produce results and impacts?

## Results level

**- Effectiveness: Extent to which the objectives of the development intervention have been achieved or are expected to be achieved, bearing in mind their relative importance.**

- a) Is the programme making progress towards achieving the stipulated results?
  - a. To what extent and in what ways is the joint programme contributing to the Millennium Development Goals at the local and national levels?
  - b. To what extent is the programme contributing to the goals set by the thematic window, and in what ways?
- b) Is the stipulated timeline of outputs being met? What factors are contributing to progress or delay in the achievement of the outputs and outcomes?
- c) Do the outputs produced meet the required high quality?
- d) Does the programme have follow-up mechanisms (to verify the quality of the products, punctuality of delivery, etc.) to measure progress in the achievement of the envisaged results?
- e) Does the programme have follow-up mechanisms (to verify the quality of the products, punctuality of delivery, etc.) to measure progress in the achievement of the envisaged results?
- f) Is the programme providing coverage to beneficiaries as planned?
- g) In what way has the programme come up with innovative measures for problem-solving?
- h) Have any good practices, success stories, or transferable examples been identified?
- i) In what ways has the joint programme contributed to the issue of fair youth employment?
- j) In what ways has the joint programme contributed to the issue of internal and/or external migration?
- k) What types of differentiated effects are resulting from the joint programme in accordance with the sex, race, ethnic group, rural or urban setting of the beneficiary population, and to what extent?

## **Sustainability: Probability of the benefits of the intervention continuing in the long term.**

- a) Are the necessary premises occurring to ensure the sustainability of the effects of the joint programme?

At local and national level:

- i. Is the programme supported by national and/or local institutions?
- ii. Are these institutions showing technical capacity and leadership commitment to keep working with the programme and to repeat it?
- iii. Have operating capacities been created and/or reinforced in national partners?
- iv. Do the partners have sufficient financial capacity to keep up the benefits produced by the programme?
- v. Is the duration of the programme sufficient to ensure a cycle that will project the sustainability of the interventions?

- b) To what extent are the visions and actions of the partners consistent or divergent with regard to the joint programme?
- c) In what ways can the governance of the joint programme be improved so that it has greater likelihood of achieving future sustainability?

## 5. METHODOLOGICAL APPROACH

The mid-term evaluations will use methodologies and techniques as determined by the specific needs for information, the questions set out in the TOR, the availability of resources and the priorities of stakeholders. In all cases, consultants are expected to analyze all relevant information sources, such as annual reports, programme documents, internal review reports, programme files, strategic country development documents and any other documents that may provide evidence on which to form opinions. Consultants are also expected to use interviews as a means to collect relevant data for the evaluation.

The methodology and techniques to be used in the evaluation should be described in detail in the desk study report and the final evaluation report, and should contain, at minimum, information on the instruments used for data collection and analysis, whether these be documents, interviews, field visits, questionnaires or participatory techniques.

## 6. EVALUATION DELIVERABLES

The consultant is responsible for submitting the following deliverables to the Secretariat of the MDGF:

□ **Inception Report** (to be submitted within fifteen days of the submission of all programme documentation to the consultant)

This report will be 10 to 15 pages in length and will propose the methods, sources and procedures to be used for data collection. It will also include a proposed timeline of activities and submission of deliverables. The desk study report will propose initial lines of inquiry about the joint programme this report will be used as an initial point of agreement and understanding between the consultant and the evaluation managers. The report will follow this outline:

### 0. Introduction

#### 1. Background to the evaluation: objectives and overall approach

#### 2. Identification of main units and dimensions for analysis and possible areas for research

#### 3. Main substantive and financial achievements of the joint programme

#### 4. Methodology for the compilation and analysis of the information

#### 5. Criteria to define the mission agenda, including “field visits”

□ **Draft Final Report** (to be submitted within 15 days of completion of the field visit)

The draft final report will contain the same sections as the final report (described in the next paragraph) and will be 20 to 30 pages in length. This report will be shared among the evaluation reference group. It will also contain an executive report of no more than 5 pages that includes a brief description of the joint programme, its context and current situation, the purpose of the evaluation, its methodology and its main findings, conclusions and recommendations. The final report will be shared with evaluation reference group to seek their comments and suggestions. This report will contain the same sections as the final report, described below.

□ **Final Evaluation Report** (to be submitted within ten days of receipt of the draft final report with comments)

The final report will be 20 to 30 pages in length. It will also contain an executive report of no more than 5 pages that includes a brief description of the joint programme, its context and current situation, the purpose of the evaluation, its methodology and its major findings, conclusions and recommendations. The final report will be sent to the evaluation reference group. This report will contain the following sections at a minimum:

1. Cover Page
2. Introduction
  - Background, goal and methodological approach
  - Purpose of the evaluation
  - Methodology used in the evaluation
  - Constraints and limitations on the study conducted
3. Description of interventions carried out
  - - Initial concept
  - - Detailed description of its development: description of the hypothesis of change in the programme.
4. Levels of Analysis: Evaluation criteria and questions
5. Conclusions and lessons learned (prioritized, structured and clear)
6. Recommendations
7. Annexes

## 7. ETHICAL PRINCIPLES AND PREMISES OF THE EVALUATION

The mid-term evaluation of the joint programme is to be carried out according to ethical principles and standards established by the United Nations Evaluation Group (UNEG).

- **Anonymity and confidentiality.** The evaluation must respect the rights of individuals who provide information, ensuring their anonymity and confidentiality.
- **Responsibility.** The report must mention any dispute or difference of opinion that may have arisen among the consultants or between the consultant and the heads of the Joint Programme

in connection with the findings and/or recommendations. The team must corroborate all assertions, or disagreement with them noted.

- **Integrity.** The evaluator will be responsible for highlighting issues not specifically mentioned in the TOR, if this is needed to obtain a more complete analysis of the intervention.
- **Independence.** The consultant should ensure his or her independence from the intervention under review, and he or she must not be associated with its management or any element thereof.
- **Incidents.** If problems arise during the fieldwork, or at any other stage of the evaluation, they must be reported immediately to the Secretariat of the MDGF. If this is not done, the existence of such problems may in no case be used to justify the failure to obtain the results stipulated by the Secretariat of the MDGF in these terms of reference.
- **Validation of information.** The consultant will be responsible for ensuring the accuracy of the information collected while preparing the reports and will be ultimately responsible for the information presented in the evaluation report.
- **Intellectual property.** In handling information sources, the consultant shall respect the intellectual property rights of the institutions and communities that are under review.
- **Delivery of reports.** If delivery of the reports is delayed, or in the event that the quality of the reports delivered is clearly lower than what was agreed, the penalties stipulated in these terms of reference will be applicable.

## 8. ROLES OF ACTORS IN THE EVALUATION

The main actors in the mid-term evaluation process are the MDGF Secretariat, the management team of the joint programme and the Programme Management Committee that could be expanded to accommodate additional relevant stakeholders. This group of institutions and individuals will serve as the evaluation reference group. The role of the evaluation reference group will extend to all phases of the evaluation, including:

- Facilitating the participation of those involved in the evaluation design.
- Identifying information needs, defining objectives and delimiting the scope of the evaluation.
- Providing input on the evaluation planning documents, (Work Plan and Communication, Dissemination and Improvement Plan).
- Providing input and participating in the drafting of the Terms of Reference.
- Facilitating the evaluation team's access to all information and documentation relevant to the intervention, as well as to key actors and informants who should participate in interviews, focus groups or other information-gathering methods.
- Monitoring the quality of the process and the documents and reports that are generated, so as to enrich these with their input and ensure that they address their interests and needs for information about the intervention.
- Disseminating the results of the evaluation, especially among the organizations and entities within their interest group.

The MDGF Secretariat shall promote and manage Joint Programme mid-term evaluation in its role as commissioner of the evaluation, fulfilling the mandate to conduct and finance the joint programme evaluation. As manager of the evaluation, the Secretariat will be responsible for ensuring that the evaluation process is conducted as stipulated, promoting and leading the evaluation design; coordinating and monitoring progress and development in the evaluation study and the quality of the process.

## **9. TIMELINE FOR THE EVALUATION PROCESS**

### **A. Preparation of the evaluation (approximately 45-60 days before the date the programme reaches a year and a half of implementation). These preparatory activities are not part of the evaluation as they precede the evaluation exercise.**

1. An official e-mail from the Secretariat is sent to the RC, coordination officers in the country and joint programme coordinator. This mail will include the official starting date of the evaluation, instructive on mid-term evaluation and generic TOR for the evaluation.
2. During this period the evaluation reference group is established, the TOR are adapted to the context and interest of stakeholders in the country and all relevant documents on the joint programme are sent to the evaluator.

This activity requires a dialogue between the Secretariat and the reference group of the evaluation (the body that comments on and reviews but does not interfere with the independent evaluation process). This dialogue should be aimed at rounding out and modifying some of the questions and dimensions of the study that the generic TOR do not cover, or which are inadequate or irrelevant to the joint programme.

3. The Secretariat's portfolios manager will discuss with the country an initial date for having the field visit.
4. From this point on, the evaluation specialists and the portfolio manager are responsible for managing the execution of the evaluation, with three main functions: to facilitate the work of the consultant, to serve as interlocutor between the parties (consultant, joint programme team in the country, etc.), and to review the deliverables that are produced.

### **B. Execution phase of the evaluation study (87-92 days total)**

#### **Desk study (23 days total)**

1. Briefing with the consultant (**1 day**). A checklist of activities and documents to review will be submitted, and the evaluation process will be explained. Discussion will take place over what the evaluation should entail.
2. Review of documents according to the standard list (see TOR annexes; programme document, financial, monitoring reports etc.).



3. Submission of the inception report including the findings from the document review specifying how the evaluation will be conducted. The inception report is sent and shared with the evaluation reference group for comments and suggestions (within **fifteen days of delivery of all programme documentation to the consultant**).
4. The focal point for the evaluation (joint programme coordinator, resident coordinator office, etc) and the consultant prepare and agenda to conduct the field visit of the evaluation. (Interview with programme participants, stakeholders, focus groups, etc) (Within **seven days of delivery of the desk study report**).

#### **Field visit (10-15 days)**

1. The consultant will travel to the country to observe and contrast the preliminary conclusions reached through the study of the document revision. The planned agenda will be carried out. To accomplish this, the Secretariat's portfolio manager may need to facilitate the consultant's visit by means of phone calls and emails, making sure there is a focal person in the country who is his/her natural interlocutor by default.
2. The consultant will be responsible for conducting a debriefing with the key actors he or she has interacted with.

#### **Final Report (54 days total)**

1. The consultant will deliver a draft final report, which the Secretariat's programme officer shall be responsible for sharing with the evaluation reference group (**within fifteen days of the completion of the field visit**).
2. The Secretariat will assess the quality of the evaluation reports presented using the criteria stipulated by UNEG and DAC Evaluation Network (**within seven days of delivery of the draft final report**).
3. The evaluation reference group may ask that data or facts that it believes are incorrect be changed, as long as it provides data or evidence that supports its request. The evaluator will have the final say over whether to accept or reject such changes. For the sake of evaluation quality, the Secretariat can and should intervene so that erroneous data, and opinions based on erroneous data or not based on evidence, are changed (**within fifteen days of delivery of the draft final report**).

The evaluation reference group may also comment on the value judgments contained in the evaluation, but these may not affect the evaluator's freedom to express the conclusions and recommendations he or she deems appropriate, based on the evidence and criteria established.

All comments will be compiled in a matrix that the Secretariat will provide to the evaluation focal points.

4. On the completion of input from the reference group, the evaluator shall address all the comments and decide which input to incorporate to the report and which to omit **(ten days)** and submit to the MDG-F Secretariat a final evaluation report.
  5. The Secretariat will review the final copy of the report, and this phase will conclude with the delivery of this report to the evaluation reference group in the country **(within seven days of delivery of the draft final report with comments)**.
- C. Phase of incorporating recommendations and improvement plan (within fifteen days of delivery of the final report):**
1. The Secretariat's programme officer, as representative of the Secretariat, shall engage in a dialogue with the joint programme managers to establish an improvement plan that includes recommendations from the evaluation.
  2. The Secretariat will publish the evaluation in its website.

## 10. ANNEXES

### a) Document Review

**This section must be completed and specified by the other users of the evaluation but mainly by the management team of the joint programme and by the Programme Management Committee. A minimum of documents that must be reviewed before the field trip shall be established; in general terms the Secretariat estimates that these shall include, as a minimum:**

#### MDG-F Context

- MDGF Framework Document
- Summary of the M&E frameworks and common indicators
- General thematic indicators
- M&E strategy
- Communication and Advocacy Strategy
- MDG-F Joint Implementation Guidelines

#### Specific Joint Programme Documents

- Joint Programme Document: results framework and monitoring and evaluation framework
- Mission reports from the Secretariat
- Quarterly reports
- Mini-monitoring reports
- Biannual monitoring reports
- Annual reports
- Annual work plan
- Financial information (MDTF)

#### Other in-country documents or information

- Evaluations, assessments or internal reports conducted by the joint programme
- Relevant documents or reports on the Millennium Development Goals at the local and national levels
- Relevant documents or reports on the implementation of the Paris Declaration and the Accra Agenda for Action in the country
- Relevant documents or reports on One UN, Delivering as One

### c) File for the Joint Programme Improvement Plan

After the interim evaluation is complete, the phase of incorporating its recommendations shall begin. This file is to be used as the basis for establishing an improvement plan for the joint programme, which will bring together all the recommendations, actions to be carried out by programme management.

Evaluation Recommendation No. 1				
Response from the Joint Programme Management				
Key actions	Time frame	Person responsible	Follow-up	
1.1			Comments	Status
1.2				
1.3				
Evaluation Recommendation No. 2				
Response from the Joint Programme Management				
Key actions	Time frame	Person responsible	Follow-up	
2.1			Comments	Status
2.2				
2.3				
Evaluation Recommendation No. 3				
Response from the Joint Programme Management				
Key actions	Time frame	Person responsible	Follow-up	
3.1			Comments	Status
3.2				
3.3				

## Annex 9: Ten Steps to Joint M&E

1. **Refinement and adaptation of the M&E framework:** It is important to adjust the M&E plan included in the joint programme document to best fit the actual context. For this purpose take into account the checklist (included in the M&E guidelines), bear in mind that M&E plan should respond to the following principles:

- Oriented to well balanced learning and accountability purposes with a participatory approach
- Evidence-based: Judgments and conclusions drawn from monitoring and evaluation activities should be based on consistent data, information or knowledge to support or deny the validity of the questions posed through the monitoring and evaluation studies
- Simple yet, Robust, Rigorous and Reliable
- Measure change by describing, analyzing and understanding change and use results to improve programme and policy performance

The technical work to refine the M&E plan may be carried out as a previous activity to the inception workshop that would finish with the validation of the changes by stakeholders during the inception workshop.

2. **Engage stakeholders, facilitate participation on M&E activities:** Participation is a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them. When using participation, managers lose some control over the programmes and in doing so the programmes gain in ownership and sustainability, two of the key elements for the success of a development intervention. In order to obtain the most from M&E activities, the programme management team should: allow and facilitate the participation of the various stakeholder in monitoring exercises (such as indicators based on stakeholder perception); allow them to formulate questions to be included in the mid-term and final evaluation terms of reference; and allow them to have a voice during the evaluation process (this could be done by asking for comments and suggestions on draft reports and allowing them to have a role on the follow up of the recommendation process).

3. **Collection of a baseline:** The baseline is an essential element of the joint programme M&E plan. Without a baseline, it would be extremely complicated to measure change and the joint programme effects. The programme management teams can collect the baseline by itself or

hire a consultant for this purpose (depending on the difficulty presenting of the indicators, means of verification, etc).

**4. Monitor and report on the joint programme:**

As a result of executing joint programme M&E functions and activities the following products will be generated:

- a. Monitoring reports:** The PC/M or an Evaluation Specialist will coordinate the draft of a narrative text (twice a year) supported by the data and evidence coming from the collection of quantitative and qualitative data on indicators (M&E framework section included in the Joint Programme document) as well as data on the coordination indicators, thematic indicators (provided by the Secretariat), and any other information (including financial) showing evidence of progress to attain results (see annex 7 for a template).
- b. Mid-term evaluation reports:** These reports are the products of the mid-term evaluation process coordinated and financed by the Secretariat and conducted by hired independent consultants
- c. Final evaluations reports:** These reports are the product derived from the process of conducting a coordinated final evaluation on the joint programmes a whole and by itself. The PC/M or an Evaluation Specialist will coordinate the exercise with the support of independent consultants and the participation of the main stakeholders. The funds will be detracted from the 3% to 5% amount allocated in each joint programme for M&E activities.

Other reporting requirements based on the legal agreement signed by the donor and UNDP on behalf of the participating agencies are the object of section 8. As mentioned before these elements are not part of the mechanism of MDG-F M&E although are an important starting point for M&E activities.

- 5. Prepare for field monitoring visits:** The programme management team facilitates and coordinates field visits.(a protocol guide for field monitoring visits is being developed by the MDG-F Secretariat)
- 6. Adapt general terms of reference for mid-term evaluations:** The Secretariat will provide thematic based terms of reference for the joint programme. The joint programme

management team and the Secretariat will adapt these general terms of reference to the specificities of each particular joint programme.

7. **Facilitate the process of the mid-term evaluation:** Mid-term evaluations will involve the programme management team to facilitate the consultant's field work, provide feedback to data requests, and participate with comments and suggestions to the development of draft evaluation and final reports.
8. **Implement recommendations:** Mainstreaming recommendations derived from mid-term evaluations and monitoring exercises is also a responsibility of the programme management teams.
9. **Prepare Terms of reference for final evaluations:** The programme management teams will design final evaluation terms of reference in a participatory fashion with the support and participation of the Secretariat.
10. **Conduct, coordinate and disseminate final evaluations; mainstream recommendations; and scale up programmes:** The programme management teams will disseminate the recommendations; lessons learnt and best practices derived from the final evaluation exercise. If the programme has proven a successful intervention, steps should be taken to find opportunities to scale up and sustain successful interventions beyond the life of the programme.

## Annex 10: Guidance Note for Advocacy Action Plan

### Context

In 2009, the MDG-F Secretariat in consultation with the various participating UN Agencies elaborated an Advocacy & Partnerships strategy to help the MDG-F advance its main goal of accelerating progress on the MDGs and related goals while advancing collaborative UN efforts. It responds to the demonstrated need to strengthen citizen's participation in development efforts and have clear advocacy interventions that push for more inclusive and responsive public policy and practice.

The strategy, further described below, provides a guiding framework within which to articulate national advocacy plans, and has been articulated at a macro level intentionally so that countries can use it to define context specific activities that lead to similar overall outcomes/goals.

The overall strategy goal is to:

***Accelerate progress on the MDGs by raising awareness, strengthening broad-based support and action and increasing citizen engagement in MDG related policy and practice.***

### Key Outcomes:

- Increased awareness and support for the MDGs and the Fund both at policy and general public level.
- Programmes are leveraged for increased MDG results and citizen engagement in MDG-F and MDG processes is strengthened
- Improved accountability and transparency towards all partners

### National Advocacy Plans

MDG-F focus countries should aim to elaborate and implement a ***national Advocacy Action Plan*** using the same format that is provided in the table below. To the extent possible the overall goal and outcomes should remain the same, although countries may choose to work on

one or two of the outcomes rather than all three (noting that ideally all three will be integrated in the plan). Countries may also choose to give higher priority to outcome one in the first year and then step up other outcome efforts in other years. There are several outputs outlined in the table below and many sample activities that will help in achieving them. Countries can choose from these as they are meant to serve as examples that can be adopted, adapted and/or discarded according to the national context. The idea is to plan and implement advocacy and citizen participation actions that are flexible yet point in the same overall direction.

The National Advocacy Action plan should be embedded in national MDG and related priorities and draw on existing joint programmes interventions that are relevant. As such, the Advocacy Action Plan should identify what key objectives it is trying to address and then articulate (with the given format as guidance) the interventions and resources that will be allocated towards these objectives. Many joint programmes already have awareness rising, civil society and/or advocacy components and these should feed into national advocacy plans. Since these components are already accounted for in JPs work plan/budgets they can be financed and possibly implemented by that particular JP. To the extent possible, JP should also have advocacy plans that stem from the desired policy impact of their programmes and subsequently fit in with articulated national efforts/plans.

The implementation of the national Advocacy Action Plans should not lead to the creation of new structures within the UN but rather, where possible, should build on capacities that already exist. The UNCT has a long established experience with advocacy and communication for development and policy change. Articulating this strategy at the national level intends to give an impetus to these efforts and to the process of UN Reform and under the leadership of the Resident Coordinator ensure that the United Nations partners and communicates collaboratively to have greater impact at the national level.

If necessary, funds can be used to hire an advocacy specialist based in the RC office with oversight over and legitimacy with the UN Agencies. Countries are encouraged to use the funds available through joint programmes (2% recommendation as articulated in section 8 of this document) to leverage further resources that will help to make expand and/or operationalize action plans operational.



## **OVERALL STRATEGY GOAL**

*Accelerate progress on the MDGs by raising awareness, strengthening broad-based support and action and increasing citizen engagement in MDG related policy and practice.*

<b>Strategy Outcomes</b>	<b>Outputs</b>	<b>Indicative Activities</b>	<b>\$\$\$</b>
--------------------------	----------------	------------------------------	---------------

### **I. Increased awareness**

**and support for the MDGs and the Fund both at policy and general public level.**

#### **Media**

- |  |  |
|--|--|
| <ul style="list-style-type: none"><li>• Establish alliances with media to regularly cover development stories/issues on MDGs and related goals</li></ul> | <ul style="list-style-type: none"><li>• Organize media field visits to programmes</li><li>• Host regular informational sessions with journalists to brief them on development issues and programmes. These could be breakfasts, monthly lunches, etc.</li><li>• Launch a media awards programme or establish a network of development oriented journalists to stimulate journalists to cover development issues.</li><li>• Negotiating media space to air news/video documentaries made by citizens involved in programmes thereby encouraging different views and alternative media</li></ul> |
|--|--|

#### **Key dates and Events**

- |  |   |
|--|---|
| <ul style="list-style-type: none"><li>• Key dates and events are used to raise awareness and link the advocacy efforts of various national actors including UN, private sector, civil society and government</li></ul> | <ul style="list-style-type: none"><li>• Identify key dates that can be used to bring different stakeholders together.</li><li>• Participate in the Stand Up and Take Action Against Poverty mobilization campaign for 2009 using existing networks and the multiplier effect to mobilize as many people as possible to participate and use this event to articulate policy demands.</li></ul> |
|--|---|

#### **Citizen Engagement and Civil Society Participation**

- |  |  |
|--|--|
| <ul style="list-style-type: none"><li>• Linkages have been made with select civil society organizations for MDG advocacy</li></ul> | <ul style="list-style-type: none"><li>• Organizations that are interested and active on MDG related issues are identified and activities are joined as and when relevant.</li><li>• Participate and support events that will facilitate partnership building with relevant organizations</li></ul> |
|--|--|

#### **United Nations Communications Group and Coordination**

- |  |  |
|--|--|
| <ul style="list-style-type: none"><li>• UN Communications Group provides a platform for joint communication, advocacy and mobilization</li></ul> | <ul style="list-style-type: none"><li>• UN coordinates participation in key dates/events that highlight the MDGs and the work of the MDG-F in relation to these.</li><li>• UNCG establishes media contacts that are shared</li></ul> |
|--|--|

in line with One UN and MDGs

amongst Agencies and used for engaging with media.

- Strategic partnerships with media organizations are brokered to increase visibility of MDGs on media channels- e.g. through talk shows, radio/TV interviews,
- UN Goodwill Ambassadors are brought together to speak out on MDGs issues- other advocates /champions can also be identified to rally for MDGs.

### Public Outreach and Communication

- Awareness materials designed (brochures, information notes, newsletters, human interest stories, TV spots, radio spots) and distributed along appropriate channels.
- Agree upon key messages and designs and print materials that will help in raising awareness and stimulating action on programme goals and MDGs. These should be done in accordance with MDG-F branding guidelines.
- Identify local radios, TV channels, newspapers, magazines etc that are most effective in disseminating the message at local, regional, national level. These should take into consideration means that reach remote/rural areas.

Strategy Outcomes	Outputs	Indicative Activities	\$\$\$
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**II. Programmes are leveraged for increased MDG results and citizen engagement in MDG-F and MDG processes is strengthened**

### Support to citizen engagement and civil society

- Citizen groups/networks have been strengthened to have more effective participation in MDG policy and practice.
- Identify and reach out to relevant citizen groups and CSOs to determine what their current participation is and how it can be strengthened. Tapping into existing relationships between distinct UN Agencies and citizen groups could be a starting point as well as any existing mapping.
- Ensure that marginalized groups such as religious and ethnic minorities are included in efforts to strengthen effective participation with particular attention to women.
- Organize workshop and open forums at the local and/or national level to discuss key development /MDG priorities and channels to increase effective citizen participation. These efforts should result in concrete action points or policy papers that can be channeled to the relevant decision makers and used for lobbying and advocacy.

- Link CSO with Universities and/or think tanks to conduct training and/or other activities that can help organizations strategically orient their work. Larger more active CSOs may also help to strengthen smaller ones.
- Train CSOs to use video making, photography, storytelling, and other communication tools to report on local realities, solutions, progress, obstacles and to make their voice heard. These communication products should be used to raise awareness among general public and decision makers. (This will require identifying candidates and linking with trainers to train them on using these mediums).

#### Support to Local Governments

- Strengthened dialogue between local governments and civil society groups as it relates to JP goals and MDGs
- Ensure that regular contact and communication is established with Mayors/local governments and institutions putting them at the forefront of JP interventions and MDG localization.
- Discuss and identify existing and new ways to increase citizen participation in local policy.
- Use JP interventions as an opportunity to open neutral spaces for dialogue between citizens and government on key issues. These could be open forums.

#### Documentation and knowledge sharing

- Innovative and promising cases are highlighted and used to facilitate learning, scaling up and advocacy. JP examples are identified and documented through multi-media to interesting, appealing and effective case studies.

#### Partnerships

- Wide range of partnerships has been established in support of the MDGs.
- Identify other actors working on MDGs and related development goals and establish contact to determine ways to come together at key moments (e.g. events, mobilizations, media inductions, etc.). Use other existing networks to advance the development agenda such as faith based organizations, private sector associations, celebrities, artists, etc.

Strategy Outcomes	Outputs	Indicative Activities	\$\$\$
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III. Improved

**accountability and transparency towards all partners**

**Branding and Identity**

- MDG-F identity is strengthened and it is recognized as a trusted partner.
- Ensure that all printed materials and events related to the MDG-F are branded according to the Fund's guidelines- using MDG-F logo to represent both the Spanish Government and all the UN Agencies.

**Citizen Engagement and Accountability**

- Accountability to citizens in pilot areas is strengthened
- Ensure that key CSOs are informed about the intent of the JPs, the resources that will be channeled towards their community and who will be responsible for the implementation, giving an opportunity for their participation including potentially taking responsibility for implementing certain elements of programme.
- Involve citizen groups in the monitoring and evaluation of programmes and in reporting on the status of development goals in their locality. This can be done through participatory video, storytelling, shadow reports, community assessments, citizen report cards, etc.

**Steps to Jump Start Implementation of Advocacy and Communications**

<b>Activity</b>	<b>Result</b>	<b>Timeframe</b>
1. Brief and designate an existing senior staff to lead UN advocacy efforts as they relate to MDGs	Lead person is briefed and designated by RC to bring advocacy and communication forward	1 week
2. Identify and convene a group that will determine substantive elements of advocacy interventions. Use existing group where possible.	Key participants identified and agreed to participate in this technical group. This should include the joint programme coordinators of MDG-F programmes in the country	2 weeks
3. Technical group designates lead person with UN oversight-not Agency specific- to lead implementation. (MDG-F may provide extra resources for oversight if needed)	Person is designated and delegated authority to take implementation forward	1 day
4. Planning session to develop action plan on advocacy and communication. (If needed, this can be done with help/presence of MDG-F Secretariat and a facilitator).	Action plan is developed and approved by the technical group for year one.	1 week
5. Action plan is sent to MDG-F Secretariat for approval and feedback	Action Plan approved and resources allocated	1 week
6. Strategic partners are identified and approached (increasing as you go along)	Media, local government/institutions, private sector, media, citizen groups contacted and partnerships made	2 weeks
7. Begin implementation of action plan	Specific activities and outputs delivered and reviewed	Ongoing..
















## Annex 11: Administrative and Procurement Processes

### 11.1 Recruitment of Consultants

#### Diagram of Procedure

#### Details

Activity	Description
 JP partners (incl. Agencies and Counterparts)	These are the people designated as Agency and Partner focal points for the implementation of the joint programme activities.
 Support teams to Agencies and Partners	These teams are responsible for the administrative functions of the Agencies and Partners relating to the hiring of personnel, the purchase of goods and services, travel and finance.
 Ad Hoc Assessment Committee	This is the Ad Hoc Committee in charge of assessing the candidates. It is made up of members of the Agencies, Partners and the Programme Coordinator/Manager so that its transparency is guaranteed.
 Approval Committee	These are the high authorities responsible for approving the hiring process of Agencies or Partners, depending on the regulations that apply.
 1 Submitting the contract request and drafting the TOR	The focal point of the Agency or Partner drafts the contract request and forwards it to the relevant administrative department to kick off the process. The focal point should also draft the TOR. The contract request should indicate which activity/outcome it corresponds to on the Work Plan or which line it relates to on the Procurement and Contracting Plan. NB: It is suggested that the TOR be discussed with the other implementing partners and the Programme Coordinator/ Manager.

Activity	Description
	<p>Checklist for starting process:</p> <ul style="list-style-type: none"> <li>- Contract request signed by the focal point of the Agency or Partner (compulsory), indicating the link with the Procurement Plan.</li> <li>- TOR for the process (compulsory), indicating the account to be charged</li> <li>- Members of the Assessment Committee (recommended)</li> <li>- Assessment criteria (recommended)</li> </ul> <p><i>NB: The TOR must include the frequency and amount/percentage of payments, as well as the progress or outcome sought for each one. The TOR must also mention the person who will sign off the payments.</i></p>
<p> 2 Short listing</p>	<p>The requester proposes a shortlist of candidates according to the TOR and the availability of the candidates.</p> <p>Checklist:</p> <ul style="list-style-type: none"> <li>- Curriculum Vitae (compulsory)</li> <li>- Recommendations or Assessments of the candidates (as supporting documents for the shortlist) (compulsory)</li> </ul> <p><i>NB: The administrative departments can suggest other candidates who would be assets for the procedure.</i></p>
<p> 3 Setting up an Assessment Committee</p>	<ul style="list-style-type: none"> <li>- A Mixed Committee needs to be set up with representatives from Agencies, Partners and the Coordination Unit to assess and interview the candidates.</li> </ul> <p>The assessment criteria and the structure of the interviews need to be defined.</p>
<p> 4 Conducting interviews and revising offers</p>	<p>1. In possession of all the information, the Assessment Committee interviews the shortlisted candidates, taking into account the following:</p> <ul style="list-style-type: none"> <li>- All candidates need to be interviewed in the same way and in approximately the same timeline.</li> <li>- All candidates must be asked the same basic questions by the same panel.</li> </ul> <p>2. Following the interviews, the Assessment Committee assigns points to the candidates and creates an order of eligibility according to the specifications laid out in the TOR.</p>
<p> 5 Drafting the Assessment Report</p>	<p>An Assessment Report must be drafted. It must include the work references of the shortlisted candidates.</p> <ul style="list-style-type: none"> <li>- The Committee must be convened to sign the report.</li> <li>- The members of the Committee revise the report and the work references.</li> <li>- If they are happy with the report, they sign it as proof of approval.</li> </ul>
<p> 6 Is further approval required?</p>	<p>Depending on the regulations of the agency or partner in question, the process may require the revision and approval of a higher authority. This needs to be verified.</p>
<p> 7 Revising the process</p>	<p>The appropriate Approval Committees (NSC) or bodies revise the assessment report and the supporting documentation, and approve the process or make observations.</p>
<p> 8 Drafting the contract offer</p>	<p>Following the approval of the report, the following activities need to be carried out:</p> <ul style="list-style-type: none"> <li>- The requestor drafts the final contract offer.</li> <li>- The offer is presented to the selected candidate.</li> <li>- The selected candidate accepts or refuses the contract offer.</li> </ul>
<p> 9 Drawing up the contract</p>	<p>After the contract offer (which includes details of salary, modalities of contract and start date) is accepted, the following activities must</p>






Activity	Description
	be carried out: <ul style="list-style-type: none"><li data-bbox="625 142 941 174">- The contract is drawn up.</li><li data-bbox="625 174 1409 237">- It must be signed by the Representative of the Agency or Partner and the contractor.</li><li data-bbox="625 237 1385 300">- The requestor must archive the documentation for the process, for audit purposes.</li></ul>















## 11.2 Procurement of goods and services

### Diagram of procedure

#### Details

Activity	Description
 JP partners (incl. Agencies and Counterparts)	These are the people designated as Agency and Partner focal points for the implementation of the joint programme activities.
 Support teams to Agencies and Partners	These teams are responsible for the administrative functions of the Agencies and Partners relating to the hiring of personnel, the purchase of goods and services, travel and finance.
 Ad Hoc Assessment Committee	This is the Ad Hoc Committee in charge of assessing the candidates. It is made up of members of the Agencies, Partners and the Programme Coordinator so that its transparency is guaranteed.
 Approval Committee	These are the high authorities responsible for approving the hiring process of Agencies or Partners, depending on the regulations that apply.
 1 Submit the procurement request and draft the TOR or Technical Specifications (TS)	The focal point of the Agency or Partner submits the procurement request and forwards it to the relevant administrative department to kick of the process. The focal point should also draft the TOR for services or the Technical Specifications for goods and works in consultation with relevant partners and agencies of the Joint

Activity	Description
	<p>Programme.</p> <p>The procurement request should indicate which activity/outcome it corresponds to on the Work Plan or which line it relates to on the Procurement and Contracting Plan.</p> <p>Checklist for starting process:</p> <ul style="list-style-type: none"> <li>- The procurement request needs to be signed by the focal point of the agency or partner (compulsory) and should state the link with the Procurement Plan.</li> <li>- TOR or TS for the procedure (compulsory), indicating the account to be charged.</li> <li>- Assessment criteria (recommended).</li> <li>- Appointment of the Tender Opening Committee, <b>if applicable</b> (recommended).</li> <li>- Appointment of the Assessment Committee (recommended).</li> </ul> <p><i>NB: It is suggested that the TOR or TS be discussed with the Inter-agency Committee. If the level of complexity is high, the hiring of a specialist in the relevant field is recommended for the drafting of the TOR or TS.</i></p>
 2 Type of process	<p>Depending on the type of process, the following needs to happen:</p> <p>Open tender: the process is published using the means and within the deadlines specified in the regulations of the Agency or Partner.</p> <p>Closed tender: a shortlist of companies to be invited to participate in the process should be produced. The shortlist needs to be backed by supporting information.</p> <p>The relevant procurement documents need to be drawn up: tender specifications, quote, etc.</p>
 3 Invitations to Tender	<p>For closed tenders, companies on the shortlist should be invited to tender.</p>
 4 Publishing the Open Tender	<p>An open invitation to tender needs to be made in order to ensure the transparency of the process.</p> <ul style="list-style-type: none"> <li>- The documents to be published must be drafted.</li> <li>- Publish the process in the media (Web, press, etc.) and within the deadlines determined by the regulations of each Agency or Partner.</li> <li>- If it's an international invitation to tender, the relevant regulations must be complied with.</li> </ul>
 5 Setting up the Assessment Committee	<p>The focal point sends a letter endorsing the documents for the procedure, including the composition of the Tender Opening Committee and Evaluation Committee (that includes relevant national partners and agencies), if applicable, or the department in charge.</p>
 6 Responding to Enquiries	<p>The requester and the purchasing teams answer any technical or administrative enquiries, in compliance with their internal procedures.</p> <ul style="list-style-type: none"> <li>- The answers to the administrative enquiries need to be drafted, as well as the clarification notes if applicable.</li> <li>- An amendment should be made, if applicable.</li> </ul>
 7 Opening of tenders	<ul style="list-style-type: none"> <li>- In the presence of the interested parties, the Opening Committee proceeds to open the original envelope and the copies of the offers.</li> <li>- The Opening Act form needs to be filled in and signed by the parties present and the Opening Committee.</li> </ul>
 8 Carrying out Assessments	<p>The relevant assessments need to be carried out: preliminary, technical and economic as required.</p>

Activity	Description
 9 Drafting the Assessment Report	<p>The Assessment Report needs to be drafted, with all the appendixes.</p> <ul style="list-style-type: none"> <li>- The Committee does detailed revision of the report; if all is in order, the report must be signed by the assessors.</li> </ul>
 10 Is further approval required?	<p>Depending on the regulations of the Agency or Partner in question, the process may require the revision and approval of a higher authority. This needs to be verified.</p>
 11 Revising the Process	<p>The appropriate Approval Committees or bodies revise the assessment report and the supporting documentation, and approve the process or make observations.</p>
 12 Notification of the awarding of the contract	<p>With the approval of the relevant bodies, the letters of award need to be drafted and all the participants should be informed of the results.</p>
 13 Preparing the Purchase Order or the Contract	<ul style="list-style-type: none"> <li>- The contract or the purchase order needs to be prepared and attached to the supporting documentation for signature.</li> </ul>

### Annex 11.3: Plan for Operational Closure of the Joint Programme

Activity	Details	Person/body responsible for the implementation
Operational Closure	<p>The Programme Coordinator/Manager, in collaboration with all JP partners, is required to establish a plan for the operational closure of the programme. The plan must address the following:</p> <ul style="list-style-type: none"><li>• Closing of bank accounts</li><li>• Inventory</li><li>• Transfer of assets</li><li>• Audits</li><li>• Evaluations</li></ul> <p>Each UNS Agency will be responsible for the implementation of the operational closure plan. The Lead Agency must ensure that the operational closure of the programme takes place.</p>	UNS and Partners -> Implement operational closure plan PMC -> Approves NSC -> Signs off

Annual targets	Key Activities	TIME FRAME				UN AGENCY	Responsible Party	PLANNED BUDGET			
		Year 2						Source of Funds	Budget Description	Estimated remaining Y1 unspent/ (overspent) funds with AMS	
		Q 1	Q 2	Q 3	Q 4						
<b>Output 1.1</b> National Policy Reform for a more sustainable energy economy achieved  <b>Indicator (Target):</b>  ✓ <u>SEC decrees issued that mainstream GHG mitigation measures through energy efficiency and renewable energy</u> (A roadmap for implementing energy efficiency activities across the different consuming sectors)  ✓ <u>Leveraging other donors' resources into supporting the long term objectives of such key area</u> (A plan for the various donor agencies to leverage their support into the implementation roadmap)  ✓ <u>SEC's decision to implement an efficient lighting program in public buildings</u> (develop an implementation plan)	<b>SEC Technical Secretariat strengthened</b> Coordinate all energy efficiency activities across the member ministries of the SEC					UNDP	Cabinet of Ministers	MDG-F Fund	National Consultants Travel Communication Equipment Misc/ Supplies Agency Management Support		
	<b>Energy policy papers to support energy policy reform prepared:</b> <ul style="list-style-type: none"> <li>• Compile existing relevant studies and information.</li> <li>• Initiate short-term consultancies to prepare energy policy papers.</li> <li>• Coordinate among Ministries on implementation of SEC decisions</li> <li>• Synergize implementation of SEC decisions with ongoing national initiatives</li> </ul>										
	<b>A Government initiative to reduce energy consumption in public buildings is developed:</b> <ul style="list-style-type: none"> <li>• Develop an Operational Plan for a program to improve lighting efficiency in a group of public buildings using a public-private partnership model.</li> <li>• Support the implementation phase of a program to improve lighting efficiency in a group of public buildings using a public-private partnership model.</li> </ul>										
	<b>Long term draft energy strategies to support energy policy reform formulated</b> <ul style="list-style-type: none"> <li>• Initiate preparation of long term national energy strategies/policies</li> <li>• Develop energy indicators to key energy consuming sectors that can be integrated into a national energy intensity measure tied to economic development</li> </ul>					UNEP	Cabinet of Ministers	MDG-F Fund	National Consultant International Consultant Agency Management Support	44,209  24,610	

**Annex 12. A sample for Annual Work Plan for Year 2 and Year 3 funds**

## Annex 13. Template for Monitoring Report

The **monitoring report** should be submitted to the MDG-F Secretariat on a bi-annual basis. The report is due no later than 20 days following the end of June and December (July 20 and January 20<sup>th</sup>). The monitoring report will replace the existing quarterly narrative reports which will no longer need to be submitted to the Secretariat. **Please submit to the MDG-F Secretariat at: [mdgf.secretariat@undp.org](mailto:mdgf.secretariat@undp.org)**

### Introduction

The MDG-F defines **monitoring** as a continuous process of collecting and analyzing data and information about the joint programme, especially on substantive indicators (meaning activity, output and outcome indicators). **Joint Programme Monitoring** involves a systematic collection and analysis of data; it is evidence oriented and quality based exercise where specific, measurable, attainable, and reliable and time bound indicators (SMART) show proof of the substantive Joint Program progress.

The MDG-F joint programme monitoring report draws from your usual management tools (financial and substantive) at the programme and national level to minimize the workload for joint programme teams. In addition, it establishes some generic thematic indicators that allow information to be aggregated illustrating how Joint Programmes contribute to MDG achievement, Development Effectiveness and collaborative UN efforts.

The monitoring report is an important management tool Therefore; it must be shared with, and endorsed by the Joint Programme Management Committee. It should also be submitted along with the quarterly color coded Annual Work Plan.

The monitoring report is divided into 3 sections: 1) identification and joint programme status, 2) joint programme progress, 3) Millennium Development Goals and 4) Thematic Indicators.

The Secretariat has prepared these guidelines to facilitate the completion of the monitoring report.

### Section 1: Identification and Joint Programme Status

This section is designed to provide a short and concise overview of the joint programme and consists of the following subsections:

a. Joint Programme identification and data

In this subsection you should identify the joint programme by filling out the information requested (name, country and thematic window, etc). You also should provide relevant and up to date information on beneficiaries disaggregated by gender and ethnic minorities.

b. Joint Programme M&E framework

This subsection reports on progress to date of the Monitoring and Evaluation Framework of the Joint Programme, which was included in the Joint Programme document and possibly reviewed during the inception phase of the programme.

c. Joint Programme Results Framework with financial information

The subsection asks for up to date information of activities completed based on the Joint Programme's Results Framework; as well as financial data on planned, committed and disbursed funds. Please note this table refers to 'information to date' (cumulative information of joint programme implementation up to the end of the reporting period).

## Section 2: Joint Programme Progress

The second section of the report is intended to describe the major advances and difficulties that the Joint Programme has faced during the reporting period. It also aims to collect some important information on two key objectives that all joint programmes are contributing to: 1) UN collaboration/Interagency work (Delivering as One) and, 2) Development effectiveness as described by the Paris Declaration and the Accra Action Agenda.

### a. Narrative on progress, obstacles and contingency measures

This subsection asks for a brief narrative describing progress on the implementation of activities, generation of outputs and attainment of outcomes. It also asks for a description of major challenges for implementation whether internal or external to the Joint Programme and the contingency actions you will undertake to overcome these constraints.

### b. Inter-Agency Coordination and Delivering as One

The Office of the Resident Coordinator should complete this subsection. The aim is to collect relevant information on how the joint programme is contributing to inter-agency work and Delivering as One.

You will find a multiple choice question, along with some questions that address the issue of UN collaboration. Your comments should be added in the text box provided. Finally, the subsection includes a set of three indicators on common processes and outputs to measure interagency coordination. These indicators have been taken from those used to measure progress on the One UN pilot countries. Please refer to the examples in the subsection to complete the information requested.

### c. Development Effectiveness: Paris Declaration and Accra Agenda for Action

This subsection seeks to gather relevant information on how the joint programme is putting into practice the principles of aid effectiveness through strong national ownership, alignment and harmonization of procedures and mutual accountability.

You will find some multiple choice questions, text boxes to provide narrative information on the section.

### d. Communication and Advocacy

This section will highlight ongoing advocacy and communication efforts of joint programmes looking at how these are contributing to the advancement of articulated MDGs and development outcomes. Special attention is given to reporting results obtained through targeted interventions on policy advocacy, social mobilization, citizen engagement and partnerships. These questions will provide relevant information on different methodological approaches to programme implementation, transparency and accountability.

## Section 3: MDG-F Millennium Development Goals

The third section of the report strives to obtain aggregated information on the MDG-F's contribution to the Millennium Development Goals.

### a. Millennium Development Goals

The MDG-F's main objective is to contribute to the attainment of the Millennium Development Goals worldwide. This subsection aims to capture data and information on the joint programmes contribution to one or more Millennium Development Goals and their respective targets.

For this purpose the Secretariat has developed a matrix where you should link your joint programme outcomes to one or more Millennium Development Goal(s) and target(s). You should also select the most suitable indicators from your joint programme M&E framework as a measure of the MDG targets selected. Please, refer to the example provided in that section.

#### Section 4: General Thematic Indicators

**This section on general thematic indicators is an integral part of the monitoring report. Please make sure you have received the appropriate template and you have completed it before sending it to the Secretariat along with the rest of the sections of this monitoring report.** The General Thematic Indicators aim to aggregate information on results for the eight thematic windows of the MDG-F as well as the Millennium Development Goals.

In this subsection, you will find indicators targeted to measure progress towards the most common substantive results of each thematic window. The Secretariat is seeking to capture the information in a cumulative fashion, just as in the all the previous sections of the monitoring report.

The thematic indicators make reference to a variety of concepts and definitions that change depending on elements such as national and joint programme context. The Secretariat acknowledges the complexity this brings to measuring the variables included and advises to use when possible, the most generalized common international standards and definitions. In case this is not possible you can add an explanatory note on what kind of definitions you are using (national, etc) for any of the variables.

The indicators were selected by analyzing all joint M&E frameworks by thematic window (outcomes, outputs, indicators, nature of the beneficiaries, etc). The analysis illustrated that the majority of the joint programmes concentrated on three to four development outcomes. Most of the indicators have been designed to capture progress on those outcomes. Additionally, the Secretariat has articulated other thematic indicators that seek to obtain data on innovative approaches/mechanisms to development that some programmes have embraced.

In this subsection, you will find check, number and text boxes where you can provide the most relevant numerical and narrative information corresponding to your specific joint programme. The template has been designed to easily capture and process information from joint programmes. The Secretariat acknowledges that some of the information requested will not be available at this stage of programme implementation. When this is the case we recommended collecting the necessary information in order to facilitate reporting on impact for the next reporting period.

Please, be mindful that some of the thematic indicators may not be applicable to your specific joint programme. In that case check the “does not apply box “or leave the boxes blank as appropriate.



**Monitoring Report Template**  
**Section I: Identification and Joint Programme Status**

a. Joint Programme Identification and basic data

<b>Date of Submission:</b> <b>Submitted by:</b> Name Title Organization Contact information	<b>Country and Thematic Window</b>
<b>MDTF Atlas Project No:</b> <b>Title:</b>	<b>Number: 1</b>  <b>Reporting Period:</b>  <b>Programme Duration:</b>  <b>Official starting date:</b>
<b>Participating UN Organizations</b>	<b>Implementing partners <sup>14</sup></b>

The financial information reported should include overhead, M&E and other associated costs.

<b>Budget Summary</b>	
<b>Total Approved Joint Programme Budget</b>	UN Org A: UN Org B: UN Org C: Total
<b>Total Amount of Transferred to date</b>	UN Org A: UN Org B: UN Org C: Total
<b>Total Budget Committed to date</b>	UN Org A: UN Org B: UN Org C: Total
<b>Total Budget Disbursed to date</b>	UN Org A: UN Org B: UN Org C: Total

\_\_\_\_\_

<sup>14</sup> Please list all the partners actually working in the joint's programme implementation, NGOs, Universities, etc

## DONORS

As you can understand, one of the Goals of the MDG-F is to generate interest and attract funding from other donors. In order to be able to report on this goal in 2010, we would require you to advise us if there has been any complementary financing provided in 2010 for each programme as per following example:

Amount in 000 US\$

TYPE	DONOR	TOTAL	FOR 2010	FOR 2011	FOR 2012
Parallel [1][1]					
Cost Share[2][2]					
Counterpart[3][3]					
<b>TOTAL</b>					

### DEFINITIONS

1) PARALLEL FINANCING – refers to financing activities related to or complementary to the programme but whose funds are NOT channeled through UN agencies. Example: JAICA decides to finance 10 additional seminars to disseminate the objectives of the programme in additional communities.

2) COST SHARING – refers to financing that is channeled through one or more of the UN agencies executing a particular programme. Example: The Government of Italy gives UNESCO the equivalent of US \$ 200,000 to be spent on activities that expand the reach of planned activities and these funds are channeled through UNESCO.

3) COUNTERPART FUNDS - refers to funds provided by one or several government agencies (in kind or in cash) to expand the reach of the programme. These funds may or may not be channeled through a UN agency. Example: The Ministry of Water donates land to build a pilot "village water treatment plant". The value of the contribution in kind or the amount of local currency contributed (if in cash) must be recalculated in US \$ and the resulting amount(s) is what is reported in the table above.

### **BENEFICIARIES**

You will notice there are 2 columns for each category of beneficiaries (expected/to date). The column "expected" refers to the target of beneficiaries you planned to reach by the end of the joint programme and the column "to date" refers to the actual number of beneficiaries you have reached up to the end of the reporting period.

For the purpose of reporting we will take into consideration the definition of beneficiary adopted by OECD/DAC. *"The individuals, groups, or organizations, whether targeted or not, that benefit, directly or indirectly, from the development intervention"*.

The beneficiaries must be counted on a cumulative basis. You most probably have a target of beneficiaries to reach during the life of the joint programme. In the previous reporting period you reported a number of beneficiaries on which you will add on to the ones reached in the current reporting period.

As an example, let's say the joint programme is expected to reach 2,505 urban women as direct beneficiaries, you already reported as direct beneficiaries 235 urban women in (July-December) reporting period and now you have reached 402 urban women as direct beneficiary in this reporting period (January-June). This would mean you have to report now urban 637 women who are direct beneficiaries to date. The number of individuals from any ethnic group and/or afro descendants refers to individual beneficiaries not ethnic groups.

**Direct Beneficiaries:** *“The individuals, groups, or organizations, targeted, that benefit, directly, from the development intervention”.*

	Men	Men from Ethnic groups	Women	Women from Ethnic groups	Boys	Girls	National Institutions	Local Institutions	Total
targeted number									
Number reached									
Targeted - reached									
% difference									

**Indirect Beneficiaries:** *“The individuals, groups, or organizations, not targeted, that benefit, indirectly, from the development intervention”*

	Men	Men from Ethnic groups	Women	Women from Ethnic groups	Boys	Girls	National Institutions	Local Institutions	Total
targeted number									
Number reached									
Targeted - reached									
% difference									

**b. Joint Programme M&E framework**

This template is the same as the one you will find in the JP documents. We have added 3 columns to provide spaces for baselines of the indicators as well as targets. All the values for indicators in this template are cumulative. This means the past values obtained accumulate (add up over time) as the joint programme gets implemented. We are expecting you to include not only the indicators but the value of these indicators. If you do not provide them, please explain the reason and how you are going to obtain this information for the next reporting period.

<b>Expected Results (Outcomes &amp; outputs)</b>	<b>Indicators</b>	<b>Baseline</b>	<b>Overall JP Expected target</b>	<b>Achievement of Target to date</b>	<b>Means of verification</b>	<b>Collection methods (with indicative time frame &amp; frequency)</b>	<b>Responsibilities</b>	<b>Risks &amp; assumptions</b>
From Results Framework (Table 1)	From Results Framework (Table 1)	Baselines are a measure of the indicator at the start of the joint programme	The desired level of improvement to be reached at the end of the joint programme	The actual level of performance reached at the end of the reporting period	From identified data and information sources	How is it to be obtained?	Specific responsibilities of participating UN organizations (including in case of shared results)	Summary of assumptions and risks for each result

**c. Joint Programme Results Framework with financial information**

This table refers to the cumulative financial progress of the joint programme implementation at the end of the semester. The financial figures from the inception of the programme to date accumulated (including all cumulative yearly disbursements). It is meant to be an update of your Results Framework included in your original programme document. You should provide a table for each output.

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### Definitions on financial categories

- **Total amount planned for the JP:** Complete allocated budget for the entire duration of the JP.
- **Estimated total amount committed:** This category includes all amount committed and disbursed to date.
- **Estimated total amount disbursed:** this category includes only funds disbursed, that have been spent to date.
- **Estimated % delivery rate:** Funds disbursed over funds transferred to date.

JP output: 1.1										
Programme Outputs	Activity	YEAR			UN AGENCY	RESPONSIBLE PARTY	Estimated Implementation Progress			
		Y1	Y2	Y3			NATIONAL/LOCAL	Total amount Planned for the JP	Estimated Total amount Committed	Estimated Total Amount Disbursed
	1.1.1									
	1.1.2.									
	1.1.3.									
	1.1.4.									
	1.1.5.									
	1.1.6.									
	<b>Total</b>									

### SECTION II: Joint Programme Progress

The second section of the report is intended to shed light on the major advances and difficulties of the Joint Programme. It also aims to collect information on two important objectives that all joint programmes are contributing towards (interagency work, delivering as One and Development effectiveness as described by the Paris Declaration and the Accra Action Agenda).

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### a. Narrative on progress, obstacles and contingency measures

- a. Please provide a brief overall assessment (250 words) of the extent to which the joint programme components are progressing in relation to expected outcomes and outputs, as well as any measures taken for the sustainability of the joint programme during the reporting period. Please, provide examples if relevant. Try to describe facts avoiding interpretations or personal opinions.

**Progress in outcomes:**

**Progress in Outputs:**

- UN agency Coordination
- Coordination with Government
- Coordination within the Government (s)
- Administrative (Procurement, etc) /Financial (management of funds, availability, budget revision, etc)
- Management: 1. Activity and output management 2. Governance/Decision making (PMC/NSC) 4. Accountability
- Joint Programme design

c.

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- External to the Joint Programme (risks and assumptions, elections, natural disaster, social unrest, etc)
- Other. Please specify:

b. Please, briefly describe (250 words) the current difficulties the Joint Programme is facing. Refer only to progress in relation to the planned in the Joint Program Document. Try to describe facts avoiding interpretations or personal opinions.

c. Please, briefly describe (250 words) the current external difficulties (not caused by the joint programme) that delay implementation. Try to describe facts avoiding interpretations or personal opinions.

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Please, briefly explain (250 words) the actions that are or will be taken to eliminate or mitigate the difficulties (internal and external referred B+C) described in the previous **text boxes b and c**. Try to be specific in your answer.



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### b. Inter-Agency Coordination and Delivering as One

The MDG-F Secretariat asks the office of the Resident Coordinator complete this subsection, briefly commenting on the joint programme, providing its perspective from within the broader country context. The aim is to collect relevant information on how the joint programme is contributing to inter-agency work and Delivering as One.

You will find some multiple choice questions where you can select the most appropriate to the case, text boxes to provide narrative information and 2 indicators on common processes and outputs to measure interagency coordination. These indicators have been already used to measure progress on the One UN pilot countries. Please, refer to the examples in the subsection to complete the information requested.

- Is the Joint Programme still in line with the UNDAF? Please check the relevant answer

Yes No

- If not, does the Joint Programme fit into the national strategies?

Yes No

If not, please explain:

What types of coordination mechanisms and decisions have been taken to ensure joint delivery? Are different joint programmes in the country coordinating among themselves? Please reflect on these questions above and add any other relevant comments and examples if you consider it necessary:

Please provide the values for each category of the indicator table described below:

Indicators	Baseline	Current Value	Means of Verification	Collection methods
Number of managerial practices (financial, procurement, etc) implemented jointly by				

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the UN implementing agencies for MDG-F JPs.				
Number of joint analytical work (studies, diagnostic) undertaken jointly by UN implementing agencies for MDG-F JPs.				
Number of joint missions undertaken jointly by UN implementing agencies for MDG-F JPs.				

Please provide additional information to substantiate the indicators value (150 words). Try to describe qualitative and quantitative facts avoiding interpretations or personal opinions.

c. Development Effectiveness: Paris Declaration and Accra Agenda for Action

This subsection seeks to gather relevant information on how the joint programme is fostering the principles for aid effectiveness by having appropriate ownership, alignment, harmonization and mutual accountability in the last 6 months of implementation.

You will find some multiple choice questions where you can select the most appropriate to the case, text boxes to provide narrative information and 2 indicators on ownership ad alignment. These indicators have been used extensively to measure progress on the Paris Declaration. Please, refer to the examples in the subsection to complete the information requested.

**Ownership:** Partner countries exercise effective leadership over their development policies, and strategies and co-ordinate development actions

**Are Government and other national implementation partners involved in the implementation of activities and the delivery of outputs?**

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- Not involved
- Slightly involved
- Fairly involved
- Fully involved

**In what kind of decisions and activities is the government involved? Please check the relevant answer**

- Policy/decision making
- Management:  budget  procurement  service provision  other, specify

**Who leads and/or chair the PMC and how many times have they met?**

Institution leading and/or chairing the PMC \_\_\_\_\_ Number of meetings.

**Is civil society involved in the implementation of activities and the delivery of outputs?**

- Not involved
- Slightly involved
- Fairly involved
- Fully involved

**In what kind of decisions and activities is the civil society involved? Please check the relevant answer**

- Policy/decision making
- Management:  budget  procurement  service provision  other, specify

**Are citizens involved in the implementation of activities and the delivery of outputs?**

- Not involved
- Slightly involved
- Fairly involved
- Fully involved

**In what kind of decisions and activities are citizens involved? Please check the relevant answer**

- Policy/decision making
- Management:  budget  procurement  service provision  other, specify

**Where is the joint programme management unit seated?**

- National Government  Local Government  UN Agency  By itself  other, specify

Based on your previous answers, briefly describe the current situation of the government, civil society, private sector and citizens in relation of ownership, alignment and mutual accountability of the joint programmes, please, provide some examples. Try to describe facts avoiding interpretations or personal opinions.

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### d. Communication and Advocacy

Has the JP articulated an advocacy & communication strategy that helps advance its policy objectives and development outcomes? Please provide a brief explanation of the objectives, key elements and target audience of this strategy, if relevant, please attach (max. 250 words).

Yes  No

What concrete gains are the advocacy and communication efforts outlined in the JP and/or national strategy contributing towards achieving?

- Increased awareness on MDG related issues amongst citizens and governments
- Increased dialogue among citizens, civil society, local national government in relation to development policy and practice
- New/adopted policy and legislation that advance MDGs and related goals
- Establishment and/or liaison with social networks to advance MDGs and related goals
- Key moments/events of social mobilization that highlight issues
- Media outreach and advocacy
- Others (use box below)

What is the number and type of partnerships that have been established amongst different sectors of society to promote the achievement of the MDGs and related goals? Please explain.

- |  |        |
|--|--------|
| <input type="checkbox"/> Faith-based organizations   | Number |
| <input type="checkbox"/> Social networks/coalitions  | Number |
| <input type="checkbox"/> Local citizen groups        | Number |
| <input type="checkbox"/> Private sector              | Number |
| <input type="checkbox"/> Academic institutions       | Number |
| <input type="checkbox"/> Media groups and journalist | Number |
| <input type="checkbox"/> Others (use box below)      | Number |

What outreach activities do the programme implement to ensure that local citizens have adequate access to information on the programme and opportunities to actively participate?

- Focus groups discussions
- Household surveys
- Use of local communication mediums such as radio, theatre groups, newspapers, etc
- Open forum meetings
- Capacity building/trainings

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Others

## Section III: Millennium Development Goals

### a. Millennium Development Goals

The MDG-F main objective is to contribute to progress to the attainment of the Millennium Development Goals worldwide. This subsection aims to capture data and information on the joint programmes contribution to 1 or more Millennium Development Goals and targets.

For this purpose the Secretariat has developed a matrix where you should link your joint programme outcomes to 1 or more Millennium Development Goals and Targets. This matrix should be interpreted from left to right. As a first step you should reflect on the contributions that each of the JP outcomes is making to one or more MDGs. Once this linked is established, it needs to be further developed by connecting each joint programme outcome to one or more MDG targets. As a third step you should estimate the number of beneficiaries the JP is reaching in each of the specifics outcomes. Finally you should select the most suitable indicators from your joint programme's M&E framework as a measure of the Millennium targets selected. Please, refer to the example provided below.

MDG 7	Joint Programme Outcome 1	MDG Target 7.A	# Beneficiaries reached	MDG Indicators	JP Indicator
<b>Goal 7: Ensure environmental sustainability</b>		Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources		7.1 Proportion of land area covered by forest 7.2 CO2 emissions, total, per capita and per \$1 GDP (PPP) 7.3 Consumption of ozone-depleting substances 7.4 Proportion of fish stocks within safe biological limits	
	Joint Programme Outcome 2	MDG Target 7 B		Indicator	JP Target
		Halve, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation		7.5 Proportion of population using an improved drinking water source 7.6 Proportion of population using an improved sanitation facility	
	Joint Programme Outcome 3	MDG Target 7 C		Indicator	JP Target

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		Does not apply			
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**Additional Narrative comments**

Please provide any relevant information and contributions of the programme to the MDGs, whether at national or local level.

Please provide other comments you would like to communicate to the MDG-F Secretariat: