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## UNDP-ASSOCIATED FUNDS AND PROGRAMMES

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## I. INTRODUCTION

1. The present document is intended as a follow-up to discussions held at the annual session 1999, at which an interim report on the implications of the funding strategy for UNDP-associated funds and programmes (DP/1999/20) was presented. The document provides an overview of results-based management (RBM) strategies in the United Nations Capital Development Fund (UNCDF), the United Nations Development Fund for Women (UNIFEM) and the United Nations Volunteers (UNV) Programme highlighting both the differences and similarities being pursued and the relevant reporting requirements. It is also intended to serve as a useful basis for discussions among UNDP and the associated funds and programmes on complementary reporting.
2. The document also presents reports on results for UNIFEM and UNV together with the UNCDF strategic results framework (SRF) which is submitted for the approval of the Executive Board. The report on results for UNIFEM is based on its Strategy and Business Plan, 1997-1999, while the UNV report is based to a large extent on the reporting framework of the UNDP SRF. The approval of the UNCDF SRF was postponed until now in order to take fully into account the decision 99/22, in which the Board welcomed the positive assessment of the fund's work in the external evaluation of its activities since 1995 (DP/1999/37).
3. The Office to Combat Desertification and Drought (UNSO) is not covered in the present document since its results have been fully integrated into the UNDP results-oriented annual report (ROAR). This harmonized, integrated approach to results reporting was made possible by the fact that UNSO followed both the UNDP RBM methodology and timetable, which allowed for its results to be factored into those of the UNDP global programme and thus ultimately the UNDP ROAR.

### B. Common approach with individual identity

4. The overall approach taken by UNDP, the funds and programmes is based on the concept of managing for results. The challenge and rationale of this concept is to translate information on performance relating to objectives, indicators and benchmarks into management decisions as opposed to simply using this information for reporting purposes.
5. While UNDP, the funds and programmes pursue a common overall approach on the fundamental tenets of managing for results, an overview of the funds and programmes also reveals a number of slightly different methodological issues and approaches given the different nature of their respective mandates and activities.
6. First of all, as in UNDP, the first years of RBM in UNCDF, UNIFEM and UNV have involved major training exercises with staff introduced to new concepts, instruments and reporting requirements. It is clear that this is only the first wave of several major training efforts that need to be undertaken in order to ensure that RBM becomes an inherent part of the mindset and business processes.
7. In implementing managing for results, the funds and programmes have also chosen to strike a balance between bottom-up and top-down approaches. In other words, while corporate templates were formulated at the headquarters level, encompassing the respective areas of activity, the information was filled in by country offices themselves, particularly in terms of objectives and indicators/benchmarks for monitoring purposes.
8. In all cases, RBM has also involved sharpening the strategic focus of results within key concentration areas that best capture the essence of individual mandates. UNCDF simplified the goals and sub-goals in its SRF following the discussions of the Executive Board at its third session 1999 and the approval of Action Plan 2000. UNIFEM identified results for each of its sub-goals in its Strategy and Business Plan 1997-1999, and has revised these and the indicators for its Strategy and Business Plan, 2000-2003. To a degree, UNV was covered by the revisions to the UNDP SRF, which took place within the context of the formulation of the MYFF.

## C. Methodology

### 1. Identifying results

9. A number of differing approaches are perceptible when it comes to identifying results. UNCDF follows a methodology identical to that of UNDP. Results are divided into two groups: outcomes, which refer to real-world impact, and outputs, which are direct products of UNCDF initiatives. The latter contribute to an *outcome* that has been established in partnership with others. Outcomes and outputs are identified under corporate goals, sub-goals and strategic areas of intervention. The system also hinges on simple, clear indicators to measure UNCDF performance in terms of outcomes and outputs.
10. UNIFEM also distinguishes between operational results and developmental results, which are akin to the concept of, respectively, outputs and outcomes as used by UNDP and UNCDF. However, UNIFEM has incorporated the notion of time in the tracking of results, given that the social change associated with this Fund's gender initiatives requires a long-term perspective. As such, it links *outputs* to short-term development results; outcomes to medium-term development results; and impact to longer-term development results while recognizing that time is not always the factor that determines the nature of the result. UNIFEM places particular stress and emphasis on reporting on development results.
11. For UNV, measuring the results of programmes that are managed and funded by others represents a very special challenge. In this regard, UNV is currently working on developing an institutional mechanism for tracking the individual results of volunteers.
12. Situational indicators are another important tool for improving the assessment of developmental impact. UNCDF has developed clear-cut situational indicators for each sub-goal. In turn, UNIFEM has developed a preliminary menu of indicators for its Strategy and Business Plan that takes into account its capacity to collect and analyse concrete data on progress towards objectives. UNIFEM is in the process of consolidating and revising these indicators for each programme area and plans to have a set of indicators that encompass programme priorities in all the regions in which it works by the end of 2000.

### 2. Measuring progress

13. The funds and programmes also reveal slightly different approaches when it comes to measuring performance and progress. UNCDF progress reporting will for the most part refer to "a percentage of projects" with positive progress equal to 75 per cent of the respective annual target of a given initiative. Results monitoring is complemented by hard project data in the form of annual targets and objectives that are then taken into account in the final assessment. As in UNCDF, UNIFEM reporting is based on tracking project-related outcomes, outputs and impact on a semi-annual basis that are then synthesized to represent corporate results.
14. While UNCDF, UNIFEM and UNV will continue to report independently to the Executive Board on a biannual basis, the Board may wish to address the periodicity of reporting results.

## D. Results frameworks

15. The emphasis among the funds and programmes has been on establishing multi-year frameworks which embody a time-frame for impact and which require active planning and improved strategic alignment of human and financial resources.
16. UNIFEM formulated its second Strategy and Business Plan, 2000-2003, during 1999, which was approved by the Executive Board at its second regular session 2000. The overarching UNIFEM goal of promoting systemic change to increase options and opportunities for women's economic and political empowerment, thus bringing about

gender equality, is supported by five strategic objectives: increasing options, particularly for poor women; strengthening the United Nations capacity to support women's empowerment and gender mainstreaming; strengthening the Fund's effectiveness by becoming a learning organization; improving financial and programme management; and a more diversified resource base.

17. The UNCDF SRF is premised on a single overarching goal: to help to reduce poverty through local development programmes and micro-finance operations. There are four sub-goals covering access to public goods and services, access to natural resources, enhanced productivity through local management of financial resources and the promotion of a financially sound organization.
18. The issue of a UNV SRF also needs to be addressed. It should be noted that most UNV results can be reported within the framework of the UNDP SRF. However, some of the results associated with activities managed by other agencies such as the Office of the United Nations High Commission for Refugees, the World Food Programme or the United Nations Children's Fund will require a modified SRF with additional goals and/or sub-goals.

#### E. Challenges and future directions

19. The main systemic challenge facing both UNDP and the associated funds and programmes is consolidating RBM through improvements in planning, management instruments and monitoring in order to improve results delivery. This will take time and is tied to a continuing cultural shift in how these organizations manage their business.
20. However, in reporting terms, and given the above, there are three concrete, inter-related challenges facing UNDP and its associated funds and programmes, namely:
  - (a) To develop a common understanding on the nature and identification of results;
  - (b) To develop a complementary reporting system that highlights the interconnections between UNDP and the associated funds and programmes;
  - (c) To address the specificities of UNV in terms of results and reporting on progress, as explained in paragraph 12.
21. The Administrator will ensure that UNDP and the associated funds and programmes continue to engage in dialogue to exchange experiences and streamline approaches to results-based management. He intends to report on the progress in this regard in upcoming ROARs.

## II. UNITED NATIONS CAPITAL DEVELOPMENT FUND:

### STRATEGIC RESULTS FRAMEWORK, 2000–2003

#### Introduction

22. In 1999, the United Nations Capital Development Fund (UNCDF) was evaluated by a team of external experts that reviewed the Fund's policies, organization, capacities and operations. The report of the team was presented to the Executive Board at its third regular session 1999 and contains 14 recommendations, 10 of which are addressed to the Fund, three to UNDP and one to the donors of UNCDF. In its decision 99/22, the Executive Board welcomed the positive assessment of the Fund's work in the evaluation of its activities since 1995, noted specific recommendations and called on the Fund to implement them in cooperation with all other relevant actors.
23. Following up on decision 99/22, UNCDF prepared the Action Plan 2000, which sets out the steps through which UNCDF is responding to the evaluators' recommendations. As such, Action Plan 2000 is an internal management tool geared towards ensuring staff participation and ownership in translating the Plan into concrete, time-bound and results-based actions.
24. The evaluators' recommendations were also taken into account in the preparation of the UNCDF strategic results framework which follows these introductory remarks.

#### A. UNCDF priorities

25. The UNCDF goal is to help to reduce poverty through local development programmes and microfinance operations. Specifically, it improves access by the poor to resources and decisions essential to their empowerment. The Fund has two pillars: local governance and microfinance. In both types of activity, it promotes institutional development by providing seed capital and technical expertise to local organizations in the public, community and private spheres. Concrete results under these two pillars take the form of small-scale economic and social initiatives and improved access by the rural poor to means of production. UNCDF promotes the adoption of innovative approaches to institutional development, emphasizing wider replication by Governments and donors. The Fund also aims to influence national policies in favour of improved local governance, decentralization and enabling environments for microfinance.
26. UNCDF is characterized by its distinctive model of local governance, which is based on a partnership with programme country governments, local authorities, communities, civil society and the private sector. The Fund's signature is seen in its willingness to innovate and to take calculated risks in order to catalyse change, promote institutional development and build capacities at the subnational level. The Fund has developed a flexible new tool, the Local Development Programme (LDP), which enables it to support local development, natural resource management and decentralized planning more coherently. Lessons learned and best practice for programming in eco-development, food security, roads and related areas have been incorporated into the LDP.
27. In microfinance, UNCDF concentrates on building effective microfinance institutions that have transparent track records and solid institutional and financial performance. Meeting the demand for microfinance services from poor clients, particularly women, requires dynamic organizations with the vision, commitment and capacity to develop sustainable microfinance operations. This is especially important in rural Africa and in difficult areas in the poorest countries, where UNCDF operates. UNCDF focuses on the specific market niche of start-up and "young and promising" institutions, including those institutions that aim to develop new products and services. Through the global mandate of its Special Unit for Microfinance (SUM), UNCDF disseminates best practice and provides technical services to UNDP, its country offices, and donor agencies. For the purposes of the UNCDF SRF, the ROAR will report only on UNCDF-funded microfinance projects. Microstart projects, funded by UNDP, will be reported on within the UNDP SRF.

## B. Working in Partnership

28. The Fund seeks to maximize its comparative advantages by leaving others to do what they do better and concentrating on what it can do best. The close partnerships between UNCDF and local authorities, microfinance providers, and civil society are a main factor in improved project performance and results. To increase the replication of its pilot projects, UNCDF works in partnership with governments, multi- and bi-lateral organizations, international financial institutions and members of the UNDP group. Equally important are the Fund's policy-based partnerships with UNDP and governments in order to achieve greater impact on national policies.
29. UNCDF continues to work closely with UNDP, its main partner both at headquarters and in the field. Partnerships have been developed with the regional Bureaux and substantive divisions within UNDP, including the Management Development and Governance Division and the Evaluation Office. UNCDF works with UNDP to provide lessons learned and best practice on issues relating to local governance and microfinance that are based on programmes and projects at the local level. In the field, UNDP is the main partner of UNCDF for joint programming and evaluation, allowing UNCDF to tap into the comparative advantages of UNDP vis-à-vis central governments, for example.
30. While the partnership column in the SRF remains generic, UNCDF will provide much greater detail on partnerships for the ROAR. This is a key area for UNCDF both at the corporate level as well as at the programme and project level.

## C. Methodology

31. The methodology used in preparing the SRF 2000–2003 included training staff and providing documentation, including the SRF guidelines and the framework. Most staff had been familiar with this approach since September 1998, when all new UNCDF project documents were required to include a logical framework. Initial goals, sub-goals and strategic areas of support (SAS) were provided to programme officers in the field, who were then requested to identify the outcomes and results together with indicators, and the partnerships associated with those projects. While UNCDF works mainly in local governance and microfinance, there are still some older, ongoing projects that do not reflect the current UNCDF priorities. Incorporating these projects into the SRF was not always an easy task. However, all UNCDF programme officers responded and these inputs were then reviewed at headquarters. It should be noted that UNCDF does not have a separate sub-goal for gender-related issues. Rather, UNCDF incorporates gender issues into all of its sub-goals and gender-disaggregated data is collected for all relevant indicators.
32. In preparing the SRF, UNCDF was guided by its mandate as well as the need to:
- have a clear definition of the corporate goal, sub-goals and strategic areas of support;
  - limit the number of goals and sub-goals to reflect the UNCDF's focus better;
  - closely reflect ongoing programmes and projects so as not to overburden the field with reporting demands;
  - carefully select situational indicators that reflect the broader development changes in key UNCDF areas of programming, and to determine outcome indicators that are representative of UNCDF performance while taking into account the issue of attribution<sup>1</sup>.

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<sup>1</sup> As with the logical framework process, programmes and projects are held directly responsible for attaining the results or outputs while successful completion of the objectives can depend on factors outside the control of the projects. The same holds true for the results and outcomes in the SRF. UNCDF is responsible for obtaining results that should then contribute towards achieving the outcomes.

#### D. Reporting

33. Each programme and project will track their performance based on annual targets or milestones set in their work plans and shared with UNCDF headquarters. Where possible, these targets will cover the entire timeframe of the SRF. As programmes and projects close down or are approved, targets will be modified. The majority of indicators refer to a "percentage of projects". Positive reporting regarding this type of indicator will mean that a project has reached at least 75 per cent of its annual target. UNCDF will also request programmes and projects to give exact numbers so that readers of the report will better grasp the scope of the performance. Situational indicators will be tracked by using the most reliable statistical information available locally.

#### E. Monitoring and evaluation

34. The SRF allows UNCDF and its partners to monitor its performance in programming and management. However, UNCDF combines this tool with independent external evaluations to feed back into programme operations and to refine policies. All UNCDF-funded projects over \$1 million have mid-term and final evaluations and certain projects are also selected for ex-post evaluations. UNCDF also undertakes external reviews of its instruments and is expected to have an impact evaluation in the year 2002, in accordance with paragraph 94 Executive Board decision 99/22. In addition to evaluation, certain UNCDF-funded projects undertake action research, the results of which, while not being tracked in the SRF, will be presented in the ROAR when relevant.



**United Nations Capital Development Fund**

**Strategic results framework 2000-2003**

**GOAL:** To help to reduce poverty through local development programmes and microfinance operations.

**Situational indicator (SI):** Poverty head count ratio (percentage of population with an income below \$1 per day)

**SUB-GOAL 1:** To increase sustainable access of the poor to public goods and services through good local governance.

- SI:** Percentage of the population with increased access to public goods and services
- SI:** Primary school net enrolment ratio
- SI:** Infant mortality rate
- SI:** Percentage of population with access to safe water and sanitation

**SUB-GOAL 2:** To increase access of the poor, especially women, to financial services on a sustainable basis through strengthened microfinance institutions and an enabling environment.

- SI:** Percentage of population with access to microfinance services
- SI:** Percentage of economically active women
- SI:** Percentage of population with an increase in income/assets<sup>2</sup>

**SUB-GOAL 3:** To improve sustainable livelihoods of the poor through enhanced productivity, as well as increased access to, and local management of, natural resources.

- SI:** Percentage of agricultural land affected by degradation
- SI:** Percentage of population with access to water for irrigation
- SI:** Percentage of pastoral populations with subsistence herds

**SUB-GOAL 4:** To promote a financially sound organization that develops and implements quality programming in local governance and microfinance.

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<sup>2</sup> In some countries, this indicator may not be readily available.

## **SUB-GOAL 1**

To increase sustainable access of the poor to basic infrastructure and public services through good local governance<sup>3</sup>.

### **STRATEGIC AREA OF SUPPORT 1.1**

Promote a participatory development planning process at the local level.

### **STRATEGIC AREA OF SUPPORT 1.2**

Promote sound and sustainable financing and financial management practices at the local level.

### **STRATEGIC AREA OF SUPPORT 1.3**

Develop local capacity to deliver and maintain basic infrastructure and public services on a sustainable basis.

### **STRATEGIC AREA OF SUPPORT 1.4**

Advocate for national policies supporting decentralization and for replication of pilot programmes.

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<sup>3</sup> Principles of good governance include accountability, transparency and participation in planning and decision-making.

**SAS 1.1 Promote a participatory development planning process at the local level.**

<b>OUTCOMES</b>	<b>OUTCOME INDICATORS</b>	<b>SELECTED EXPECTED RESULTS</b>	<b>PARTNERSHIPS</b>
1.1.1 Improved capacity of local communities <sup>4</sup> and civil society organizations to participate in the planning of local development.	<ul style="list-style-type: none"> <li>▪ Percentage of projects where communities use participatory approaches for assessing needs.</li> <li>▪ Percentage of projects with an increase in women's participation in community needs assessments.</li> <li>▪ Percentage of local communities regularly preparing annual investment plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Local development committees are established/elected and functional.</li> <li>• Community members are sensitized on the need for increased participation of women and other marginalized groups in the local development planning process.</li> <li>• Womens groups are established and functional.</li> <li>• Local Development Committee members are trained in participatory planning.</li> <li>• Womens group members are trained in participatory planning.</li> <li>• Community LDCs hold participatory needs assessment and prioritization workshops.</li> <li>• Community Development Plans<sup>5</sup> (CDPs) are developed at community level based on participatory needs assessments.</li> <li>• CDPs are submitted to the local authorities for approval and funding.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> National and international NGOs</li> <li><input type="checkbox"/> Local authorities</li> <li><input type="checkbox"/> Civil society</li> <li><input type="checkbox"/> Community-based organizations</li> <li><input type="checkbox"/> UNDP</li> <li><input type="checkbox"/> UN agencies</li> <li><input type="checkbox"/> Donors</li> </ul>
<b>OUTCOMES</b>	<b>OUTCOME INDICATORS</b>	<b>SELECTED EXPECTED RESULTS</b>	<b>PARTNERSHIPS</b>
1.1.2 Participatory planning processes are institutionalized at the local level.	<ul style="list-style-type: none"> <li>▪ Percentage of projects where local authorities have approved local development plans meeting minimum quality standards.</li> <li>▪ Percentage of projects with local development plans reflecting community<sup>6</sup> needs assessments.</li> </ul>	<ul style="list-style-type: none"> <li>• Local authorities foster increased community participation in the local development planning process.</li> <li>• Local authorities are trained in participatory planning methodologies and tools.</li> <li>• Local officials are trained in gender issues.</li> <li>• Innovative procedures and systems for participatory decentralized planning are tested</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Technical deconcentrated government services</li> <li><input type="checkbox"/> Subnational government entities</li> <li><input type="checkbox"/> National rural development offices</li> <li><input type="checkbox"/> Village development</li> </ul>

<sup>4</sup> "Community" refers to the lowest level to which power has been devolved to plan activities and expend budgeted funds to carry them out.

<sup>5</sup> It should be noted that not all countries receiving UNCDF support use the Community Development Plan tool.

<sup>6</sup> Refers to all community members, including women, youth and other marginalized groups.

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
	<ul style="list-style-type: none"> <li>▪ Percentage of projects with women representatives participating in the preparation of local development plans.</li> </ul>	<p>and developed by local authorities.</p> <ul style="list-style-type: none"> <li>• Local authorities define and apply transparent investment selection criteria.</li> <li>• District/regional development plans that integrate local development plans are developed.</li> </ul>	<p>committees</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Community-based organizations</li> <li><input type="checkbox"/> UNDP</li> <li><input type="checkbox"/> Bilateral organizations</li> <li><input type="checkbox"/> International NGOs</li> <li><input type="checkbox"/> Multilateral organizations</li> </ul>

**SAS 1.2 Promote sound and sustainable financing and financial management practices at the local level.**

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
<p><b>1.2.1 Financing mechanisms based on principles of good governance are institutionalized at the local level.</b></p>	<ul style="list-style-type: none"> <li>▪ Percentage of projects where audit reports show an improved compliance of the local authorities financial management and accounting procedures with national standards.</li> <li>▪ Percentage of projects with local communities having access to public spending records.</li> <li>▪ Percentage of projects with local communities maintaining financial records on micro-project final costs.</li> </ul>	<ul style="list-style-type: none"> <li>• Local authorities are trained in accounting, budgeting and financial management.</li> <li>• Decentralized financing and accountability systems and manuals are developed and/or upgraded.</li> <li>• Improved resource allocation procedures are applied by local authorities.</li> <li>• Local communities<sup>7</sup> are sensitized on the need to maintain financial records on micro-projects final costs, and trained on how to do so.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> National and subnational authorities</li> <li><input type="checkbox"/> Village development committees</li> <li><input type="checkbox"/> Community-based organizations</li> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Bilateral organizations</li> <li><input type="checkbox"/> Multilateral organizations</li> <li><input type="checkbox"/> UNDP</li> <li><input type="checkbox"/> Other donors supporting decentralization</li> </ul>

<sup>7</sup> Includes village-based development committees.

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
1.2.2 Local authorities have improved access to sustainable funding sources.	<ul style="list-style-type: none"> <li>▪ Percentage of projects with local authorities having access to sustainable sources of funds for local development plans after UNCDF support ends.</li> <li>▪ Percentage of projects with an increased replacement rate of UNCDF funds by alternative external sources (from central government or other donors).</li> <li>▪ Percentage of projects with improved local revenue collection rates.</li> </ul>	<ul style="list-style-type: none"> <li>• Local authorities are trained in resource mobilization and local revenue collection.</li> <li>• Local revenue sources are diversified.</li> <li>• Local authorities develop new/alternative arrangements for a more efficient and cost-effective process for local revenue collection.</li> <li>• Local communities mobilize their own resources for investment in the community-level infrastructure.</li> <li>• Best practices and lessons learnt on improved systems/arrangements for local revenue collection are disseminated.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Government</li> <li><input type="checkbox"/> Provincial governments</li> <li><input type="checkbox"/> Communal councils</li> <li><input type="checkbox"/> UNDP</li> <li><input type="checkbox"/> Bilateral organizations</li> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Other donors involved in decentralization</li> </ul>

**SAS 1.3 Develop local capacity to deliver and maintain basic infrastructure and public services on a sustainable basis.**

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
1.3.1 Increased local capacity <sup>8</sup> to deliver basic infrastructure and public services.	<ul style="list-style-type: none"> <li>▪ Percentage of projects with an increase, at community level, in the number of basic infrastructure and public services.</li> <li>▪ Percentage of projects with contracts for micro-projects completed within 125 per cent of planned budget and completion time.</li> <li>▪ Percentage of projects with micro-projects positively assessed for quality.</li> </ul>	<ul style="list-style-type: none"> <li>• Local authorities are trained in procurement and contract management.</li> <li>• Local authorities are trained in monitoring, supervision and quality control of micro-projects construction.</li> <li>• Local private contractors are trained in tendering, preparation of bills of quantity, technical design and bidding.</li> <li>• Local private contractors are trained to produce quality construction works.</li> <li>• Community members are trained to monitor and evaluate construction works progress and quality.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Technical deconcentrated government services</li> <li><input type="checkbox"/> Subnational authorities</li> <li><input type="checkbox"/> Development committees</li> <li><input type="checkbox"/> Community-based organizations</li> <li><input type="checkbox"/> Bilateral organizations</li> <li><input type="checkbox"/> UNDP</li> <li><input type="checkbox"/> Multilateral organizations</li> <li><input type="checkbox"/> National and international NGOs</li> </ul>

<sup>8</sup> Includes local communities, local authorities and private contractors.

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
	<ul style="list-style-type: none"> <li>▪ Percentage of projects with service and infrastructure users who are satisfied with the relevance, quality and access cost of the service/ infrastructure.</li> </ul>	<ul style="list-style-type: none"> <li>• Transparent processes are applied by local authorities for the selection and contracting of private contractors.</li> <li>• Participatory monitoring and evaluation workshops are held with the participation of local officials, private contractors and community members.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Local consulting firms</li> <li><input type="checkbox"/> Private contractors</li> </ul>
<p><b>1.3.2 Increased local capacity to maintain basic infrastructure and public services.</b></p>	<ul style="list-style-type: none"> <li>▪ Percentage of projects with physical infrastructure meeting technical standards of maintenance after three years of completion<sup>9</sup>.</li> <li>▪ Percentage of micro-projects with operation and maintenance plans/budgets.</li> </ul>	<ul style="list-style-type: none"> <li>• Local authorities are trained in public infrastructure operation and maintenance.</li> <li>• Local private contractors are trained in public infrastructure operation and maintenance.</li> <li>• Users Groups Management Committees are created and trained in the operation and maintenance of public infrastructure.</li> <li>• Operation, maintenance and replacement costs for public infrastructure are budgeted by local authorities.</li> <li>• Local communities mobilize resources (in cash or in kind) for the operation, maintenance and replacement of public infrastructure.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Technical deconcentrated government services</li> <li><input type="checkbox"/> Subnational authorities</li> <li><input type="checkbox"/> Development committees</li> <li><input type="checkbox"/> Community-based organizations</li> <li><input type="checkbox"/> National and international NGOs</li> <li><input type="checkbox"/> Local consulting firms</li> <li><input type="checkbox"/> Private contractors</li> </ul>
OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
<p><b>1.3.3 Local communities are empowered to hold local authorities accountable for the delivery of basic infrastructure and public services.</b></p>	<ul style="list-style-type: none"> <li>▪ Percentage of projects showing that local communities are satisfied with public access to information relating to funds allocation, procurement and contract-awarding procedures, and implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• Local communities maintain and publish financial records on micro-projects final costs.</li> <li>• Local authorities consult local communities for the preparation of detailed micro-project proposals.</li> <li>• Local communities are aware of their right to information and how to act on it.</li> <li>• Local authorities make public details of plans, budgets and expenditures.</li> </ul>	<ul style="list-style-type: none"> <li>▪ NGOs</li> <li>▪ CSOs</li> <li>▪ Local authorities</li> <li>▪ Community groups</li> </ul>

<sup>9</sup> This indicator will be measured by projects where feasible or through final and/or ex-post evaluations.

SAS 1.4 Advocate for national policies supporting decentralization, and for replication<sup>10</sup> of pilot programmes.

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
<p>1.4.1 Improved national policy and regulatory frameworks for decentralization and strengthened local government.</p>	<ul style="list-style-type: none"> <li>• Regulatory frameworks for increased participation of the local development committees and other community-based organizations in the local planning process are in place and functional.</li> <li>• The national legal and statutory framework on decentralization is amended/updated based on the UNCDF experience at the local level.</li> </ul>	<ul style="list-style-type: none"> <li>• Best practices and lessons learned on innovative procedures and systems for decentralized planning are disseminated nationally (through workshops, seminars, publications, etc.).</li> <li>• Specific studies on improved regulatory frameworks for decentralization are undertaken.</li> <li>• Local authorities are trained/updated on local governance issues.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Government</li> <li><input type="checkbox"/> Provincial and district authorities</li> <li><input type="checkbox"/> Village development committees</li> <li><input type="checkbox"/> UNDP</li> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Bilateral organizations</li> </ul>
OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
<p>1.4.2 Best practices of UNCDF pilot projects are replicated by other donors and central governments.</p>	<ul style="list-style-type: none"> <li>▪ Percentage of projects being replicated by other donors.</li> <li>▪ Percentage of countries where UNCDF pilot projects are being replicated by the central government.</li> </ul>	<ul style="list-style-type: none"> <li>• Replication partners are identified at the project- identification phase.</li> <li>• Agreements are established with other donors for joint programming.</li> <li>• Co-funding agreements are established with other donors for joint implementation.</li> <li>• Government takes on UNCDF approach in other geographical areas.</li> <li>• Other donors scale up UNCDF pilot projects.</li> <li>• Other donors adopt UNCDF tested mechanisms within their own projects/programmes.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Government</li> <li><input type="checkbox"/> Provincial and district authorities</li> <li><input type="checkbox"/> Village development committees.</li> <li><input type="checkbox"/> UNDP</li> <li><input type="checkbox"/> Bilateral organizations</li> <li><input type="checkbox"/> Multilateral organizations</li> <li><input type="checkbox"/> Other donors supporting decentralization</li> </ul>

<sup>10</sup> Replication is defined as a UNCDF pilot project that has been upscaled or duplicated by another donor and/or the Government.

## SUB-GOAL 2

To promote access of the poor, especially women, to financial services on a sustainable basis through strengthened microfinance institutions and an enabling environment.

### STRATEGIC AREA OF SUPPORT 2.1

Support an increase in assets of the poor.

### STRATEGIC AREA OF SUPPORT 2.2

Promote the development of sustainable microfinance institutions.

### STRATEGIC AREA OF SUPPORT 2.3

Advocate for an enabling environment for sustainable microfinance activities.

#### SAS 2.1 Support an increase in assets of the poor.

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
2.1.1 The poor, especially women, have greater access to microfinance services.	<ul style="list-style-type: none"> <li>▪ Percentage of microfinance institutions (MFIs) reaching targets regarding no. of active borrowers.</li> <li>▪ Percentage of MFIs reaching targets regarding no. of active savers.</li> <li>▪ Average percentage of women borrowers per MFI.</li> <li>▪ Average loan size per MFI.</li> <li>▪ Percentage of MFI clientele considered as poor<sup>11</sup>.</li> </ul>	<ul style="list-style-type: none"> <li>• Market analyses are performed to tailor services to client base.</li> <li>• Outreach mechanisms and services are set up to reach the poor and women.</li> <li>• Poor, especially women, are offered appropriate financial services.</li> <li>• Savings schemes are established, when appropriate.</li> <li>• Pilot impact monitoring undertaken<sup>12</sup>.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Microfinance institutions</li> <li><input type="checkbox"/> Commercial banks</li> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Donors active in microfinance</li> <li><input type="checkbox"/> Consultative Group Assisting the Poorest (CGAP)</li> </ul>

<sup>11</sup> Given the difficulty in accessing this data, the average initial loan size can be used as a proxy indicator.

<sup>12</sup> Refers mainly to initiatives with the purpose of changing the perception of MFIs regarding the added value of the information generated from these assessments.

**SAS 2.2 Promote the development of sustainable microfinance institutions.**

<b>OUTCOMES</b>	<b>OUTCOME INDICATORS</b>	<b>SELECTED EXPECTED RESULTS</b>	<b>PARTNERSHIPS</b>
2.2.1 Microfinance institutions are financially viable and provide quality services.	<ul style="list-style-type: none"> <li>▪ Percentage of MFIs reaching operational self-sufficiency.</li> <li>▪ Percentage of MFIs reaching financial self-sufficiency.</li> <li>▪ Percentage of MFIs operating with increased operating efficiency.</li> </ul>	<ul style="list-style-type: none"> <li>• Business plans are prepared.</li> <li>• Strategy to lower operational costs within reasonable limits is developed.</li> <li>• Interest rate is set up at appropriate level to recover full operational costs.</li> <li>• Capacity development strategies implemented with MFIs.</li> <li>• Instruments for efficient portfolio and financial management are developed.</li> <li>• Instruments for branch and staff performance measurement and control are developed.</li> <li>• Internal management information systems are developed or improved.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Microfinance institutions</li> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Commercial banks</li> <li><input type="checkbox"/> Donors active in microfinance</li> <li><input type="checkbox"/> CGAP</li> </ul>

**SAS 2.3 Advocate for an enabling environment for sustainable microfinance activities.**

<b>OUTCOMES</b>	<b>OUTCOME INDICATORS</b>	<b>SELECTED EXPECTED RESULTS</b>	<b>PARTNERSHIPS</b>
2.3.1 Countries have improved their enabling environment for supporting the development of microfinance.	<ul style="list-style-type: none"> <li>▪ Number of projects having led to institutional change in the microfinance environment.</li> </ul>	<ul style="list-style-type: none"> <li>• Key constraints to enabling microfinance environment are identified.</li> <li>• Advice is provided at central level regarding regulatory issues for an enabling microfinance environment (including interest rate ceiling, inflation and distortion of financial markets).</li> <li>• NGOs/MFIs are assisted for the establishment of a microfinance network.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Central banks</li> <li><input type="checkbox"/> Ministry of Finance</li> <li><input type="checkbox"/> MFIs</li> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Donors active in microfinance</li> <li><input type="checkbox"/> CGAP</li> </ul>

### SUB-GOAL 3

To improve sustainable livelihoods of the poor through enhanced productivity, as well as increased access to, and local management of, natural resources.

#### STRATEGIC AREA OF SUPPORT 3.1

Support increased land-use productivity.

#### STRATEGIC AREA OF SUPPORT 3.2

Promote local management of natural resources.

#### SAS 3.1 Support increased land-use productivity.

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
<b>3.1.1 Increased capacity of local authorities to plan and invest in activities relating to land use.</b>	<ul style="list-style-type: none"> <li>▪ Percentage of projects with local authorities having plans in land-use related activities.</li> <li>▪ Percentage of projects with local community participating in the preparation of land-use investment plans.</li> </ul>	<ul style="list-style-type: none"> <li>• Local authorities have the skills and tools to prepare plans with investments relating to land use.</li> <li>• Local communities are mobilized around issues relating to planning land use.</li> <li>• Proposed investments responding to selection criteria are funded.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Local authorities</li> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Community groups</li> <li><input type="checkbox"/> UNDP</li> </ul>
<b>3.1.2 Communities living in fragile environments adopt sustainable and/or more productive land-use practices.</b>	<ul style="list-style-type: none"> <li>▪ Percentage of projects where food security for the community has improved.</li> <li>▪ Percentage of projects where crop yields are stabilized and/or improved.</li> </ul>	<ul style="list-style-type: none"> <li>• Local communities are trained in sustainable land-use practices.</li> <li>• New crops (or indigenous species) are introduced (or re-introduced) on a trial basis.</li> <li>• Innovative crop techniques are tested by the communities.</li> <li>• Irrigation schemes are rehabilitated and managed by the communities.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Extension services</li> <li><input type="checkbox"/> Community groups</li> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Local authorities</li> <li><input type="checkbox"/> UNDP</li> <li><input type="checkbox"/> Research institutes</li> </ul>

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
3.1.3 Livelihood opportunities of rural communities are diversified.	<ul style="list-style-type: none"> <li>▪ Percentage of projects with an increase in the individual incomes deriving from new activities.</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity development activities in transformation of agricultural products and marketing for local communities.</li> <li>• New employment opportunities are created within the community.</li> <li>• Market research studies are completed.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Extension services</li> <li><input type="checkbox"/> Community groups</li> <li><input type="checkbox"/> Associations</li> <li><input type="checkbox"/> UNDP</li> </ul>
3.1.4 Local populations have greater access to markets.	<ul style="list-style-type: none"> <li>▪ Percentage of projects where markets show a decrease in cost of produce.</li> <li>▪ Percentage of projects where markets show an increase in collected fees.</li> </ul>	<ul style="list-style-type: none"> <li>• Rural feeder roads are rehabilitated and maintained.</li> <li>• Productive infrastructures<sup>13</sup> are constructed and capacities developed for managing them.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Technical ministries</li> <li><input type="checkbox"/> Private contractors</li> <li><input type="checkbox"/> Local authorities</li> <li><input type="checkbox"/> UNDP</li> </ul>

### SAS 3.2 Promote local management of natural resources.

OUTCOMES	OUTCOME INDICATORS	SELECTED EXPECTED RESULTS	PARTNERSHIPS
3.2.1 Local authorities as well as community and user groups are capable of managing natural resources in a sustainable manner.	<ul style="list-style-type: none"> <li>▪ Percentage of projects where user groups are still functional after UNCDF support ends.</li> <li>▪ Percentage of projects with documented evidence of positive changes in the practices of the communities concerning natural resource management.</li> <li>▪ Percentage of projects where local authorities increase their retention of receipts from natural resources.</li> </ul>	<ul style="list-style-type: none"> <li>• User groups are created and/or consolidated.</li> <li>• Sensitization campaigns are undertaken.</li> <li>• User groups are trained in sustainable resources management practices.</li> <li>• Local authorities prepare plans for natural resource management.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Community-based organizations</li> <li><input type="checkbox"/> Private sector</li> <li><input type="checkbox"/> Local authorities</li> <li><input type="checkbox"/> Local private contractors</li> <li><input type="checkbox"/> Technical departments</li> <li><input type="checkbox"/> UNDP</li> </ul>
3.2.2 Communities look to institutional mechanisms to solve conflicts related to natural resource management.	<ul style="list-style-type: none"> <li>▪ Percentage of projects with a decrease in the number of conflicts relating to natural resources or land use.</li> </ul>	<ul style="list-style-type: none"> <li>• Inter-village committees are created.</li> <li>• Communal regulations for sustainable natural resource management are developed and implemented.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> NGOs</li> <li><input type="checkbox"/> Community-based organizations</li> <li><input type="checkbox"/> Private sector</li> <li><input type="checkbox"/> Local authorities</li> </ul>

<sup>13</sup> Examples include markets, slaughter houses, fencing, cereal banks and irrigation schemes.

- Mechanisms for the resolution of conflicts relating to access to natural resource or land use are developed and implemented.
- Technical departments
- UNDP

**SUB-GOAL 4**

To promote a financially sound organization that develops and implements quality programming in local governance and microfinance.

**STRATEGIC AREA OF SUPPORT 4.1**

Promote excellence in the planning and implementation of local development programmes and microfinance operations.

**STRATEGIC AREA OF SUPPORT 4.2**

Promote sound financial management of the organization and diversify the funding base.

**SAS 4.1 Promote excellence in the planning and implementation of local development programmes and microfinance operations.**

OUTCOME	INDICATOR	SELECTED EXPECTED RESULTS	PARTNERSHIPS
<p>4.1.1. UNCDF will have moved from policy refinement to an emphasis on operational impact.</p>	<ul style="list-style-type: none"> <li>▪ Annual programme targets (expenditure and approvals) are met.</li> <li>▪ Evaluations show greater levels of impact.</li> <li>▪ Action Plan 2000 targets respected.</li> </ul>	<ul style="list-style-type: none"> <li>• Policy statement prepared and disseminated</li> <li>• Action Plan 2000 implemented.</li> <li>• Impact studies are undertaken.</li> <li>• Evaluations include impact issues.</li> </ul>	<ul style="list-style-type: none"> <li>□ UNDP HQ and country offices</li> <li>□ Research partners</li> </ul>
<ul style="list-style-type: none"> <li>• UNCDF staffed with appropriate mix of skills.</li> <li>• Competency development plan prepared and implemented.</li> <li>• Programme/project formulation guidelines modified.</li> <li>• Programme Operations Manual updated.</li> <li>• Strategy for lessons learned and best</li> </ul>	<ul style="list-style-type: none"> <li>▪ Increase in number of requests for UNCDF advisory services.</li> <li>▪ Average time for project formulation.</li> <li>▪ Programmes formulated according to new guidelines.</li> <li>▪ Percentage of new projects with an exit strategy for UNCDF.</li> <li>▪ Dissemination of lessons learned and best practices.</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	<ul style="list-style-type: none"> <li>□ UNDP Regional Bureaux</li> <li>□ MDGD/UNDP</li> <li>□ UNDP Evaluation Office</li> <li>□ UNDP country offices</li> </ul>

OUTCOME	INDICATOR	SELECTED EXPECTED RESULTS	PARTNERSHIPS
practices prepared and implemented at project and corporate levels.			
4.1.3. UNCDF will have maximized its comparative advantages through improved partnerships.	<ul style="list-style-type: none"> <li>▪ Number of programmes/ projects with replication partners on board prior to start-up.</li> <li>▪ Best practices regarding policy impact are documented.</li> <li>▪ Number of programmes with strategies for policy impact and replication.</li> <li>▪ Increased networking and growth in number of partnerships.</li> </ul>	<ul style="list-style-type: none"> <li>• Strategy for policy impact and replication prepared and implemented.</li> <li>• Network established for partnerships.</li> <li>• New partnerships developed.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> UNDP MDGD</li> <li><input type="checkbox"/> UNDP Evaluation Office</li> <li><input type="checkbox"/> Academic institutions</li> <li><input type="checkbox"/> Donor groups</li> <li><input type="checkbox"/> Practitioners</li> <li><input type="checkbox"/> Research institutions</li> <li><input type="checkbox"/> Banks</li> </ul>

**SAS 4.2 Promote sound financial management of the organization and diversify the funding base.**

OUTCOME	INDICATOR	SELECTED EXPECTED RESULTS	PARTNERSHIPS
4.2.1. UNCDF will have become more efficient and cost-effective through improved tracking and analysis of its finances.	<ul style="list-style-type: none"> <li>▪ UNCDF reports on costs such as technical, supervisory, evaluation, missions etc. on a yearly basis.</li> <li>▪ Percentage administrative costs.</li> <li>▪ Amount of savings.</li> <li>▪ Changes made due to improved tracking.</li> </ul>	<ul style="list-style-type: none"> <li>• FIMS<sup>14</sup> is installed and functional.</li> <li>• Additional financial reporting needs are identified.</li> <li>• Systematic mechanism for tracking and reporting on costs established.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> UNDP Office of Budget</li> <li><input type="checkbox"/> Country offices</li> </ul>
4.2.2. UNCDF will have developed a culture of resource mobilization based on measurable performance, efficiency and value for money.	<ul style="list-style-type: none"> <li>▪ All staff have a role in resource mobilization.</li> <li>▪ Percentage increase in non-core funding.</li> </ul>	<ul style="list-style-type: none"> <li>• Resource mobilization strategy outlined for all potential non-core resources.</li> <li>• Resource mobilization training for all staff.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> UNDP</li> <li><input type="checkbox"/> Donors in-country</li> <li><input type="checkbox"/> Private sector</li> <li><input type="checkbox"/> Governments</li> </ul>

<sup>14</sup> FIMS = Financial Information Management System

**4.2.3. UNCDF will have diversified its resource base and increased the number of donors.**

- Percentage increase in core funding.

- Resource mobilization strategy defined.
- Missions, meeting, presentations etc. undertaken.
- Joint resource mobilization missions with UNDP.

- UNDP
- Donors

**III. THE UNITED NATIONS DEVELOPMENT FUND FOR WOMEN:  
RESULTS, STRATEGY AND BUSINESS PLAN 1997-1999 AND FUTURE DIRECTIONS OF  
STRATEGY AND BUSINESS PLAN, 2000-2003**

**A. Background**

35. The United Nations Development Fund for Women (UNIFEM) shifted to results-based management in 1997. The first Strategy and Business Plan, 1997-1999 of the Fund served to translate the goal of capturing development results, associated with UNIFEM interventions, in an operational framework which sets out specific methodological guidelines for sharing what was achieved and learned.
36. Coinciding with the shift to results-based management, UNIFEM professional staff at headquarters and in the field underwent specialized training. Like UNDP, the methodology selected by UNIFEM differentiates between the following three types of results: outputs (short-term development results that are the logical consequence of project or programme activities); outcomes (medium-term development results that are the logical consequences of achieving a combination of outputs); impacts (long-term development results that are the logical consequence of achieving a combination of outputs and outcomes).
37. The format for the UNIFEM project document, which came in response to the goal of the Fund to move away from small projects towards larger, strategic multi-year programme frameworks, was revised to ensure the identification of anticipated results. The document includes a LogFRAME, or matrix, outlining the project design. It maps out end products and necessary conditions as they relate to overall impact, emphasizing expected results upon successful completion of the project. Results are presented in relation to objectively verifiable indicators.
38. UNIFEM reporting practices were also streamlined to accommodate the shift to a strategic-results framework. The internal six-month activity reports submitted by all UNIFEM subregional offices now focus on the identification and assessment of results. The annual report of UNIFEM to its Consultative Committee, as well as its reports on implementing United Nations resolutions, submitted on an annual basis to the General Assembly, the Commission on the Status of Women and the Committee on Human Rights, no longer focus on activities but highlight results.
39. There are strong linkages between the strategic-results frameworks of UNDP and UNIFEM. UNDP goals defined in the strategic area of support (SRA) on gender correspond closely with the five key objectives defined under the Strategy and Business Plan, 2000-2003 of UNIFEM.
40. UNIFEM strategic interventions and pilot initiatives in the above areas serve to advance the goal of UNDP to mainstream gender into the spectrum of its programme activities and to inform and shape UNDP gender-related work. The approval of the Executive Board to make UNIFEM an executing agency for UNDP opens up new opportunities for UNIFEM to deliver stronger support to UNDP on a more consistent and systematic basis.

**B. Lessons learned 1997-1999**

41. UNIFEM recently completed its first Strategy and Business Plan 1997-1999. In developing a revised plan for 2000-2003, based on lessons learned in the preceding years, the Fund sought to assess some of the changes in practice and environment associated with outcomes inspired by UNIFEM interventions. The new Strategy and Business Plan (DP2000/15 and Add.1) provides a sample of the short- and medium-term results associated with UNIFEM interventions in the course of its Strategy and Business Plan 1997-1999. The table below summarizes its key results.

## Strategy and Business Plan, 1997-1999: Results and challenges

<i>BP Objectives</i>	<i>Short-term results</i>	<i>Medium-term results</i>	<i>Challenges</i>
<p>Increase options and opportunities for women, especially those living in poverty, through focused programming in three thematic areas: economic empowerment; governance and leadership; and women's human rights and the elimination of gender-based violence</p> <p>Strengthen the capacity of the United Nations system to support women's empowerment and gender-mainstreaming in its policies and programmes</p>	<ul style="list-style-type: none"> <li>• Increased political will</li> <li>• Expanded awareness of gender inequality and mechanisms to address it by decision makers, men, and the general public</li> <li>• New constituencies involved and sectors mobilized</li> <li>• New skills developed to support women's empowerment and rights</li> <li>• Increased capacity of women's organizations and networks</li> <li>• Identification of new approaches to documenting and disseminating lessons learned</li> </ul>	<ul style="list-style-type: none"> <li>• New and increased resources for gender equality</li> <li>• New or strengthened legislation and policies to support gender equality</li> <li>• Stronger implementation of international agreements</li> <li>• Increased availability and use of data disaggregated by sex</li> <li>• New structures established to promote gender-mainstreaming and monitor the accountability of various stakeholders at all levels</li> <li>• Increase in requests for replication of programmes and approaches and in sharing experiences across regions</li> </ul>	<ul style="list-style-type: none"> <li>• Strengthen mechanisms to promote and monitor the accountability of various stakeholders at all levels and progress in fulfilling the Beijing Platform for Action</li> <li>• Developing a stronger focus on building women's economic literacy and rights, as well as on engendering the macroeconomic framework</li> <li>• Expand the network and capacities of UNIFEM field-based programmes and staff</li> </ul>
<p>Strengthen the Fund's effectiveness by incorporating the principles of a learning organization and building strategic partnerships that enhance field-based operations</p>	<ul style="list-style-type: none"> <li>• Innovative uses of new information/communication technologies increased knowledge, partnerships and constituencies for gender-equality initiatives</li> <li>• New strategic partnership models developed with multilateral organizations, the private sector, programme and donor countries, the media and women's networks</li> </ul>	<ul style="list-style-type: none"> <li>• UNIFEM staff and partners' deepened understanding of organizational culture and systems needed to support ongoing learning and knowledge management</li> <li>• Replication, adaptation and assessment of new partnership models generate new financial and technical resources to support gender equality</li> </ul>	<ul style="list-style-type: none"> <li>• Ensuring that UNIFEM staff and partners have access to state-of-the-art information/communication technologies and skills to support learning partnerships</li> <li>• Developing learning approaches that link impact assessment, evaluation, outreach and project management</li> </ul>
<p>Ensure that UNIFEM personnel and financial and programme management systems support the goals and programmes of the organization effectively and efficiently</p>	<ul style="list-style-type: none"> <li>• Introduction of improved programming modalities (strategic planning workshops, programme approach, etc.)</li> <li>• Financial information management system installed and in use</li> <li>• Agreement for UNIFEM to recruit for specialist posts outside of UNDP achieved</li> </ul>	<ul style="list-style-type: none"> <li>• Adoption of results-based management</li> <li>• Project finance reports available on a monthly basis to management staff</li> <li>• All specialist positions filled or in the process of being filled</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure systems development is responsive to specific UNIFEM needs while maintaining compliance with UNDI corporate standards</li> </ul>
<p>Build a larger and more diversified resource base</p>	<ul style="list-style-type: none"> <li>• Continued increase in overall income over previous year throughout</li> </ul>	<ul style="list-style-type: none"> <li>• Increase in overall resource base from \$17.2 million to \$24.3 million</li> </ul>	<ul style="list-style-type: none"> <li>• Developing efficient and effective mechanisms to</li> </ul>

<i>SBP Objectives</i>	<i>Short-term results</i>	<i>Medium-term results</i>	<i>Challenges</i>
	<p>the SBP period</p> <ul style="list-style-type: none"> <li>New and diverse sources of support, including from the private sector, identified and secured every year of the SBP period</li> </ul>	<p>between 1996 and 1999, or 41 per cent</p> <ul style="list-style-type: none"> <li>Diversification of sources of support, including an increase in contributions from the private sector from \$0.1 million in 1996 to \$2.9 million in 1999</li> </ul>	<p>facilitate agreements with private sector organizations</p> <ul style="list-style-type: none"> <li>Align work of UNIFEM national committees with organization's goals and strategies</li> </ul>

42. UNIFEM assesses results for each of its strategic objectives (or sub-goals) identified in its Strategy and Business Plan. Detailed information on specific results with indicators of performance and progress achieved between 1997-1999 is provided in the addendum to the UNIFEM Strategy and Business Plan, 2000-2003 (DP/2000/15 Add.1), which also provides information on progress measured in relation to particular UNIFEM interventions.
43. For the purposes of the present document, rather than providing an exhaustive discussion of corporate results, examples are given of some specific results achieved under Strategic Objective 1 – *To increase options and opportunities for women, especially those living in poverty, through focused programming in three thematic areas: economic empowerment; governance and leadership; and women's human rights and the elimination of gender-based violence.* Our examples relate specifically to the work of UNIFEM on women's human rights and the elimination of gender-based violence, which falls under this strategic objective. Below is a summary of how cross-regional activities have generated key outputs and outcomes:
44. In 1997, the UNIFEM Trust Fund in Support of Action to Eliminate Violence against Women became operational and began funding innovative initiatives worldwide that focus on addressing different forms of gender-based violence. In 1998, in the context of the fiftieth celebration of the Universal Declaration of Human Rights, UNIFEM convened a series of United Nations inter-agency regional awareness-raising campaigns on gender-based violence. The campaigns, which brought together United Nations partners, including UNDP, UNICEF and many others, as well as governments and NGOs and the media, helped to raise unprecedented awareness on violence against women as a pervasive human-rights and development problem that transcends the boundaries of nationality, culture, and religion. In addition UNIFEM launched a global electronic <end-violence> working group, which brought together 2000 advocates from around the world to share experiences, strategies, and results. Some of these experiences were then showcased at a landmark global videoconference on the theme "A World Free of Violence Against Women", which linked four regional sites to the General Assembly on International Women's Day. The campaigns, the videoconference, and the electronic working group, have been associated in many countries with an increase in political will, changes in legislation, and increased allocation of resources for the prevention, protection and delivery of health and legal services for women.
45. The momentum spurred in this area of work has generated, in a relatively short period of time, an impressive and consistently growing body of cross-regional knowledge on strategies and methods for addressing different forms of violence against women: *With support from the John D. and Catherine T. MacArthur Foundation, UNIFEM is now focusing on tracking and analysing results that have emerged from trust fund-supported interventions and the regional campaigns.* The goal is to capture and disseminate good practices and lessons learned through initiatives that have applied a variety of different strategies, including advocacy, training, and research. Support from the United Nations Foundation has also allowed the Fund to embark on an initiative designed to build the capacity of partners working to address gender-based violence to document their work and their results, and to share their experiences cross-regionally.

46. Following are examples of results from UNIFEM thematic work on ending gender-based violence. They conform to the anticipated corporate results indicated in the UNIFEM Strategy and Business Plan for Strategic Objective 1 (see table following paragraph 41):

**Output 1:** New skills developed to support women's empowerment and rights:

- 10 village communities in Senegal use the Convention to Eliminate All Forms of Discrimination Against Women (CEDAW) to support the elimination of female genital mutilation (FGM);

**Output 2:** New constituencies involved and sectors mobilized:

- Men's groups in Kenya are formed to work on the elimination of violence against women;

**Outcome 1:** New and increased resources for the elimination of violence against women:

- \$3.9 million leveraged for programmes against gender-based violence;
- Contributions to the Trust Fund to Eliminate Violence Against Women increased from \$0.6 million in 1996 to \$1.2 million in 1999;

**Outcome 2:** New or strengthened legislation and policies to support gender equality:

- New laws passed and/or strengthened in Brazil, Senegal and Venezuela.

### C. Future directions

47. Recognizing that the ultimate value of its work is measured in terms of the positive change it can promote and support for women of the world, UNIFEM has sought to highlight the gaps in data and the absence of adequate targets, benchmarks and indicators for measuring progress for women. In the context of its support for the five-year review process, UNIFEM has undertaken to launch the first edition of a biennial report entitled *Progress of the World's Women*, which will undertake to explore these issues. The first issue focuses particularly on women's economic rights, highlighting the gaps in information and the inadequacies of existing methodologies and data-collection systems that lead to the discounting of women's contributions to national economies.
48. UNIFEM hopes that the questions, challenges and recommendations set forth in *Progress of the World's Women* will be agenda-setting for governments, the United Nations system and other multilateral organizations, NGOs and advocates for women around the world. UNIFEM is intent on applying these on guiding its future work and contributing to the development of tools and methodologies to measure progress for women and identify prevailing or emerging challenges.
49. Results-based management (RBM) has served UNIFEM well in terms of advancing its goal to serve as an innovator and a catalyst for the United Nations system towards advancing gender equality and the empowerment of women. The focus on results has reaped measurable results for the organization itself, seen in the increase of common understanding by UNIFEM staff of how the focus on results serves to advance the strategic, innovative vision of the organization. UNIFEM has also experienced an increase in its capacity to learn from its interventions. The number of UNIFEM initiatives that have been replicated and/or upscaled by others has also increased, particularly in the area of ending gender-based violence and the work focusing on CEDAW.
50. UNIFEM recognizes that as a small fund, it lacks the financial and human resources to undertake comprehensive baseline studies and research that can generate the verifiable quantitative and qualitative comparative data needed to inform its work. To that end, the Fund is intent on seeking entities holding a comparative advantage in the area of research with which it can partner. Nevertheless, UNIFEM practices the same approach to the goal of capturing learning and measuring results as it applies to all its other priorities – focusing on limited, carefully selected strategic initiatives.

51. In spite of the great strides UNIFEM has made since the introduction of RBM, UNIFEM recognizes that further steps need to be taken towards rooting this approach within the organization. As it sets to implement its Strategy and Business Plan, 2000-2003, the organization will be looking to focus in particular on meeting the following challenges:
- (a) Building capacity to measure and accurately assess quantitative and qualitative results, currently focused on short- and medium-term results to extend to medium to long-term results;
  - (b) Further develop learning systems and review processes of what has worked, what has been learned, and how learning can be carried to future interventions. A high priority is to link participatory assessment and evaluation systems to the effort to document results and lessons learned and ensure that this is fed back to improve practices and approaches;
  - (c) The high turnover in temporary project staff over the past three years at UNIFEM has resulted in an uneven level of understanding of RBM. There is a clear need for training for new staff on RBM and reporting and to provide reinforcement training to improve the practical skills of those who have been trained. This is especially true given the confusion that often prevails on how to differentiate between operational results (activities such as workshops, or production of publications) and developmental outcomes (institutional change such as change in legislation, or other systemic and/or environmental change). In that regard, the 1999 UNDP ROAR points to similar needs.
52. As it seeks to meet the above challenges while advancing its goal of becoming a results-based, learning organization, UNIFEM will continue to focus its efforts on a strategically selected, limited number of areas that demonstrate potential for harbouring important knowledge that can support the advancement of women in critical ways. In that regard, some promising areas of work that UNIFEM is pursuing are gender-budgeting, linking women to new markets using new information and communication technologies, ending gender-based violence, as well as the work undertaken to engender governance and leadership, especially in the context of peace and rehabilitation processes.

#### IV. UNITED NATIONS VOLUNTEERS SUPPORT TO UNDP IN ADVANCING THE OBJECTIVES OF THE STRATEGIC RESULTS FRAMEWORK

##### A. General trends and characteristics

53. With the introduction of the first United Nations Development Programme (UNDP) multi-year funding framework (MYFF), which includes the corporate strategic results framework (SRF), a key building block in the application of results-based management has been put in place. For the United Nations Volunteers (UNV) programme, such a framework provides an instrument through which it can present a clear picture of the areas, outcomes and results to which the UNV programme and UNV volunteers contribute. These results are presented in full in the Report of the Administrator on UNV to the annual session of the Executive Board (DP/2000/24). Furthermore, the UNDP SRF encompasses all the elements of the guiding document, Strategy 2000, of UNV.
54. The UNV programme has continued to promote volunteerism, primarily through the mobilization and placement of UNV volunteers. These volunteers bring with them dedication, commitment and engagement which, combined with skills and experience, have over the years been highly appreciated and recognized by programme countries and partner organizations as contributing to relevant development outcomes.
55. The UNV programme continued to grow in 1999, reflecting its ability to respond to the changing global environment. Overall, the number of assignments carried out in 1999 increased by 708 or 17 per cent over the previous year and by 1 513 or 47 per cent since 1996. Africa, in particular the

least developed countries (LDCs), continued to be the region where the programme is most active and where most volunteers carry out the majority of assignments.

56. UNV volunteers representing 141 nationalities served in 148 countries. The majority of serving UNV volunteers (64 per cent in 1999) were nationals of developing countries. This reaffirms the unique characteristic of the programme as a strong and very concrete expression of South-South collaboration.
57. The number of assignments carried out by national UNV volunteers in their own country continued to grow and by 1999 had increased more than twofold compared to 1996.
58. UNV remains committed to ensuring the fullest participation of women as UNV volunteers and to achieving its female/male ratio goal of between 40/60 in the total number of serving UNV volunteers. Indeed, the participation of women increased from 1 036 in 1996 to 1 572 in 1999, an increase of 52 per cent. Overall, the ratio attained in 1999 was 36/64.
59. One of the goals of UNV is to establish synergies with the programmes of other organizations to ensure maximum impact and gain strength from the partnership. During the reporting period, UNV continued to broaden its partnership base. The examples given below illustrate the full range of activities and partnerships within which UNV volunteers carry out assignments. While the examples of activities and achievements are given under the various headings of the SRF, it should be noted that they are not in all cases financed by UNDP. They, however, illustrate in a direct manner how UNDP, through its support to UNV, provides another very important service to the operations of the United Nations system in developing countries.
60. This presentation concentrates on achievements in creating an enabling environment for sustainable human development; eradicating poverty; and addressing special development situations. While many activities of UNV volunteers bear on the protection of the environment and the advancement of women, these most often form an integral part of their work within the above three main areas. As crosscutting issues, they are therefore presented within this context.

#### B. Programme activities

61. The examples below show UNV involvement in mobilizing volunteer resources in support of the operational activities of the United Nations system.

##### 1. The enabling environment for sustainable human development

62. This programme area comprises several sub-goals and strategic areas of support designed to strengthen institutional capacities, enhance multilateral dialogue and promote an enabling environment for sustainable human development.
63. During the reporting period, 30 per cent of all UNV volunteer assignments supported activities falling within this programme area and worked in 36 countries in Africa; 25 in Asia and the Pacific; 25 in Latin America and the Caribbean; 10 in Europe and the Commonwealth of Independent States and 10 in the Arab states. The specific elements of this involvement included strengthening, at the community level, key governance institutions and providing support to decentralization processes. Activities also included assisting in electoral exercises.
64. A total of 861 UNV volunteers were mobilized to assist in the elections that took place in Cambodia, the Central African Republic, East Timor, Haiti, Indonesia, Mozambique, Nepal, the Niger, Nigeria and South Africa. Of these, more than 250 were recruited in cooperation with the European Union. The largest single operation was the popular consultation in East Timor where, at the request of the Department of Peace-keeping Operations of the United Nations Secretariat (DPKO), 500 UNV volunteers were mobilized to support the United Nations Assistance Mission

in East Timor (UNAMET). The UNV volunteers helped to register 451 000 Timorese, of whom 98 per cent voted.

65. The promotion of decentralization that supports participatory local governance, strengthens local organizations and empowers communities is another sub-goal in which many UNV volunteers were involved. Kyrgyzstan provides a good example of how UNV volunteers contributed to the decentralization process. To date, with UNV volunteer support in the programme's six pilot districts, 140 community-based organizations (CBOs) have been formed with over 5 800 members from all participating municipalities.
66. UNV regional activities that address the sub-goal of improving the enabling environment also included the strengthening of institutional capacity for governance. For example, in Central America and the Caribbean, UNV collaborated with the United Nations Children's Fund (UNICEF) and local partners mandated to implement the Convention on the Rights of the Child. The range of support provided at the country level included the drafting of new national legislation on child and adolescent codes, assisting in its implementation where such a code existed, and where it did not, maintaining the momentum for its establishment.
67. The contribution of UNV to strengthening human rights institutions included support to the Office of the Ombudsman in Peru in extending its outreach capacity to indigenous groups and small communities in rural areas. After one year of UNV involvement, the geographic coverage of the Office had increased by 30 per cent while the number of claims handled and consultations made doubled. Access to the Office by the indigenous population, most of them from the poorest sector of the population living in conflict-ravaged communities, also increased significantly.

## 2. Poverty eradication and sustainable livelihoods

68. UNV volunteers are extensively involved in poverty eradication initiatives with a wide range of partners, primarily at the community level. During the reporting period, some 30 per cent of all UNV volunteer assignments supported activities closely related to the sub-goals of poverty eradication and sustainable livelihoods identified in the SRF. Furthermore, during the reporting period approximately 30 per cent of all UNV volunteer assignments supported this goal. They worked in 40 countries in Africa; 29 in Asia and the Pacific; 21 in Latin America and the Caribbean; 11 in Europe and the CIS and 9 in the Arab states.
69. In support of UNDP programmes and activities targeting poverty eradication, mixed teams of international and national UNV volunteers assisted community-based initiatives in over 40 countries, working mainly with disadvantaged groups. They acted as an outreach for these programmes. Specific examples that illustrate the value-added of UNV activities in addressing poverty eradication included support to women in rural areas in Yemen, the strengthening of national volunteer organizations dealing with poverty eradication activities in Mali and assisting indigenous communities in Ecuador.
70. Within the framework of UNDP support to the programme for poverty eradication of the Government of Yemen, UNV volunteers assisted women's agricultural centres in assessing their capacity to respond effectively to the needs of communities. They also helped women's groups to access funds made available under the UNDP Poverty Alleviation Programme for small-scale local development schemes. In Mali, UNV volunteers supported the National Voluntary Service (NVS) in the implementation of UNDP-financed poverty eradication activities. This endeavour involved 300 volunteers from the NVS. Together, they established 1 500 community-based organizations (CBOs), trained 800 community leaders, conducted literacy programmes for 1 600 adults—80 per cent of whom were women—assisted in reforestation and in the preparation and utilization of land for agricultural production. In Ecuador, a team of international and national UNV volunteers assisted indigenous communities living in areas afflicted by increasing poverty and environmental degradation. Working in close collaboration with local NGOs, provincial government authorities

and private foundations, UNV volunteers supported institution-building to strengthen environmental management and the establishment of micro-enterprises for income generation.

71. UNV volunteers were also engaged in activities to improve community access to health, education, water and sanitation and other basic services. UNV continued to collaborate closely with the Joint United Nations Programme on HIV/AIDS (UNAIDS) and UNDP country offices in support of community efforts to respond to the HIV/AIDS pandemic and to strengthen networking among people living with HIV/AIDS.
72. In promoting employment and fostering skills among youth, UNV has supported the training of disadvantaged youth. A typical example was UNV involvement in strengthening the Hoa Sua vocational training school in Hanoi, Vietnam. UNV volunteers helped to secure the school's financial basis and to ensure that since its establishment, over 90 per cent of its graduates—more than 50 per cent of whom are young women—have secured full-time employment.
73. The importance of information and communication technologies (ICTs) in the development process was underscored by the Administrative Committee on Coordination (ACC) of the United Nations when it set “information for all” as a fundamental development goal. In this context, UNV, in collaboration with the Information Technology for Development Programme of UNDP, initiated a pilot project to assist “information poor” communities by providing access to information technologies and the Internet. The project to establish technology access community centers (TACCs) in Egypt's Sharkeya governorate is expected to serve 15 000 users annually.
74. The launching of [netaid.org](http://netaid.org), a joint UNDP/CISCO systems initiative, in October 1999 demonstrated the crucial role of the Internet as a channel for global communication. In recognition and as a result of the growing importance of information and communication technologies in the development process, UNV, as a [netaid.org](http://netaid.org) partner, began developing an on-line volunteering programme. At the time of finalizing the present document, the first version of the UNV-powered website under [netaid.org](http://netaid.org) went live (<http://app.netaid.org/OV/>). This new modality holds great potential to promote volunteer action and global solidarity for human development as well as to complement and support the roles of other UNV modalities.

### 3. Special development situations

75. UNV support to countries in special development situations encompassed peace-building and reconciliation, humanitarian and emergency operations, including relief activities, that were linked to rehabilitation and reconstruction. In 1999, 34 per cent of all UNV volunteer assignments related to these areas, including support to United Nations system-wide responses to complex emergencies and the efforts to accelerate the process of sustainable recovery. They worked in 31 countries in Africa; 9 in Asia and the Pacific; 8 in Latin America and the Caribbean; 10 in Europe and the CIS and 8 in the Arab states. Specific activities undertaken in support of relief operations included assistance and protection of refugees and internally displaced persons, human-rights monitoring, field coordination, food-aid distribution and logistics.
76. During the reporting period, UNV was involved in humanitarian and relief operations in over 60 countries, the largest being in the Balkan region, the Great Lakes region and the Horn of Africa. UNV volunteers assisted in emergency relief efforts during refugee crises. With the Office of the United Nations High Commissioner for Refugees (UNHCR), UNV volunteers were engaged in all aspects of refugee assistance, from establishing and managing camps to participating in repatriation operations, including monitoring and protection of refugees, logistics and programme coordination. With the World Food Programme (WFP), the involvement of UNV volunteers in food distribution contributed to the survival of vulnerable groups, refugees, internally displaced persons and residents in food-deficit areas.
77. In response to the Hurricane Mitch emergency which hit Central America in late 1998, UNV mobilized, on very short notice, volunteers for emergency operations in Honduras, Nicaragua and

El Salvador. They contributed to the immediate- needs assessment in remote provinces, enabling agencies and national authorities to target emergency supplies of food, water and other basic needs.

78. A major challenge in countries emerging from internal conflicts is the rebuilding of confidence, trust and the capacity for sustainable recovery. In this context, UNV volunteers can play a special role as mediators in confidence-building and peace-promotion activities, particularly at the community level. In Georgia, for example, UNV volunteers were instrumental in building up national capacity for conflict resolution through the training of representatives of civil society groups.
  79. In supporting countries with special-development situations, Kosovo illustrates well how UNV volunteers can be instrumental in helping to bridge the gap between relief and development and in supporting activities that promote the sustainable recovery and rehabilitation of affected populations. Upon the establishment of the United Nations Interim Administration Mission in Kosovo (UNMIK), UNV was requested to mobilize 200 UNV volunteer civil administration support officers to work in areas such as rehabilitation, regional and municipal administration and civil registration. They played a key role in re-establishing social services and rebuilding local administrative capacity, thereby providing support to affected populations, including refugees and displaced persons.
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