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"We the Peoples of the United Nations determined ... to reaffirm faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women and of nations large and small, and to establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained, and to promote social progress and better standards of life in larger freedom ... and to employ international machinery for the promotion of the economic and social advancement of all peoples ... have resolved to combine our efforts to accomplish these aims."

Preamble
Charter of the United Nations

The United Nations Charter lays down universal principles and norms that are as relevant today as at any time during the past fifty years. Since then the international community has agreed to a powerful set of standards and goals arising out of United Nations conventions and global conferences. Peace, security, human rights and development are now recognised as interdependent conditions for human progress 1. Through the proclamation of the Right to Development and other instruments, the human person has been reaffirmed as the central concern of development, with every individual both a contributor to and beneficiary of this right 2. The United Nations system has played a leading role in this evolution of development policy and practice.

In 1997 the Secretary-General launched a programme for reform with the aim of preparing the United Nations for the challenges of the 21st century. A number of the reform actions set forth by the Secretary-General address the development work of the United Nations, a core mission that remains of vital importance. While recognising the major contribution that the United Nations has made in international development over the past fifty years, the Secretary-General proposed measures to enhance the organisation’s capacity to implement its development mandate.

The United Nations Development Group (UNDG) was charged with the elaboration of the United Nations Development Assistance Framework (UNDAF), intended to bring greater coherence to the United Nations programmes of assistance at the country level with common objectives and time frames in close consultation with governments 3. Provisional guidelines were developed as the basis for an UNDAF pilot exercise. Following an assessment of the pilot exercise and extensive consultations with the United Nations system, the UNDAF guidelines have been revised and guidelines for the Common Country Assessment (CCA) developed.

The UNDAF was one of the most important subjects discussed in the General Assembly during the 1998 triennial policy review of operational activities for development of the United Nations system. In the resulting resolution 4, the General Assembly emphasized the need to ensure the full participation and direct involvement of governments and all parts of the United Nations system in the UNDAF process.

The Administrative Committee on Coordination (ACC) has issued a statement 5 of support encouraging the active participation of all its members in the CCA and UNDAF. All members of the resident coordinator system, resident and non-resident, are expected therefore to participate fully.

United Nations country teams, under the leadership of the Resident Coordinator, can adapt these guidelines to local conditions, while capturing the spirit of collaboration of the Secretary-General’s reform. Above all these guidelines are intended to harness our creativity to respond strategically to the needs and aspirations of the peoples we serve, especially the most vulnerable and poorest.

1 The Agenda for Development: GA resolution A/51/240; Right to Development: GA resolution A/51/99.
2 GA resolution A/41/128; GA resolution A/53/155.
4 GA resolution A/53/192.
The UNDAF is the planning framework for the development operations of the UN system at country level. It consists of common objectives and strategies of cooperation, a programme resources framework and proposals for follow-up, monitoring and evaluation.

The UNDAF lays the foundation for cooperation among the UN system, government and other development partners through the preparation of a complementary set of programmes and projects. As a consequence, it enables the UN system to achieve the “goal-oriented collaboration, coherence and mutual reinforcement” called for by the UN Secretary-General and endorsed by the UN General Assembly (GA) in resolution 53/192.

Participation in the UNDAF is determined by GA resolution 53/192 and additional measures taken by the UN Secretary-General and the UNDG which:

- require “full Government participation…and its full ownership through the agreement of the recipient Governments concerned to the finalized Framework” (53/192);

- ensure the “full and active participation of the funds and programmes and specialized agencies” (53/192);

- encourage the involvement of other UN system organizations within the resident coordinator system (RCS), whether or not they have country-level representation, including “greater involvement of the regional commissions, taking into account their agreed mandates and work programmes” (53/192) ¹;

- invite the participation of the World Bank, International Monetary Fund and regional development banks “with a view to increased complementarity and better division of labour, as well as enhanced coherence in….sectoral activities” (53/192);

- facilitate the involvement of humanitarian and other entities throughout emergency phases ranging from disaster preparedness and mitigation to relief and recovery; and

- call for close consultations with civil society, the private sector and the donor community (including other international financial institutions).

As leader of the country team, the UN Resident Coordinator (RC) will seek the participation of all members of the RCS in the preparation process. Interested non-resident organizations will reach agreement with the country team, led by the RC, on the specific arrangements for their involvement in the UNDAF process.

The UNDAF – both as a process and a product – is based on the CCA and linked with a number of other key instruments of development cooperation, employed by the UN system and other partners, as described below.

**Common Country Assessment (CCA):** The CCA is an essential first step for the preparation of the UNDAF. It generates a common understanding of the causes of development problems as well as the needs and priorities of a country. This consensus helps define the purpose and strategy of UN system support to a country as described within the UNDAF. At the same time, the teamwork promoted by the CCA is indispensable for uniting the UN system around the UNDAF and building partnerships with key development actors. *(See the CCA Guidelines for further details)*
**Country Strategy Note (CSN):** According to GA resolution 53/192, “the country strategy note remains a voluntary initiative and ... where it does not exist, other similar frameworks reflecting national priorities should be used as the basis for the preparation of the United Nations Development Assistance Framework, to ensure that the Framework fully responds to national development priorities and needs.”

**Strategic Frameworks (SFs):** These are broad frameworks that apply to a small number of countries where the UN assumes a major leadership role in conflict resolution and peace building efforts. SFs embrace a political strategy and arrangements for international assistance to the affected country. They therefore provide a broad context for the application of planning and programming instruments. As a result, where there is a pre-existing SF, it should be considered during the preparation of the UNDAF.

**Consolidated Appeal Process (CAP):** In those countries emerging from a complex emergency, where UN system assistance has been programmed through the Consolidated Appeal Process, the UNDAF will build upon the recovery efforts initiated by the CAP. Similarly, in countries where development and recovery are challenged by instability and/or vulnerability, and where CAPs are considered, the CAP should draw upon the experience of the UNDAF.

**World Bank Country Assistance Strategy (CAS):** The UNDAF and CAS are separate but complementary processes and products that can benefit from the contributions of the World Bank and UN system, respectively. The World Bank should, therefore, be encouraged to participate fully in the UNDAF process and to facilitate UN system participation in the development of the CAS.

Other documents agreed upon between the government and Bretton Woods Institutions – such as the Policy Framework Paper (PFP) and Public Investment Programme (PIP) – should be taken into account in the preparation of the UNDAF.

**Comprehensive Development Framework (CDF):** The CDF has been proposed by the World Bank. As the full dimensions of the CDF concept are still evolving, specific guidance on possible linkages to the CCA and UNDAF will follow in the near future. The UNDAF process has goals and purposes distinct from the CDF, but it should provide a solid foundation for country teams to engage in a dialogue with national partners and the World Bank on the CDF.

**Sectoral approaches:** The UNDAF also provides the basis for articulating a more coherent and unified UN system response to sector investment programmes (SIPs)/sector-wide approaches (SWAPs) adopted by the government. Such a response needs to consider SIPs/SWAPs as one component of the broader application of the programme approach, in recognition of the multi-sectoral character of most development challenges.

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1 The “ACC Guidance Note on the implementation of the CCA and UNDAF processes” (in the Report of the CCPOD on its 14th session; ACC/1999/7) should also be consulted.

2 Areas of commonality between the CAP and the UNDAF are being identified in order to ensure complementarity between the two approaches from the outset as well as to clarify the respective roles of these different instruments during the recovery phase. Preliminary consensus has already been reached on using the CCA as the building block for both the CAP and the UNDAF.

3 In the interim, country teams should refer to the letter from the Chair of the UNDG to Resident Coordinators on this subject (dated 17 March 1999).
The UNDAF gives renewed impetus to the role of development operations in advancing the core missions of the UN system and promoting the vision and principles of the UN Charter. To this end, it aims for greater impact of UN system cooperation on the development and well-being of people through:

- improved focus and results orientation, identifying where the UN system can make the most difference using its unique strengths as a development partner;
- stronger unity of purpose and team spirit within the UN system;
- increased collaboration through a mix of agency, parallel and joint programming;
- better integration of the normative and operational aspects of development cooperation;
- increased dialogue and stronger partnerships and alliances with other members of the development community such as national and global civil society, the private sector, bilateral donors, the World Bank and other international financial institutions (IFIs), and the European Commission;
- more efficient use of limited resources, based on improved division of labour, rationalisation of resource allocation and streamlining of procedures; and
- improved opportunities for securing increased resources in support of national needs and priorities.

The UNDAF serves as the common frame of reference for the strategy and country programme documents (or other similar instruments), as well as any joint programme documents, used by participating UN system organizations for development cooperation at country level. As a result, it covers all the programmable and operational interventions of these organizations, with some flexibility concerning normative activities of the specialised agencies. In addition, the UNDAF will take account of development concerns arising from crisis and recovery situations.

The substantive issues addressed by the UNDAF are guided, *inter alia*, by the CSN or similar national policy and programme frameworks, and the findings of the CCA. They include:

- National needs and priorities.
- Coordinated follow-up to UN conferences and support for the implementation of conventions and declarations.
- Crosscutting issues such as human rights, food security, environmental sustainability, population, gender equality, poverty eradication, governance, HIV/AIDS and the promotion and protection of children’s rights.
- Regional and sub-regional issues, including specific UN initiatives, of pressing concern to a country.
The UNDAF has the same duration as the harmonised programme cycle of the UN system, which should be synchronised, whenever possible, with the national development planning cycle.

\[1\] UN system-wide guidance on several of these issues has been prepared by the ACC and should be consulted.
The UNDAF consists of five sections (excluding an executive summary), as follows: rationale; goals and objectives; cooperation strategies; follow-up and review; and a programme resources framework. A short description of each of these sections is provided below.

Executive Summary

A short synthesis of the main sections of the UNDAF.

Rationale

A brief explanation of why the particular choices made in the UNDAF - from the broader set of issues identified in the CCA - are likely to: (i) increase the impact of cooperation with the UN system, in response to national needs and priorities; (ii) improve coordinated follow-up to UN conferences and support for the implementation of conventions and declarations; and (iii) secure a key role for the UN system in development cooperation with the country, taking into account past performance.

Goals and Objectives

A statement on the focus and expected results of assistance from the UN system, identified using the principles of the programme approach.

(i) Goals of assistance: major development impacts at the national level attainable over the medium- to long-term \( ^1 \). They should reflect a convergence among priorities in national programme frameworks or strategies (whether explicit or implicit); regional and inter-country considerations; and the global development agenda emerging from UN conferences, conventions and declarations.

(ii) Objectives of assistance: the specific contribution of the UN system to the achievement of the development impacts proposed above, based on comparative advantage, organisational mandates and past experience in the country. Care must be taken to ensure that these objectives are defined in ways that are verifiable \( ^2 \), disaggregated by sex and achievable within the existing capacity of the government and the UN system \( ^3 \).

Cooperation Strategies

Description of how the UN system proposes to achieve the objectives of the UNDAF.

This section details the approach towards:

(i) tackling relevant development problems through, for example, advocacy, policy dialogue, assistance for capacity development, and support for the delivery of essential economic and social services;

(ii) integrating crosscutting concerns in UN system support;

(iii) targeting assistance on specific disadvantaged population groups and/or geographic areas, if applicable;

(iv) increasing collaboration on programming and operational activities within the UN system;

(v) building partnerships with key development actors; and
(vi) identifying critical areas of vulnerability for the purpose of disaster preparedness (including contingency planning) and mitigation, working in collaboration with humanitarian agencies.

Narrative on how the provisions of the UNDAF will be implemented, monitored and reviewed through the country programmes and projects of participating UN system organisations as well as other complementary processes. At least six major issues need to be tackled, as follows:

- preparation of the individual programmes and projects of participating UN system organizations using the UNDAF as a common frame of reference;
- development of parallel and/or joint programmes, based on proposals for collective action contained within the UNDAF;
- expected use of the UNDAF for advocacy, policy dialogue and support for aid coordination;
- expectations and strategies for resource mobilisation;
- identification of mechanisms and tools through which the UN system, the government and other development partners can dialogue on, plan, monitor and review follow-up actions; and
- preparation of a monitoring and evaluation plan for the UNDAF, including indicators for assessing progress towards the achievement of the objectives of the UNDAF.

Presentation on the links among the goals, objectives and cooperation strategies proposed in the UNDAF and the mobilisation and allocation of resources by participating UN system organizations in an indicative framework. Among other things, this section: (a) facilitates result-based monitoring and evaluation of the programming and operational activities in support of UNDAF; and (b) provides a basis for assessment of UN system’s resource allocation and disbursements in light of planned objectives.

The programme resources framework should include a discussion of: (a) how the availability or lack of resources affected the choices made in the UNDAF; and (b) how the indicative resource allocation and mobilisation targets proposed in the UNDAF are consistent with stated goals, objectives and cooperation strategies.

- **Allocation:** The programme resources framework should provide the estimated financial allocation by each participating UN system organization in the context of the goals and objectives of individual UNDAFs (see the resource table in the Annex). These contributions should include both regular and other resources, based on prior resource allocation and projections provided by each organization.

The figures should be presented as orders of magnitude, accurate at the time of drafting, and for indicative purposes only. It should be made clear that resource commitments can only be made in country programme or project documents, according to the procedures and approved mechanisms
of each organization. Participating organizations also remain fully accountable for the use of their resources.

In those cases where resources will be provided in-kind, their equivalent monetary value should be indicated in the resource table. Technical assistance from specialised agencies should be treated similarly, in terms of their equivalent monetary value, taking care, however, not to double count funding provided by other UN system organizations.

- **Mobilisation**: UN funds and programmes have been requested by GA resolution 50/227 and ECOSOC to develop resource mobilisation strategies. Since the UNDAF is expected to identify total resource requirements and gaps, it will be a useful reference point to help the participating UN system organizations to secure additional resources required in support of objectives of cooperation agreed with national partners. This may include funds required to extend any major collaborative initiatives identified within the UNDAF.

Since the initial programme resources framework will contain indicative figures only, it will be necessary to update the resource table annually.

A. Lessons learnt from UN system cooperation in the previous programme cycle.

B. Status of development cooperation in the country (brief summary of who is doing what, including latest information on resource flows).

C. CCA Indicator Framework data.

D. Contingency planning document (where applicable).

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1 These development impacts arise from a combination of factors cutting across sectors and require the sustained efforts of a wide range of partners. For all of these reasons, they are not achieved through support from the UN system alone although UN system organizations can make a valuable contribution towards their attainment.

2 They should aim to meet the SMART criteria, that is, be specific, monitorable, attributable, relevant and trackable.

3 These objectives describe development outcomes achieved through action by several UN system organizations across sectors, thus, summarizing the difference made possible by using the UNDAF rather than simply carrying out separate country programmes and projects. In principle, all of these outcomes should be achievable: (a) using the resources of the UN system, working in collaboration with development partners; and (b) within the time frame of the UNDAF.

4 Participating organizations can use a table similar to the one proposed in the Annex to present their estimated requirements for resource mobilisation.
Preparation of the UNDAF normally takes place in countries which have: (a) completed a CCA; and (b) harmonised the programme cycles of all funds and programmes. In exceptional circumstances, countries that do not meet these conditions may be able to proceed, after consultations between the country team, led by the Resident Coordinator, and Headquarters of participating UN system organizations.

The preparatory process for the UNDAF is designed, implemented and managed at country level by the country team under the overall leadership and guidance of the Resident Coordinator. As an integral part of his/her responsibilities, the RC must seek the full participation of the government in all stages of the process, bearing in mind that the coordination of development cooperation rests with national authorities.

Preparation of the UNDAF involves a process of strategic planning that builds upon the common understanding of development challenges created through the CCA. Specifically, the substance of the UNDAF can be addressed by using the findings of the CCA, in particular, those relating to national needs and priorities; country level follow-up to UN conferences and implementation of conventions and declarations; lessons learnt from development cooperation; and the implications of trends. In addition, broad-based participation in the preparation of the CCA reinforces the team spirit of the UN system and lays the groundwork for partnerships whose potential can be utilised through the UNDAF.

Additional guidance on the preparatory process follows, based on good practices gathered from the pilot phase of the UNDAF:

- Agreement at an early stage on some key issues will be essential for a successful UNDAF process and product. These issues include opportunities for UN system support emerging from the CCA; the potential strategic focus of future cooperation between the UN system and the programme country; broad roles and responsibilities for the preparation of the UNDAF, including external support needs; and tentative terms of reference and expected outputs of any groups/committees/teams that will draft the UNDAF document.

- An UNDAF work plan, which serves as the main reference and management tool for the preparatory process, can be employed as an integral component of the RC Annual Work Plan and the work programmes of each participating organization.

- Consultations with a broad range of development partners on the emerging contents of the UNDAF will be critical for securing a high quality preparatory process and final product. For these reasons, among others, the RC needs to seek early agreement with the government on the purpose, scope and frequency of such consultations.

GA resolution 53/192 notes in this regard “…the importance of closer consultation in the formulation of the United Nations Development Assistance Framework between national Governments, relevant United Nations development agencies, including specialized agencies, and other relevant development partners.” (Concerning the UN system, the resolution also calls for greater involvement of the Regional Commissions.) Furthermore, resolution 53/192 states that “…the United Nations development system should assist national Governments in creating an enabling environment in which the links between national Governments, the United Nations
Main Tasks (Cont.)

development system, civil society, national non-governmental organizations and the private sector that are involved in the development process are strengthened.

- Concerning the finalisation, clearance and distribution of the UNDAF document as agreed by the country team, in addition to comments from the Headquarters of participating UN system organizations, the government’s agreement on the finalised UNDAF is required in order to ensure full national ownership of the process. The details of how this agreement is secured are determined at country level.

The Resident Coordinator will be expected to submit a final version of the UNDAF as agreed by the government and the country team to the UNDG (through the Development Group Office) and Headquarters of UN system organizations. The Resident Coordinator will also report on the preparatory process in the RC Annual Report.

Suggested Mechanisms

Experience from the pilot phase has shown that the mechanisms described below have proven effective at country level. Any decision on their use, however, is made locally.

- An UNDAF Steering Committee or Task Force, reporting to the field-level committee\(^2\), where it exists, can be established to take charge of the day-to-day implementation and monitoring of an UNDAF work plan\(^3\). This group can also be made responsible for coordinating the consolidation of drafts and finalising the UNDAF document itself. The Steering Committee would normally consist of technical/programme staff designated by participating UN system organizations and the government, with attention paid to gender balance.

- Thematic Groups can play a key role in the preparation of the UNDAF. In view of their potential responsibilities, the functions, membership and terms of reference of these groups – for UNDAF formulation and beyond – need to be given careful consideration by the UN country team.

Timeframe

The time required to prepare an UNDAF will vary according to country circumstances. To the extent possible, the process should take no longer than 10-12 weeks provided the CCA has already been prepared. Since participating organizations will formulate their strategy and country programme documents with reference to the UNDAF, they must ensure that it is prepared sufficiently in advance of deadlines for submission to governing bodies.

Financing

The preparation of the UNDAF should not require substantial financial resources. All costs associated with its preparation – with the exception of assistance received from any global support arrangement – have to be borne locally from the budgets of the Resident Coordinator and participating UN system organizations.

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\(^1\) See the role of the Resident Coordinator in ensuring the participation of all members of the RCS in the process, section 1, page 4.

\(^2\) GA resolutions 47/199 and 50/120.

\(^3\) Any such steering committee/task force or similar body is distinct from entities informally referred to as the “Heads of Agencies” or the “Resident Coordinator’s Office.”
The UNDAF will be realised through the country programmes and projects of participating UN system organizations and through their collaborative efforts. There is a wide range of possible follow-up actions. The most important ones are described below.

**DEVELOPMENT AND IMPLEMENTATION OF PROGRAMMES AND PROJECTS OF PARTICIPATING UN SYSTEM ORGANIZATIONS**

The most important challenge upon completion of the UNDAF is to ensure that its provisions are reflected in cooperation between the UN system and the programme country. This task will be carried out through the programming processes of participating UN system organizations, which are led by the government and involve other development partners. These processes must also provide opportunities for inter-agency consultation and involvement.

In terms of **content**, successful follow-up requires a number of measures, as described below.

- The selection and definition of goals, objectives and intervention strategies as well as the pattern of resource allocation in the programmes and projects of individual organizations must be consistent with the UNDAF: The texts of individual country programmes and project documents will, therefore, specify how the UNDAF has been addressed by UN system organizations.

- Proposals within the UNDAF for any parallel and/or joint programming initiatives should be followed up and incorporated into programmes or projects. This is essential for achieving one of the principal objectives of the UNDAF, which is to enhance the effectiveness of the UN system through collaborative action.

- Whether cooperation is undertaken individually, in parallel or jointly, the UN system, working in collaboration with the government, needs to employ the programme approach and national execution as preferred modalities, guided by an assessment of national capacity to apply these modalities. Where capacity building is required, concerted efforts need to be made by participating UN system organizations to address this constraint as a matter of priority.

In terms of **process**:

- thematic groups may be used to solicit the inputs and participation of UN system organizations and development partners;

- prior to submission of individual country programmes to governing bodies, the UN country team must undertake a country-level review of proposed activities to ensure consistency with the goals and objectives of the UNDAF; where required by organisational procedures and structures or in the case of organizations not represented locally, this will be achieved through consultation with the Headquarters and/or regional offices of individual organizations; and,

- finally, the UNDAF will be brought to the attention of governing bodies in connection with the submission of individual country programmes or other similar documents.
ADVOCACY AND POLICY DIALOGUE

Using the UNDAF as a platform, advocacy and policy dialogue can focus on:

- the evolving country situation and its implications for development cooperation, especially the role of the UN system;
- better integration of UN system cooperation with national policies, plans and programmes, facilitated through application of the programme approach;
- support from the UN system for the follow-up to the global development agenda emerging from UN conferences, conventions and declarations;
- agreement on and definition of the UN system’s participation in sector investment programmes (SIPs) and sector-wide approaches (SWAPs); and
- clearer communication to bilateral, multilateral, civil society, private sector and other partners on the UN system's special role and impact within development cooperation with the country.

SUPPORT TO GOVERNMENT FOR AID COORDINATION

The preparatory processes for the CCA and UNDAF can generate value-added in ways that enable the UN system to better support aid coordination, where such assistance is requested by the government. This value-added can come from the development of stronger partnerships, increased networking among development organizations, greater exchange of information and expertise and more focused and collaborative UN system participation in development cooperation.

UN system organizations can build upon these assets to support the government in aid coordination on an ongoing basis through, for instance, the use of thematic groups and organisation of multi-donor missions and joint evaluations. Reviews of the UNDAF, as part of the regular processes of programme reviews and resident coordinator system work programme/reporting procedures, can offer additional opportunities for bringing together a wide range of partners to discuss major development issues and future donor support to the country.

RESOURCE MOBILISATION

The follow-up to the UNDAF provides an opportunity to secure additional resources in support of national needs and priorities. These resources could be secured through improved UN system support to the government’s participation in Consultative Groups and Roundtable mechanisms as well as through individual and joint fund-raising efforts.

STREAMLINING AND SIMPLIFICATION OF PROCEDURES

General Assembly resolution 53/192 calls for “further simplification, harmonization and rationalization of procedures for operational activities of the United Nations development system at the field level… in consultation with national Governments”. It also urges “… the funds and programmes to put in place specific measures and timetables to advance the simplification and harmonization of procedures, and to report on these to their respective governing bodies…..”

UNDAF should ultimately contribute to this streamlining of procedures by simplifying the requirements of individual organizations for programming and operations. This
result will, however, be obtained only when existing rules, regulations and procedures are adequately reformed by UN system organizations in favour of simplification and harmonisation at the system level. While progress is expected in this area in the immediate future, country teams are invited to look for efficient ways to simplify and harmonise their programming and operational procedures, within the context of existing rules and procedures, in order to provide a more effective system-wide response to local requirements and conditions.

**ESTABLISHMENT OF FOLLOW-UP ARRANGEMENTS**

Successful follow-up to the preparation of the UNDAF will usually require a mechanism for sustained dialogue, planning and review among the government, the UN system and other development partners. Such mechanisms – for example, joint committees, working groups and commissions – should be based, whenever possible, on arrangements that have already been made by the RCS in the country.

Thematic groups may be a potentially important mechanism through which the UN system – in collaboration with development partners – can plan, monitor and carry out initiatives proposed in the UNDAF, including proposals for parallel and joint programming. They may also be tasked to ascertain that consistency with the UNDAF is maintained as new programmes and projects are developed by participating UN system organizations. In view of their potential, it may be useful to clarify the role, functions and membership of thematic groups in the follow-up phase of the UNDAF, except in cases where the group’s activities are governed by legislation (for example, with regard to HIV/AIDS).

UN system organizations participating in the UNDAF, led by the Resident Coordinator, are responsible for the monitoring and evaluation of the UNDAF in close partnership with the government. These guidelines address the basic principles and requirements that apply to all countries where UNDAFs exist, leaving the determination of specific modalities and arrangements to the country level.

**BASIC PRINCIPLES FOR MONITORING AND EVALUATION OF THE UNDAF**

Monitoring and evaluation activities should focus on:

- the extent to which the UNDAF has fulfilled its basic purpose, as stated by the Secretary-General in Action 10 a), in General Assembly resolution 53/192 and further elaborated in section 2 of these Guidelines;
- the extent of progress towards the goals and objectives of the UNDAF and lessons learnt;
- progress towards more effective partnerships within the UN system and with the government and other development partners;
- progress in harmonisation and streamlining of programming and operational procedures and processes, to avoid multiple requirements and the imposition of an unnecessary burden on both the government and participating UN system organizations.

**MONITORING**

Monitoring of the UNDAF is crucial to ensure that it remains relevant to national development needs and priorities and continues to be an effective tool for enhanced UN system collaboration. In light of this, regular reviews should be conducted to
assess the progress of the UNDAF. Monitoring will also help to identify issues that need to be addressed by forthcoming evaluations.

To the extent possible and in order to reduce the burden on the UN system, partners and Governments, monitoring should be carried out as an integral part of the existing procedures and processes of participating UN system organizations. In particular, the following provide natural entry points for such review:

- *The preparation and review of the Work Plan and Annual Report of the Resident Coordinator.* Based on the findings of the annual review of country programmes or projects conducted by participating organizations (including findings on their contribution to meeting UNDAF objectives), the country team, led by the RC, and collaborating closely with the government and other partners, will normally assess the progress of UNDAF during the course of the preceding year, and present the outcome of this exercise through the Annual Report of the RC.

- *The mid-term reviews of country programmes of cooperation.* The country team is expected to determine the most suitable approach to, and participation in, the mid-term review of the UNDAF. As participating organizations conduct the mid-term reviews of their programmes of cooperation, either individually or jointly, they should aim to analyse the relevance of the UNDAF and CCA, and assess progress towards the objectives of the UNDAF. The country team, led by the RC, should use this information to assess and report on the UNDAF through the Annual Report of the RC.

**EVALUATION**

At the end of the UNDAF cycle, participating organizations, in consultation with the government, organize an evaluation of the UNDAF. Its primary purpose is to:

- examine the extent to which it has met its basic purpose as an instrument, as stated by the Secretary-General in action 10 a), General Assembly resolution 53/192 and as further elaborated in these Guidelines (section 2).

- assess the achievement of all or selected country-specific objectives of individual UNDAFs and take stock of the lessons learnt, including well-validated practices that could be adopted for the subsequent UNDAF and similar exercises.

Since the UNDAF emphasises the value of partnerships, it should be jointly evaluated. Participating UN system organizations, in consultation with the government, will determine the specific themes/topics to be covered. For this purpose, terms of reference, including the focus of evaluation, will be elaborated and agreed upon at country level.

Participating UN system organizations will however, as appropriate and necessary, continue to conduct evaluations of general and specific aspects of their country programmes and projects, including their contribution to meeting the objectives of the UNDAF. The results of these evaluations will contribute to the evaluation of the UNDAF.

1 Common terminology on parallel and joint programming has been adopted by the UNDG. Parallel programming is seen as a process through which two or more UN entities design separate
programmes, but these contribute to the achievement of a common objective identified through a collaborative assessment process, within a concerted timeframe. Joint programming takes place when UN entities jointly carry out assessments of problems and design interventions consisting of shared objectives, actions, timeframes, resource requirements and clear delineation of responsibilities. (Reference: UNDG, “Definitions of Processes and Products for Enhancing UNDG Programme Collaboration”, shared with all RCs under a joint letter from the UNDG Executive Committee members dated 2 March 1999).


3 Ibid, section on National Execution.

4 This is a function originally envisaged to be carried out by the field-level committee, as stated in GA resolutions 47/199, para. 40-41, and 50/120, para. 41.

5 A basis for further work will be the UN system-wide guidelines issued by the Consultative Committee on Operational Questions (CCPOQ) on the programme approach, national execution and monitoring and evaluation.

6 The combined consideration of these elements will allow the assessment of the value added of UNDAF.
Table for the Programme Resources Framework (millions of USD)

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<tr>
<th>PARTICIPATING ORGANIZATION</th>
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<th>OBJECTIVE III</th>
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¹ Cost-sharing from development partners including the Bretton Woods Institutions (BWIs). Funding from the BWIs of separate but related programmes will not be included in this table but, if relevant, will be cited in the UNDAF.