

An abstract, three-dimensional geometric pattern made of thick, blue, glossy lines that intersect to form a complex, spherical structure. The lines are set against a light blue and white background, creating a sense of depth and movement.

# EVALUATION OF THE THIRD GLOBAL COOPERATION FRAMEWORK OF UNDP



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# FOREWORD

This report presents the results of an independent evaluation of the third Global Cooperation Framework (GCF-III) or global programme of UNDP. Together with the regional and country programmes, the global programme is an integral part of the overall programming architecture of UNDP. An independent assessment of the performance of these programmes is therefore a critical input into improved future programming. As part of the review and approval process of new programmes in June 2007, the Executive Board, therefore, requested the Evaluation Office to include this evaluation in its programme of work.

The main purpose of the evaluation was to assess the performance of the GCF-III, to capture lessons learnt from this experience and to make concrete recommendations for the future. The evaluation looked at the priorities, implementation strategy, partnerships and results of the programme. The effectiveness of the GCF-III was examined against the objectives set out in the programme document which highlighted support to programme countries under the priority goals in UNDP's second multi-year funding framework in achieving the MDGs and in benefitting from inter-regional knowledge and Southern-based experiences and learning.

The scope of the evaluation covered the programming, policy analysis and knowledge networking done under the GCF-III and the engagement between the Bureau of Development Policy which manages the GCF with the regional bureaux, country offices and UN and other partners in implementing the programme. Given the primacy placed on helping country offices in achieving the objectives of the GCF-III, the evaluation collected evidence from case studies in fourteen programme countries, five regional service centres, two subregional resource facilities, three thematic centres, and through extensive interviews in New York.

The evaluation concludes that the GCF-III did not fully achieve its objectives. In assessing performance, the evaluation is positive regarding the contribution that the GCF-III has made to making UNDP a more globally-networked knowledge organization by promoting knowledge networks and other facilities. However, although the GCF-III was intended to play a central role in codifying knowledge in the practice areas of UNDP, the results fell short of expectations. The resulting global contribution of the GCF-III was consequently diminished. Implementation was insufficiently strategic and criteria such as comparative advantage, demand and innovation were inadequately used. The allocation of resources and the choice of implementation modalities were not well thought through. Programme management did not consistently apply results-based management principles and practices. Limited oversight was exercised by senior decision-making bodies over the global programme. Without an external advisory body, the relevance of global programme activities could not be validated.

The evaluation argues that there is a need for a global programme in UNDP to address issues that cannot be addressed at the regional and country level. UNDP clearly has a role in analyzing its experience in working with developing countries to enable the exchange of development solutions and to develop new insights and support global debates to promote human development.

The evaluation makes a number of recommendations in light of these findings and in the context of the management response to the 2004 independent evaluation of the GCF-II which was not fully implemented. UNDP should design a new global programme that marks a clear departure from the previous global cooperation frameworks by setting out its global role, strategic focus and a

results and accountability framework. UNDP should improve corporate strategies and delivery mechanisms to better support work at the country level. The new global programme should be managed in line with standard corporate practices, guided by corporate oversight, and benefit from wider ownership in the organization. The global programme should develop strategic and sustained partnerships with other UN organizations and development institutions to contribute to issues of relevance to programme countries in achieving their development goals.

The Evaluation Office is very grateful to members of the Executive Board and governments and civil society representatives in the case study countries who very generously gave their time and suggestions to the evaluators. We would like to particularly express our gratitude to all the resident representatives, UNDP staff and members of the UN country teams in the countries visited, as well as the colleagues in New York, especially those in the Bureau for Development Policy and the Regional Bureaux, and in the Regional Service Centres, SURFS, and Thematic Centres, who provided extensive information.

The Evaluation Office is responsible for the content of this report and I would like to express our sincere gratitude to a number of people without whose dedication and cooperation this evaluation could not have been completed. The evaluation was conducted by the Evaluation Office with an external team of consultants that was led by Steen Folke and included Richard Flaman and Thierry Lemaesquier. Urs Nagel, also a member of the evaluation team, task

managed the exercise for the Evaluation Office. Additional contributions to case studies were provided by Zenda Munro Ofir. From the Evaluation Office, S. Nanthikesan and Sergio Lenci contributed to quality assurance and case studies respectively. Robert Boase and Sabrina Lenoir provided research support, with the assistance of Michelle Sy who, together with Kutisha Ebron, also handled administrative support. Anish Pradhan provided information technology and technical support to the electronic surveys and the publication process and Margo Alderton edited the report.

All independent evaluations conducted by the Evaluation Office go through rigorous external quality assurance. The report benefited greatly from the review and advice of the members of our independent advisory panel who provided guidance and input throughout the evaluation. I would like to express our deep gratitude to the members of the panel: Gus Edgren, Caroline Heider, Manfred Kulesa, Bruce Murray and Henri Raubenheimer.

I hope that this evaluation will be useful for UNDP to craft, manage and deliver a new global programme that will effectively complement country and regional efforts to support programme countries in their efforts to advance human development.



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# ACRONYMS AND ABBREVIATIONS

BDP	Bureau for Development Policy
CDG	Capacity Development Group
DGG	Democratic Governance Group
EEG	Environment and Energy Group
GCF	Global Cooperation Framework
GCF-III	Third Global Cooperation Framework
GEF	Global Environment Facility
IF	Integrated Framework for Trade-related Technical Assistance to the Least Developed Countries
MDG	Millennium Development Goal
MYFF	Multi-Year Funding Framework
OECD-DAC	Organisation for Economic Cooperation and Development-Development Assistance Committee
PG	Poverty Group
RBA	Regional Bureau for Africa
RBAP	Regional Bureau for Asia and the Pacific
RBAS	Regional Bureau for Arab States
RBEC	Regional Bureau for Europe and the Commonwealth of Independent States
RBLAC	Regional Bureau Latin America and the Caribbean
RSC	Regional Service Centre
SSC	South-South Cooperation
SURF	Subregional Resource Facility
TTF	Thematic Trust Fund
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIFEM	United Nations Development Fund for Women
UNICEF	United Nations Children's Fund
UNFPA	United Nations Population Fund



# EXECUTIVE SUMMARY

## I. INTRODUCTION

The Executive Board approved the evaluation of the UNDP third global cooperation framework in June 2007<sup>1</sup> as part of the Evaluation Office programme of work for 2007–2008. The evaluation supports the substantive accountability of the UNDP Administrator to the Executive Board, and the findings are intended to provide inputs to the formulation of a new global programme (2008–2011), to be presented to the Board for its review and adoption.

The evaluation assessed the performance of the third global cooperation framework and offered key recommendations on how to strengthen the effectiveness of the global programme. The present report provides a summary of the findings, conclusions and recommendations of the independent evaluation.

The third global cooperation framework was managed by the Bureau for Development Policy (BDP) between 2005 and 2007. The approved period was extended by the Executive Board through 2008 to allow for the drafting of a new global programme in line with the UNDP strategic plan (2008–2011).<sup>2</sup> This evaluation – covering 2005–2007 – was conducted between October 2007 and April 2008.

## II. CONTEXT

Until 1996, the global and interregional programme was used primarily to finance corporate-level initiatives and partnerships with

major intergovernmental and academic institutions. Beginning in 1997, UNDP has implemented global cooperation frameworks, which have been managed by BDP and which have covered three to four-year periods. Between 1997–2007, three global cooperation frameworks have mirrored the corporate changes within UNDP; the first global cooperation framework (1997–2000), was conceived as a mechanism to: “...contribute to the overall development efforts of UNDP [by furthering] sustainable human development by translating global development aspirations and mandates into innovative and practical development interventions for application by UNDP through regional and country programmes and projects”.<sup>3</sup>

The second global cooperation framework (originally 2001–2003 and extended to 2004) was designed to provide services in three priority support areas: “...(a) global advocacy and analysis to generate knowledge, build alliances, and promote enabling frameworks on key development issues; (b) policy advice, support and alignment across programmes, drawing on the global network of policy specialists; and (c) knowledge-networking and the sharing of best practices, drawing on the subregional resource facilities (SURFs) system and communities of practice to support country and regional programming efforts”.<sup>4</sup>

The third global cooperation framework was intended to complement and strengthen ongoing efforts by UNDP to support programme countries to achieve the Millennium Development Goals.

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1. Decision 2007/24, ‘Annual report on evaluation’, 22 June 2007, as contained in DP/2008/2, ‘Decisions adopted by the Executive Board in 2007’, 18 October 2007, p. 20
  2. The original duration of the third global cooperation framework was 2005–2007 and the Board granted a one-year extension in June 2007. UNDP, ‘Decisions adopted by the Executive Board during 2007’, DP/2008/2, decision 2007/44, 18 October 2007, p. 42
  3. UNDP, ‘First global country cooperation framework, 1997–2000’ DP/GCF/1/Rev.1, 13 August 1997, p.5, paragraph 13
  4. UNDP, ‘Second global cooperation framework, 2000–2003’, DP/GCF/2, 27 November 2000, p.9, paragraph 27

Its primary objectives were: “...(a) To help UNDP country offices improve their effectiveness on the ground, in responding to requests from programme countries to plan, manage and deliver resources for development in pursuit of the MDGs; (b) To support developing countries, when requested, in developing policy frameworks that take advantage of global opportunities and resources under the priority goals of the second multi-year funding framework (MYFF) 2004-2007; and (c) To enable developing countries to benefit from interregional knowledge exchange and South-based experiences and learning, and ensure that development assistance, advice, programme design and capacity-building efforts draw on global best practices and expertise”.<sup>5</sup>

The third global cooperation framework programme document identified a four-fold rationale for the global programme: (a) To ensure coherence among country, regional and global programmes within the organizing framework of MYFF 2004-2007 and build synergies in project formulation and implementation, sharing inter-regional good practices and consolidating knowledge into knowledge products; (b) To codify the pooled experiences and lessons learned from the UNDP network on the ground in 166 countries, and the work of all United Nations organizations, into knowledge products to the benefit of programme countries as well as UNDP, and facilitate the exchange of knowledge through knowledge networks; (c) To respond to the demands of programme countries for South-based development solutions through facilitating South-South cooperation; and (d) To enable strategic partnerships to influence the global agenda.

The third global cooperation framework was aligned with four strategic goals of the MYFF (2004-2007), namely: achieving the MDGs and

reducing human poverty; fostering democratic governance; managing energy and the environment for sustainable development; and responding to HIV/AIDS. It also supported work in two cross-cutting areas relating to the mainstreaming of gender equality and capacity development.

In order to achieve the goals outlined in the programme document, BDP was allocated \$79.56 million<sup>6</sup> in core resources and is accountable for the utilization of resources and the achievement of results and objectives. The same organizational structure through which BDP implements core resources is responsible for the implementation of non-core resources.

As mentioned earlier, BDP – specifically the Poverty Group, the Democratic Governance Group, Environment and Energy Group, the HIV/AIDS Group, the Capacity Development Group, and the Gender Team – was responsible for all aspects of the management of the third global cooperation framework. The first four ‘practice groups’ covered issues directly related to the four MYFF priority goals, while cross-cutting issues linked to two main principles of the third global cooperation framework (and directly relevant in the implementation of the four other issue-areas) were covered by the Capacity Development Group and the Gender Team.<sup>7</sup> An additional, central ambition was to strengthen knowledge management across all areas; each practice group addressed knowledge management and some resources were used to provide central coordination for knowledge management.

The three primary implementation modalities used by each practice group were: policy advisory services; targeted projects; and knowledge management. In order to provide policy advice, 75 policy specialist posts were created. They

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5. UNDP, ‘First global cooperation framework, 1997-2000’ (DP/GCF/1/Rev.1, para. 14)

6. An additional \$5.14 million was allocated to the ‘strategic reserve’, which receives a financial allocation through the global programme. However, it does not constitute an integral component of the programmatic and operational structure of the third global cooperation framework.

7. Hereinafter, the term ‘practice groups’ will be used to refer to all six entities, including the Capacity Development Group and the Gender Team.

performed a range of tasks including providing advice and backstopping support to country offices and programme countries, supporting practice-related knowledge management, supporting practice alignment and coordination, supporting fund-raising of non-core resources, managing targeted projects, supporting projects financed through non-core resources, and coordinating the work programmes of regional service centres and subregional resource facilities (SURFs). Two thirds of the policy specialists were based in regional service centres, while the other third were stationed at headquarters. Targeted projects were used, among other things, to pilot innovative approaches, develop practice-related knowledge products, and to leverage additional non-core resources. Knowledge management focused on interregional knowledge creation, transfer and codification. In all, 120 targeted projects – with a combined budget of \$22.5 million – were implemented through the third global cooperation framework.

The International Poverty Centre in Brasilia, the Oslo Governance Centre, and the Drylands Development Centre in Nairobi constituted important implementation mechanisms aligned to the thematic areas of poverty, governance, and energy and environment. To differing degrees, each of these thematic centres emphasized applied research, policy or practice-related advice, and operational support to programme countries in their respective practice areas.

The work of the third global cooperation framework took place within the context of a rapidly changing development and technical cooperation environment, as well as evolving internal strategies and structures of UNDP aimed at providing more effective support to programme countries. Some key issues influencing the broader environment within which UNDP operated included ongoing United Nations reform, concerted efforts to strengthening United Nations-wide coordination and delivery, and a growing focus on improved harmonization and alignment among development partners. In addition to management reform initiatives, a stronger emphasis was placed

on results-based management and regionalization in UNDP.

### **III. APPROACH AND METHODOLOGY**

The evaluation covered all programmatic and operational aspects of the third global cooperation framework, with the exception of the ‘strategic reserve’, which receives a financial allocation through the global programme (and does not constitute an integral component of the programmatic and operational framework). The evaluation addressed efforts in all UNDP geographic regions between 2005 and 2007 and assessed the performance of the third global cooperation framework during this period against: (a) goals set by the MYFF (2004-2007); (b) the objectives and results framework contained in the third global cooperation framework programme document; and (c) the management response to the evaluation. The evaluation did not assess the ongoing regionalization process in any detail, though recent developments were taken into account.

The principal mandate of UNDP is to support programme countries in achieving development results. In evaluating the third global cooperation framework, the overarching concern was to ascertain its contribution to the achievement of results at the country level. However, in view of the ‘global’ nature of the framework, direct contributions were neither possible to determine nor expected, in many cases. Rather, the evaluation sought to determine the contribution of the third global cooperation framework in strengthening regional and country programme support to programme countries. The evaluation focused primarily on issues of relevance and effectiveness and also addressed issues of efficiency and sustainability.

The evaluation is based on quantitative and qualitative analyses. Evidence obtained was triangulated in order to ensure that findings were reviewed from different perspectives. The evidence for this evaluation was collected through case studies involving programme countries, regional service centres and headquarters, through electronic surveys, through the analysis of sample global

projects, and through a desk study of relevant documents and secondary evaluative material.

In choosing the case study countries, a purposive sampling approach was adopted. Selection criteria included the level of global programme support received, the development context in terms of income level (with special attention to least developed countries), and representation across regions (with special emphasis on sub-Saharan Africa). Almost all regional service centres or SURFs and the three thematic centres were visited. Selected case study locations are presented in the table below.

Semi-structured interviews were conducted with individual stakeholders identified among government officials, civil society organizations, UNDP units, other United Nations entities and bilateral donors. Over 400 individuals were interviewed around the world. In addition, two surveys were carried out among 36 of the policy advisors linked to the third global cooperation framework (51 per cent response rate), and among resident

coordinators / resident representatives or country directors (23 per cent response rate). Due to the low response rate, the latter survey was only used for selective analyses and to indicate certain trends among the respondents. A review of the stratified random sample of 33 projects (out of the total of 121 projects) was undertaken to gather additional evidence. A desk study of secondary evaluative evidence and relevant documentation was conducted to supplement the primary evidence.

The limitations of the evaluation included: (a) challenges in developing a methodology to address the broad and complex nature of the third global cooperation framework; (b) inability to cover the full diversity of country experiences; (c) lack of data and evaluative evidence due to inadequate monitoring and self-assessments; and (d) extremely tight timelines.

The evaluation did not carry out a detailed assessment of the work conducted under each of the six practice and cross-practice areas supported

<b>Case-study countries, RSCs and SURFs</b>		
<b>UNDP Region / Thematic Centres</b>	<b>Case-study Countries</b>	<b>Regional service centres and SURFs</b>
Africa	Liberia Mali Rwanda Tanzania Zambia	RSC Dakar RSC Johannesburg
Arab States	Tunisia Yemen	SURF Beirut
Asia and the Pacific	Cambodia Indonesia Nepal	RSC Bangkok RSC Colombo
Eastern Europe and the Commonwealth of Independent States	Armenia Uzbekistan	RSC Bratislava
Latin America and the Caribbean	Bolivia El Salvador	SURF Panama City
Thematic centres	Drylands Development Centre, Nairobi International Poverty Centre, Brasilia Oslo Governance Centre	

by the third global cooperation framework. However, practice-based analyses were conducted to identify common issues of relevance to a broader understanding of the framework.

#### **IV. KEY FINDINGS**

The evaluation recognizes that, within the broad programmatic framework of the MYFF (2004-2007), the third global cooperation framework was unique in providing the basis for global development policy work that was grounded in the country and regional experience of UNDP. The outputs from this work were intended to enrich the contributions of the organization to development results at the country level. The effectiveness of the framework was therefore predicated on strong internal and external demand and partnerships. The key findings that are presented below reflect the evaluation's coverage of issues related to the formulation and operationalization of the third global cooperation framework, the results achieved as well as management and oversight.

##### **FORMULATION OF THE THIRD GLOBAL COOPERATION FRAMEWORK**

Findings relating to the formulation of the third global cooperation framework include:

- (a) The issues addressed by the third global cooperation framework were relevant to the concerns of programme countries in line with the commitments of UNDP in the MYFF (2004-2007);
- (b) The third global cooperation framework constituted a relatively loose framework covering all relevant areas of the MYFF. Its 'results and resources framework' did not present an integrated, results-oriented programme of work, based on a plausible 'theory of change';
- (c) Compared with previous global programmes, the third global cooperation framework significantly reduced its emphasis on the global development policy agenda;
- (d) The ability of the third global cooperation framework to fulfill its planned role was

constrained by unclear articulation of its scope and programmatic strategy in addressing global issues. It was further constrained by insufficient substantive collaboration of the programme with other UNDP units, particularly those units that address global issues, such as the Human Development Report Office, the Office of Development Studies, the Bureau for Crisis Prevention and Recovery, and the Special Unit for South-South Cooperation;

- (e) The third global cooperation framework did not explicitly identify and focus on areas that were most likely to contribute to the advancement of human development. Moreover, the attempt to cover all 24 service lines of the MYFF perpetuated a 'silo approach' and inhibited a systematic quest for a holistic development response and the ability to focus resources on key issues and needs; and
- (f) In addition, the third global cooperation framework programme document lacked contextual analysis of the diverse development contexts in different regions and country types, including least developed countries, landlocked developing countries, and small island developing States. This undifferentiated approach reduced the programme's relevance.

##### **OPERATIONALIZATION AND IMPLEMENTATION**

Findings relating to operationalization and implementation include:

- (a) The third global cooperation framework had multiple roles ranging from development of policy approaches through the provision of operational guidance and tools, to the delivery of direct programme services at the country level, and support to knowledge networking. In practice, the possible synergistic linkages among these roles were not fully exploited resulting in resources being scattered;
- (b) The third global cooperation framework did not adopt an explicit partnership strategy that sought to harmonize or integrate development efforts of key partners within

the United Nations system and beyond. It entered into a multitude of partnerships at many different levels, many of which supported relevant activities, but did not always lead to sustained results;

- (c) There was limited UNDP-wide ownership of the third global cooperation framework. Clarity and full awareness of the range of functions and services provided under the framework was lacking among UNDP units, including the regional bureaux, the regional service centres, SURFs and country offices. Consequently, reach and contribution of the framework were significantly limited;
- (d) The third global cooperation framework was largely driven by supply rather than by client demand. Little prioritization took place to identify the issues and areas in which the framework could add most value. The three main modalities of delivering support – policy advice, targeted projects and knowledge management – were not consistently used in a coordinated manner;
- (e) In general, the third global cooperation framework encouraged the development of generic knowledge products, tools and approaches that did not sufficiently take into account the developmental complexities and local practical realities arising from subregional specificities and differences between country groupings;
- (f) In operationalizing the third global cooperation framework, cross-practice work and initiatives that involved more than one service line were explicitly encouraged. However, cross-practice approaches to complex and multidimensional developmental challenges continued to be exceptions rather than the rule; and
- (g) Resources were spread thinly across and within practice areas, policy advisors and targeted projects. The hiring of 75 policy advisers was intended to support all programme countries in all 24 service lines of the MYFF as well as provide policy advice to programme countries, contribute to knowledge

management, practice alignment and coordination. They were also expected to mobilize resources and provide programme support to country offices. In each practice group, funding for targeted projects was also distributed across all service lines.

## PROGRAMME RESULTS

Findings relating to programme results include:

- (a) The third global cooperation framework registered some notable successes. It invested in a number of areas in which it added ‘global’ value to the work of UNDP, and applied integrated modalities across UNDP – including two-way knowledge flows from the country over the regional to the global levels and back, some knowledge codification, and policy advisory and programme support services – thus contributing to the efforts of UNDP to support the achievement of development results. In all practice areas there were examples of valued contributions to country office performance;
- (b) In the area of ‘achieving the MDGs and reducing human poverty’, the third global cooperation framework contributed to strengthening the MDG-based development agenda and achieved successes, inter alia, in the areas of trade and ‘generating fiscal space’. Efforts to address a very wide range of MDG and poverty-related issues weakened its contribution to issues of global import, to which it may have been able to add more value as a ‘global’ programme;
- (c) In the area of ‘fostering democratic governance, the third global cooperation framework made important contributions in the areas, inter alia, of electoral support, public administration reform, representative institutions, and local governance. The prevailing tendency was to address each service line in isolation, but some efforts were made to introduce a more cross-practice and cross-cutting approach;
- (d) In the area of ‘managing energy and environment for sustainable development’, the support

of the third global cooperation framework was valued by country offices in areas such as governance, in the context of the 'poverty and environment initiative' and land governance. But the framework's broad agenda in this area led to resources being spread thinly, weakening its ability to achieve more prominent results;

- (e) The relevance of the work of the International Poverty Centre, the Oslo Governance Centre and the Drylands Development Centre to the objectives of the third global cooperation framework was uneven, but improved between 2005 and 2007. The relative autonomy of the centres provided a context for some innovative applied research and policy work, but this was not always fully integrated into the third global cooperation framework;
- (f) In the area of 'responding to HIV and AIDS', the third global cooperation framework registered considerable achievements in providing direct support, in cooperation with other UNDP units and partners, to programme countries. However, the added value of the framework – as a 'global' programme – was assessed to be greater in mainstreaming HIV/AIDS within other practice areas and in developing broader policy guidance and tools;
- (g) The success of gender-related work lay in strengthening the internal capacity of UNDP and improved understanding of gender equality as a cross-cutting concern and key determinant of human development results at the country level. However, gender mainstreaming remained incomplete in all of the substantive practice areas and lacked knowledge management support;
- (h) The effectiveness of the third global cooperation framework support to capacity development was seen in the up-take of the many guidance and knowledge products and in the productive collaboration with United Nations Development Group and external institutions such as the Organisation for Economic Co-operation and Development-

Development Assistance Committee. Some weaknesses expressed by country offices included a tendency to develop knowledge products and tools that were too generic; a more context-specific approach would have been beneficial;

- (i) Work in mainstreaming both gender and capacity development under the third global cooperation framework registered successes, but did not focus sufficiently on mainstreaming within the four practice areas. The global programme was assessed to be an appropriate vehicle to mainstream important issues such as gender, capacity development, HIV/AIDS and potentially other cross-cutting development issues;
- (j) The exchange and management of knowledge, including through knowledge networks and communities of practice, was prioritized and was appreciated within UNDP. In the absence of a corporate strategy for knowledge management, however, there was a lack of clarity regarding the role of the third global cooperation framework in establishing UNDP as an effective knowledge organization;
- (k) The third global cooperation framework did not engage in South-South cooperation in a systematic way. There was insufficient attention to identifying gaps in capacities and emerging trends in South-South cooperation, codifying knowledge and experiences within a South-South cooperation framework. A strong strategic partnership with the Special Unit for South-South Cooperation was not established; and
- (l) Considerable non-core resources were mobilized for use in implementing the third global cooperation framework. UNDP estimated that nearly \$236 million were raised and resource mobilization activities were generally considered to be cost-effective.

## MANAGEMENT AND OVERSIGHT

Findings relating to management and oversight include:

- (a) In operationalizing the third global cooperation framework, principles of results-based planning, monitoring and reporting were not consistently applied. UNDP undertook to strengthen management of the programme, as outlined in its management response to the evaluation of second global cooperation framework, and although initiatives to strengthen financial monitoring and human resources management were undertaken, results-based management remained inadequate;
- (b) With minor exceptions, no audits and evaluations were conducted, thereby limiting any systematic understanding of successes and weaknesses of the third global cooperation framework and what areas might have required adjustment. A few sub-practice evaluations were conducted in the democratic governance practice area and an audit of the global programme is planned for 2008;
- (c) The flexibility of the third global cooperation framework managers to deploy resources in a strategic or programmatic manner was constrained by the practice of tying almost 80 per cent of framework resources to salaried posts and other staff;
- (d) Each practice group was allowed to pursue its own management approach and central programme coordination was weak. This resulted in poor programme coherence and inadequate quality assurance;
- (e) Efforts were more effective when priority-setting and management of programmes were undertaken by units closest to the country level. The recent implementation of the regionalization strategy has highlighted some of the challenges in sharing financial resources and matrix management of human resources between regional service centres and BDP; and
- (f) UNDP undertook to address oversight and accountability in the management response to the evaluation of the second global cooperation framework. In practice, few of the related commitments were implemented

under the successive framework. Senior management committees did not systematically review progress and the proposed external advisory committee was not activated.

## V. CONCLUSIONS

The global programme has an important role to play in the context of the broader programming landscape of UNDP. The third global cooperation framework registered some successes, but was unable to translate them into a systematic programme of a global nature for a range of systemic, design and management-related reasons. There was a lack of clarity regarding its 'global' role, its 'cooperation' agenda and modalities, and the scope and purpose of its programmatic 'framework'.

### CONCLUSION 1

**The third global cooperation framework fell short in its strategic mission to underpin and integrate the practice architecture of UNDP.**

In particular:

- (a) The third global cooperation framework was placed at the centre of the practice architecture to provide coordination, guidance and knowledge services to country programmes on practice-related issues. Considerable intellectual capital was made available through the network of policy specialists and other experts, and some useful work was conducted. However, the full scope of these mandated functions could not be addressed effectively in all programme countries due to limited core resources and inadequate institutional support mechanisms; and
- (b) The central role of the global programme in the practice architecture of UNDP and in strengthening support to countries in each of these practice areas was not fully recognized by most UNDP units. In most cases, the framework was not seen as a programme through which new ideas and innovative approaches emanating from country experiences were infused into the entire UNDP system.

## CONCLUSION 2

**The effectiveness of the third global cooperation framework in meeting demand was constrained by weak strategic choices regarding focus areas, implementation modalities, allocation of resources and partnerships.**

In particular:

- (a) The contribution of the third global cooperation framework to the achievement of development results could have been significantly strengthened by focusing on areas of high demand, in which it also had a clear comparative advantage. The service lines of the MYFF (2005-2007) were taken as the programmatic determinant. This resulted in insufficient attention being paid to areas where the programme could have made a major contribution, while continuing to fund areas where the programme could not add as much value;
- (b) Emphasis on developing generic approaches rather than contextualizing products and services in order to address specificities of sub-regions or country types limited the appropriateness of the work. Partnerships, with a few notable exceptions, were more opportunistic than strategic, and did not fully exploit the comparative advantages of partners or build new development opportunities for programme countries; and
- (c) By virtue of its global mandate, and in line with the guiding principles of the MYFF, the third global cooperation framework was in a strong position to develop cross-practice approaches to address complex development challenges for application by country and regional programmes. It was also well placed to provide guidance on mainstreaming approaches in the areas of gender, capacity development and other issues, such as HIV/AIDS. The third global cooperation framework could have enhanced its relevance by focusing more systematically on cross-practice and mainstreaming approaches.

## CONCLUSION 3

**The third global cooperation framework contributed to UNDP becoming a more globally-networked knowledge organization.**

In particular:

- (a) The support of the third global cooperation framework to knowledge networking was an effective means to support practice and cross-practice work. In general, the practice networks, websites and other instruments to share knowledge were appreciated by internal stakeholders. However, the effectiveness of the sharing and exchange of knowledge was constrained by an ad-hoc approach to codification, most practice networks being closed to external partners, and the uneven quality of the knowledge products. Such *ad hoc* approaches also prevented the third global cooperation framework from engaging in South-South cooperation in a systematic way. Early successes achieved through the networks were not optimized through systematic codification and technical improvements; and
- (b) While the third global cooperation framework made considerable efforts to enhance knowledge management and some successes were achieved in strengthening UNDP as a globally-networked knowledge organization, the absence of a corporate strategy meant it could not achieve its full potential in knowledge management.

## CONCLUSION 4

**Weak management and lack of corporate oversight limited the effectiveness of the third global cooperation framework.**

In particular:

- (a) The third global cooperation framework would have benefited significantly from a consistent application of results-based management principles and techniques. By neglecting standard UNDP planning, monitoring, reporting and evaluation practices, decision-makers were deprived of clear programmatic targets and the opportunity to regularly assess the contribution of the programme to the

achievement of development results. Management could not use evaluative evidence to strengthen the quality of the programme's products, services and approaches or make strategic decisions regarding the future direction of the programme;

- (b) There was little evidence of a clear understanding between BDP and the regional bureaux on their respective roles and responsibilities in their collaborative efforts, especially in the regional service centres and SURFs. The matrix management system through which BDP-funded policy specialists were managed was not generally effective in supporting the alignment of the practice architecture. The tensions that arose from mixed funding mechanisms and multiple lines of accountability weakened the potential effectiveness of the framework. These tensions will have to be addressed in the regionalization strategy; and
- (c) In the absence of an internal UNDP oversight mechanism, UNDP was unable to harness the full potential of the framework for the benefit of the organization. Moreover, without an external consultative process with development partners, the responsiveness and relevance of the third global cooperation framework to emerging priorities of programme countries was uneven.

## CONCLUSION 5

**Although the third global cooperation framework has not fulfilled its global role, there is a need for a global programme in UNDP.**

In particular:

- (a) The third global cooperation framework has supported some successful initiatives to strengthen support to programme countries drawing from the global experience of UNDP, and at the country level there is significant demand for the type of services provided by the programme. However, these successes were not translated into a systematic effort of a global nature and the framework was unable to go beyond compiling country

experiences, to use this accumulated knowledge to contribute to global development debates and approaches on any significant scale;

- (b) There are development issues that cannot be addressed solely at the country or regional levels, for which UNDP needs a global programme. Given its universal presence, UNDP has the potential to contribute to global development debates and approaches drawing from its development experience at the country, regional and global levels. In turn, UNDP can benefit all programme countries by drawing from this global experience and developing innovative development policy approaches as well as facilitating South-South cooperation. In this regard, the third global cooperation framework has not realized its full potential.

## VI. RECOMMENDATIONS

This evaluation recommends that UNDP should design a new global programme that embodies a clear departure from the previous global cooperation frameworks. The new global programme should be based on demand from programme countries, be fully integrated within UNDP, and add value as a 'global' programme. It should address 'global' issues and leverage all UNDP entities with a view to generating, codifying and applying 'global' knowledge. The following detailed recommendations aim to support UNDP in developing such a new global programme. They are intended to be mutually reinforcing and should be treated as a whole.

### RECOMMENDATION 1

**The new global programme should clearly set out its global role, development goals, a strategic focus and a corresponding results and accountability framework based on the following considerations:**

- (a) A clear rationale and the specification of clear criteria to distinguish global programme initiatives from those that can be addressed at the regional and country level;

- (b) A programme approach, which should replace the current framework approach. It should have unambiguous goals, a clear substantive focus and a detailed results framework that covers all dimensions of the programme;
- (c) A clear definition of its global contribution and its contribution to programme countries, through the regional and country programme architecture of UNDP;
- (d) Alignment with the UNDP strategic plan. It should continue to work within and across the three main focus areas identified therein, namely poverty reduction, democratic governance and environment. Within each of these focus areas, work should be concentrated on a limited number of key result areas selected on the basis of past performance and comparative advantage. The approach in the third global cooperation framework of carrying out activities in all service lines should be discontinued;
- (e) A concentration on mainstreaming approaches in the cross-cutting areas of gender equality, capacity development and HIV/AIDS across the focus areas for application by regional and country programmes; and
- (f) The identification of means to reduce the dependency on the global programme to fund posts required by BDP to carry out its core functions such as global development policy work and practice coordination and development. One option may be to amend existing programming arrangements to explicitly allow for the funding of BDP posts.

## RECOMMENDATION 2

**UNDP should develop improved corporate strategies and delivery mechanisms so that the new global programme can better support the achievement of results at the country level based on the following considerations:**

- (a) The need for a corporate knowledge management policy and strategy that clearly identifies the type of knowledge to be codified, how the processes are managed, and how best to

respond to the needs of the organization and programme countries. The role of the new global programme in implementing the new strategy should be clearly defined;

- (b) The new global programme should provide country offices and their national partners with codification of cutting-edge analyses of global issues that are grounded in UNDP experience;
- (c) Demand by country offices for policy advisory, knowledge and programme support should be met by units best placed to respond based on their location and capacity. Primary responsibility and accountability should rest with the regional service centres for managing and delivering programme and policy support to country offices and for conveying country level experience back to the central bureaux responsible for analysis and codification; and
- (d) Responsibility for implementing the new global programme should be shared by BDP and the regional bureaux through the regional service centers. Those components involving the provision of services and support to the country level should be managed by the regional bureaux and the regional service centers. Resources for the new global programme should be allocated and managed based on the requirements of the programme's functions at the global and regional levels and the comparative advantage of respective UNDP units.

## RECOMMENDATION 3

**The new global programme should have an explicit strategy to partner systematically with other United Nations agencies and development institutions in order to contribute to development policy debates and approaches that are critical to programme countries for the achievement of their development goals by:**

- (a) Identifying partners who will add most value in priority areas, specifying joint outcomes to be achieved, and identifying sustained cooperation modalities;

- (b) Collaborating with other United Nations development agencies and development partners to effectively address global development challenges and contribute to global development debates and approaches;
- (c) Strengthening South-South cooperation modalities, in close partnership with programme countries, centres of excellence worldwide and the Special Unit for South-South Cooperation, as a means of ensuring the relevance and appropriateness of the knowledge generated, codified and further promoted; and
- (d) Enabling the thematic centres to enter into long-term collaboration with Southern think tanks and centres of excellence.

#### **RECOMMENDATION 4**

**UNDP should establish a management system for the new global programme that ensures results orientation and accountability through strengthened corporate management and compliance with standard UNDP programming requirements by:**

- (a) Institutionalizing standard results-based planning, performance monitoring and reporting practices that are underpinned by effective support mechanisms, such as a comprehensive substantive database;
- (b) Establishing standards of management performance across all work areas and ensuring, through central coordination, the most strategic deployment of human and financial resources and consistency in implementation;
- (c) Instituting regular audits and outcome evaluations; and
- (d) Conducting a mid-term review of the new global programme to ensure that benchmarks

outlined in the management response to the third global cooperation framework evaluation, and set in the new global programme approved by the Executive Board, are met.

#### **RECOMMENDATION 5**

**UNDP should institutionalize mechanisms to ensure corporate oversight and ownership of the global programme by:**

- (a) Strengthening mechanisms to enable the active participation and full support from corporate UNDP in order to promote buy-in by all units that it serves and from which it draws vital development information;
- (b) Ensuring synergy among the different UNDP units dealing with policy development at the global level, including the Human Development Report Office, the Office of Development Studies, and the Bureau for Crisis Prevention and Recovery, in order to contribute more effectively to global policy debates and advances in development approaches;
- (c) Establishing an advisory board for the global programme involving external partners and internal stakeholders, in order to identify comparative advantage and ensure the relevance of a new global programme;
- (d) Ensuring corporate oversight over the global programme, through a senior management group such as the operations group or management group; and
- (e) Explicitly reporting, on an annual basis, on the performance of the new global programme, as part of the regular system of reporting by UNDP to the Executive Board.

## Chapter 1

# INTRODUCTION

### 1.1 RATIONALE AND CONTEXT

This report sets out the findings of an evaluation of the third global cooperation framework 2005–2007 (GCF-III) that was approved by the Executive Board in June 2005.<sup>8</sup> The Executive Board approved the evaluation of the GCF-III in June 2007<sup>9</sup> as part of the Evaluation Office programme of work for 2007–2008. This evaluation supported the UNDP Administrator’s substantive accountability to the Executive Board. The findings are intended to provide substantive inputs to the formulation of the new global programme (2008–2011), to be presented to the Board for its review and adoption.

The objective of the evaluation was to assess the performance of the GCF-III, provide lessons learned, and offer key recommendations for strengthening the effectiveness of the global programme. The audience for the report includes the UNDP Executive Board and senior management, the Bureau for Development Policy (BDP), the regional service centres (RSCs), the country offices, national governments and counterparts, and the international development community at large.

The GCF-III<sup>10</sup> was intended to complement and strengthen ongoing UNDP support to programme

countries in achieving the Millennium Development Goals (MDGs). It was intended to bring to bear the development experience and knowledge that UNDP accumulated globally to support the development efforts of programme countries. In doing so, it relied on a two-way exchange between the global programme and country offices.

The work of the GCF-III took place within the context of a rapidly changing development and aid environment, as well as UNDP’s evolving strategies and structures aimed at providing more effective support to programme countries. Specifically, this included:

- An international consensus on the MDGs<sup>11</sup>—this focus was reaffirmed by the World Summit in 2005.<sup>12</sup>
- An increased emphasis by the General Assembly in successive Triennial Comprehensive Policy Reviews on greater effectiveness of country-level work by the United Nations,<sup>13</sup> emphasizing poverty reduction, sustainable development, capacity development, gender equality and economic growth.
- The increasing importance of South-South cooperation (SSC) in development cooperation, which often falls outside of the Organisation

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8. The GCF-III was adopted by UNDP in ‘Decisions Adopted by the Executive Board During 2005’, DP/2006/2, 8 November 2005, decision 2005/16, 21 June 2005. GCF-III is described in the programme document: UNDP, ‘UNDP Global Programme, 2005–2007’, DP/GP/1/Rev.1, 22 April 2005.

9. Decision 2007/24, ‘Annual Report on Evaluation’, 22 June 2007, as contained in DP/2008/2, ‘Decisions Adopted by the Executive Board During 2007’, 18 October 2007, p. 20.

10. The global cooperation frameworks, I, II and III, are, when referred to in general terms, often called the “global programme”, especially when compared with regional and country programmes.

11. United Nations, ‘Resolution Adopted by the General Assembly: United Nations Millennium Declaration’, A/RES/55/2, 18 September 2000.

12. United Nations, ‘Resolution Adopted by the General Assembly: 2005 World Summit Outcome, A/RES/60/1, 24 October 2005.

13. United Nations, ‘Resolution Adopted by the General Assembly: Triennial Comprehensive Policy Review of Operational Activities for Development of the United Nations System’, A/RES/59/250, 59th Session Agenda item 90 (b) 17 December 2004.

for Economic Cooperation and Development-Development Assistance Committee (OECD-DAC) modalities. This cooperation included development assistance, trade, foreign direct investment, and exchange of development expertise, experience and solutions.

- A growing awareness of the special development requirements of countries in crisis or post-crisis situations.
- An increasing global appreciation of the developmental challenges related to climate change.
- Increased emphasis on effectiveness of aid and on agreements to work towards better harmonization, alignment and results.

Factors within UNDP included:

- A continuing emphasis on human development as the overarching concept that guides UNDP in all aspects of its work and defines the value of UNDP contributions in its priority programme areas.<sup>14</sup>
- A growing importance assigned by UNDP to the issue of development effectiveness and its 'drivers', including national ownership, capacity development, SSC and gender equality.
- A sustained focus on strengthening UNDP as a knowledge-based organization, which has played an important role in the work of most UNDP bureaux.
- A sustained UNDP orientation towards building partnerships for development beyond the UN system, including with non-governmental organizations, multilateral and bilateral donors, civil society, the private sector, academia and other research institutions.

- A continued emphasis on cooperation and coordination within the UN system, and the pivotal role assigned to UNDP in this context, particularly at the country level.
- A continuing roll-out of the UNDP regionalization process, impacting all UNDP bureaux, which has raised challenges regarding the coherence and alignment of policies and practices within UNDP.
- An evolving division of labour between BDP and regional bureaux as well as a proliferation of policy-oriented entities within UNDP in addition to BDP, such as the Bureau for Crisis Prevention and Recovery, the Partnerships Bureau, the Human Development Report Office, and the Office of Development Studies.
- A growing emphasis, since UNDP's adoption of the results-based management approach in 1997,<sup>15</sup> on the achievement of outcomes rather than processes and outputs.
- A stronger focus by the Executive Board on greater accountability through monitoring, evaluation and audit.

Against this background, this evaluation assessed the developmental contributions of the GCF-III, which was managed by BDP, to the work of UNDP.

## 1.2 SCOPE, APPROACH AND METHODOLOGY

The evaluation assessed the performance of the GCF-III against the following: goals set by the second multi-year funding framework (MYFF) 2003-2007;<sup>16</sup> the objectives and results framework presented in the GCF-III programme document;<sup>17</sup> and the management response to the evaluation of the GCF-II.

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14. For example, the second MYFF 2004-2007 (UNDP, 'Second Multi-year Funding Framework 2004-2007', DP/2003/32, 13 August 2003, Executive Board Decision 2003/24, 12 September 2003) refers to human development throughout the document. The Strategic Plan 2008-2011, states that "The UNDP mission is to support countries to accelerate progress on human development," UNDP, 'UNDP Strategic Plan, 2008-2011 Accelerating Global Progress on Human Development', DP/2007/43, Reissued 17 January 2008.

15. UNDP, 'Annual Report of the Administrator', DP/1997/16/Add.7, 1997.

16. During the period covered by this evaluation (2004-2007), the GCF-III operated within the second MYFF. The new Strategic Plan (2008-2011) came into effect in 2008 January.

17. Approved by the UNDP Executive Board in 2005 (DP/GP/1/Rev. 1 22 April 2005).

### 1.2.1 SCOPE

The evaluation covered all programmatic and operational aspects of the GCF-III. It addressed the GCF-III efforts in all UNDP geographic regions for the duration of the programme (2005-2007),<sup>18</sup> and focused on the strategic dimensions of the evaluation's terms of reference. Given the time constraints, this evaluation did not focus on reviewing work carried out under non-core funding modalities. This study recognized the close links between the GCF-III efforts and the regionalization policy and took into account how implementation of this policy affected the performance of the GCF-III. However, it did not assess the regionalization policy per se.

The strategic reserve, which received a financial allocation through the global programme, was not subject to this evaluation since it did not constitute an integral component of the GCF-III's programmatic and operational framework.

### 1.2.2 APPROACH

The primary focus of the evaluation was to ascertain the contribution of the GCF-III to the achievement of development results at the country level. This also involved assessing the distinct contribution of the GCF-III as a global programme to strengthening RSC, subregional resource facility (SURF) and country office support to programme countries.

The GCF-III was intended to provide catalytic support to development efforts of programme countries. The expected outputs—such as knowledge products, strategic partnerships, and technical cooperation initiatives aimed at strengthening capacity in formulating policies, implementing development programmes and raising resources for development—could not be expected to make a direct contribution to the achievement of development results. Therefore, direct contribution was neither possible to determine nor expected in many cases.

This study did not analyze each individual project, strategic partnership or policy initiative. Rather, through a carefully chosen sample of the GCF-III initiatives, the evaluation aimed to present forward-looking findings and recommendations of a strategic nature.

The evaluation focused primarily on issues of relevance and effectiveness of the GCF-III. It also addressed issues of efficiency (particularly relating to management) and sustainability. The following questions reflect the overall thrust of the inquiry:

- To what extent has the GCF-III supported UNDP's vision, overall strategies and role in development, especially at the global level?
- How has the role and strategic focus of the GCF-III been relevant to country and regional priorities?
- To what extent have the components and actions of the four practice areas and two cross-cutting areas been relevant to and supportive of the GCF-III objectives and expected contributions?
- How well has the GCF-III contributed to UNDP systems and efforts aimed at supporting partner countries' development in each of the practice areas?
- To what extent have the management and institutional systems been appropriate and adequate to ensure effective, high-quality programme delivery?
- What key factors have influenced the approaches and strategies applied by the GCF-III?
- To what extent were the GCF-III initiatives led by a concern to ensure sustainability of effective action and positive effects?
- To what extent have management and operational arrangements led to increased efficiency?

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18. The original duration was 2005-2007 and a one-year extension was granted by the Board in June 2007. UNDP, 'Decisions Adopted by the Executive Board During 2007', DP/2008/2, Decision 2007/44, 18 October 2007, p. 42.

The approach and methodology developed for this evaluation was described in detail in an Inception Report. Evaluation questions were developed based on consultations with key stakeholders during three rounds of discussions in New York and pilot field visits to South Africa and Zambia.

The evaluation was based on quantitative and qualitative analyses. Evidence obtained was triangulated in order to determine findings from differing perspectives. The evidence for this evaluation was collected through:

- Case studies from 14 countries, 7 RSCs/SURFs, 3 thematic centres, and UNDP Headquarters
- Two electronic surveys (one targeting 70 policy specialists and analysts, the other targeting 146 Resident Representatives/Country Directors)
- Analysis of 34 of the 121 global projects
- Desk study of relevant secondary material

### 1.2.3 CASE STUDIES

Case studies were conducted in Headquarters, country offices, RSCs and thematic centres. The primary data collection methodology used was semi-structured interviews with individual stakeholders. In all countries, stakeholders were identified among UNDP, government, civil society organizations, other UN organizations and bilateral donors. A mapping exercise was carried out where stakeholder groups were identified and the nature of their relationship to the GCF-III was determined. Different interview and data gathering methods were constructed to ensure that the views and inputs of all stakeholder groups could be captured. Annex C provides a list of all people interviewed.

Interviews at the UNDP Headquarters in New York were also conducted as part of the case studies. Interlocutors included members of the UNDP Executive Board, the Special Unit for SSC, and other relevant UN institutions.

Extensive consideration was given to the selection of case-study countries. Given the time and resource limitations, a purposive sampling approach was adopted in choosing case-study countries. Selection criteria included: level of global programme support received; development context in terms of income level (with special attention to Least Developed Countries); and representation across regions (with special emphasis on Sub-Saharan Africa). Based on these criteria, and in consultation with BDP and the regional bureaux, the 14 countries listed in Table 1 were selected. The Johannesburg RSC and Zambia served as a pilot case.

Interviews were conducted in all RSCs (Bratislava, Bangkok, Colombo, Dakar and Johannesburg), as well as the SURFs in Beirut and Panama City. All three thematic centres (Oslo Governance Centre, International Poverty Centre in Brasilia, and Nairobi Drylands Development Centre)—all of which are partially funded by the GCF-III—were also selected as case studies.

### 1.2.4 TARGETED SURVEYS

Two questionnaire-based surveys were carried out. The first was of all policy advisors linked to the GCF-III.<sup>19</sup> The survey was sent to 70 policy specialists, 36 of whom (51 percent) responded. The second targeted all 146 Resident Coordinators, Resident Representatives and Country Directors, 33 of whom responded (23 percent). Due to the low response rate of the second survey, the survey was only used for selective analyses and to indicate certain trends among the respondents. See Annex F for the questionnaires and results of these surveys.

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19. Hereinafter the term 'policy specialists' is used and includes the three UNDP levels of policy analysts, policy specialists and policy advisors. The term 'policy advisory services' is meant to include all services delivered by the policy specialists, including programme support services.

**Table 1. Case-study Countries, RSCs and SURFs**

UNDP Region/Thematic Centres	Case-study Countries	RSCs and SURFs
Africa	Liberia Mali Rwanda Tanzania Zambia	RSC Dakar RSC Johannesburg
Arab States	Tunisia Yemen	SURF Beirut
Asia and the Pacific	Cambodia Indonesia Nepal	RSC Bangkok RSC Colombo
Eastern Europe and the Commonwealth of Independent States	Armenia Uzbekistan	RSC Bratislava
Latin America and the Caribbean	Bolivia El Salvador	SURF Panama City
Thematic centres	Drylands Development Centre, Nairobi International Poverty Centre, Brasilia Oslo Governance Centre	

### 1.2.5 ANALYSIS OF A SAMPLE OF GLOBAL PROJECTS

A stratified random sample of 34 projects out of the total of 121 projects under the GCF-III was analyzed. A general portfolio analysis was conducted in all 34 projects and a more detailed substantive analysis was conducted in 20 of these projects, which were chosen by another stratified random sampling process. The stratification took place according to the practice and cross-practice areas and weighted in proportion to the total number of projects in each area. Given the breadth of the project portfolio and the modest size of most projects, in-depth study of a representative sample of global projects was considered to be beyond the scope of the evaluation.

### 1.2.6 DESK STUDY

Secondary evidence was gathered through a study of evaluations and reviews, programme and project documents, annual reports, back to office reports, and knowledge products pertaining to the GCF-III. Material related to similar work conducted by other organizations was also reviewed to situate the work in UNDP in a

comparative manner. A list of the documents reviewed is found in Annex B.



The emphasis of this evaluation was on assessing the GCF-III role in reinforcing support to country offices in their efforts to achieve the MDGs, and strengthening UNDP as a globally networked and knowledge-based organization. Particular attention was given to whether the rationale and principles that underpin the GCF-III have been adhered to and the degree to which they have contributed to fulfilling the GCF-III objectives.

### 1.3 LIMITATIONS AND CONSTRAINTS

The limitations of the evaluation included: challenges in developing a methodology to address the broad and complex nature of the GCF-III, inability to cover the full diversity of country experiences, lack of data and evaluative evidence due to inadequate monitoring and self-assessments, and extremely tight timelines.

- Challenges in developing methodology—The complex character of the GCF-III posed obstacles to developing a rigorous evaluation methodology. At some times, the GCF-III served as a ‘framework’—setting boundaries and defining broad parameters for its operation including what was ‘global’ in the global programme and the practice areas within which the programme functions. At other times it served as a ‘programme’, with the expectation of a clear purpose and results-orientation. In addition, the nature of the intended outputs and outcomes (such as the influence of knowledge products, partnerships built and capacities developed) made rigorous assessment of performance challenging. It was also difficult to clearly identify a community that includes both direct and indirect stakeholders (for example, people or organizations that make use of the GCF-III-funded knowledge products.)
- Inability to cover the full diversity of country experiences—As with all case-study approaches, there were challenges to capturing the diverse experience at the country level through select case studies. Although this evaluation considered 14 countries, most RSCs and SURFs, and all thematic centres, generalizing case-study findings was difficult.
- Lack of data and evaluative evidence—The GCF-III programme document contained a ‘results and resources framework’ that presented the intended outputs, outcomes and indicators. However, there was very little evaluative evidence generated due to a lack of consistent performance monitoring on these intended outputs and outcomes. The paucity of such evidence inhibited more detailed substantive assessments.
- Tight timelines—The evaluation was conducted under extremely tight timelines,

which influenced the amount of data that could be collected as well as the depth of analysis. In addition, the evaluation was deprived of some substantive and analytical inputs because of the last-minute withdrawal of one team member due to personal reasons.

## 1.4 QUALITY ASSURANCE

An independent Advisory Panel of five international experts was constituted to review the rigour of the evaluation methodology and the validity and quality of evidence, to verify if findings were based on evidence, and to ensure the conclusions and recommendations were based on findings. This was complemented by an Evaluation Office internal review of the Inception Report, Evaluation Terms of Reference, and the draft reports.

The Inception Report and the Terms of Reference were developed based on consultations with a number of stakeholders at UNDP Headquarters and pilot case studies. Stakeholder feedback was sought for factual inaccuracies, errors of interpretation and omission of evidence that could materially change the findings of the report.

## 1.5 STRUCTURE OF THE REPORT

This report is organized in five chapters. Against the background of this introductory chapter, Chapter 2 presents the historical context of the global programme and how the GCF-III was operationalized within UNDP. Chapter 3 reviews the performance of the GCF-III in terms of the results achieved under the four practice areas and two cross-cutting themes, implementation strategies and management arrangements. Chapter 4 discusses some of the main issues and themes that emerge from the evaluation. Chapter 5 presents the conclusions and recommendations of this evaluation.

## Chapter 2

# THE GCF-III IN UNDP

### 2.1 THE EVOLUTION OF THE GCFs

During the past decade, UNDP has had three GCFs, managed by the BDP. The evolution of the global programmes mirrored the changes in UNDP (Annex D presents the objectives of the three GCFs over the 10-year period 1997 to 2007, demonstrating this evolution in role). Until 1996, the global and interregional programme was used primarily to finance topical corporate-level initiatives and partnerships with major intergovernmental and academic institutions in such areas as international health and agriculture research. The first GCF (1997-2000), was conceived as a mechanism to “contribute to the overall development efforts of UNDP [by furthering] sustainable human development by translating global development aspirations and mandates into innovative and practical development interventions for application by UNDP through regional and country programmes and projects.”<sup>20</sup>

Building on the experiences of the GCF-I, the second GCF (2001-2003, extended to 2004) was designed to provide services in three priority support areas: “(a) global advocacy and analysis to generate knowledge, build alliances, and promote enabling frameworks on key development issues; (b) policy advice, support and alignment across programmes, drawing on the global network of policy specialists; and (c) knowledge-networking and the sharing of best practices, drawing on the SURF system and communities of practice to support country and regional programming efforts.”<sup>21</sup>

#### 2.1.1 LESSONS LEARNED FROM THE EVALUATION OF THE GCF-II

The GCF-III programme document highlighted a number of key conclusions and recommendations contained in the evaluation of the GCF-II and indicated how the GCF-III intended to respond to them.<sup>22</sup>

- The GCF-II made a positive contribution to global policy, advocacy, knowledge generation and sharing, and partnerships. The GCF-III would build on the successes by further strengthening knowledge management.
- The GCF-II effectively supported the development of a global network of policy specialists to support country programmes. The GCF-III would continue funding policy specialists and strengthen their cost-effective and strategic deployment.
- The GCF-II lacked a cohesive framework and needed more focus. The GCF-III would be closely aligned with the MYFF 2004-2007, which provided greater focus. At the country level, the GCF-III would not seek to activate each service line but would respond flexibly to country demands.
- The GCF-II had weak execution, oversight and reporting. The GCF-III would overcome programme management deficiencies, improve financial accountability, and provide oversight through the UNDP Executive Team, consisting of deputy bureau directors and an external advisory committee.

20. UNDP, ‘First Global Country Cooperation Framework, 1997-2000’, DP/GCF/1/Rev.1, 13 August 1997, p. 5, paragraph 13.

21. UNDP, ‘Second Global Cooperation Framework, 2000-2003’, DP/GCF/2, 27 November 2000, p. 9, paragraph 27.

22. UNDP, ‘Management Response to the Evaluation of the Second Global Cooperation Framework’, DP/2004/42, 26 August 2004.

### 2.1.2 DESIGN OF THE GCF-III

As with the two preceding GCFs, the objective of the GCF-III was to support programme countries in achieving the MDGs.<sup>23</sup> To do so, the GCF-III aimed:

- “To help UNDP country offices improve their effectiveness on the ground, in responding to requests from programme countries to plan, manage and deliver resources for development in pursuit of the MDGs,
- To support developing countries, when requested in developing policy frameworks that take advantage of global opportunities and resources under the priority goals of the second MYFF 2004-2007, and
- To enable developing countries to benefit from interregional knowledge exchange and South-based experiences and learning, and ensuring that development assistance, advice, programme design and capacity-building efforts draw on global best practices and expertise.”<sup>24</sup>

The GCF-III programme document identified a four-fold rationale for the global programme: ensure coherence among country, regional and global programmes within the organizing framework of the MYFF and build synergies in project formulation and implementation, sharing interregional good practices and consolidating knowledge into knowledge products; codify the pooled experiences and lessons learned from the UNDP network on the ground in 166 countries and the work of all UN organizations into knowledge products to the benefit of programme countries as well as UNDP, and facilitate the exchange of knowledge through knowledge networks; respond to the demand of programme countries for South-based development solutions through facilitating SSC; and enable strategic partnerships to influence the global agenda.

Three primary modalities were used to implement the GCF-III activities: country-level policy and programme support through a global network of policy specialists; targeted global projects and strategic partnerships addressing key development issues affecting countries in multiple regions; and a system of interregional knowledge creation, transfer and codification.

The work of the GCF-III was based on principles contained in the Triennial Comprehensive Policy Review resolution<sup>25</sup> and the MYFF to ensure national ownership and leadership of the development process, and mainstreaming gender equality and capacity development in each service line.

Under the umbrella of the MYFF 2004-2007, the GCF-III supported activities in four areas: achieving the MDGs and reducing human poverty; fostering democratic governance; managing energy and the environment for sustainable development; and responding to HIV/AIDS.

The MYFF Priority Goal 4 relates to the area of Crisis Prevention and Recovery, which has been managed by the Bureau for Crisis Prevention and Recovery since January 2004. By and large, the activities outlined under each priority goal corresponded with service lines defined under the MYFF and specified the GCF-III contributions to the achievement of the respective priority goals. The linkage between the project-related activities and the delivery of outputs, achievement of outcomes and, ultimately, the MYFF goals, was captured in a results and resources framework.<sup>26</sup> The GCF-III activities relating to other modalities, such as advisory services and the work to be conducted on knowledge management, were not reflected in the results framework. Another point of departure from the GCF-II was the funding for the Human Development Report Office and the Office of Development Studies, which was not covered by the GCF-III.

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23. UNDP, ‘UNDP Global Programme, 2005-2007’, DP/GP/1/Rev.1, 22 April 2005, p. 7.

24. Ibid.

25. United Nations, ‘Resolution Adopted by the General Assembly: Triennial Comprehensive Policy Review of Operational Activities for Development of the United Nations System’, 59th Session Agenda item 90 (b) 17 December 2004, A/RES/59/250.

26. UNDP, ‘UNDP Global Programme, 2005-2007’, DP/GP/1/Rev.1, 22 April 2005, Annex 2, p. 18.

Most of the cross-cutting areas covered under the GCF-II were expected to be taken forward under the GCF-III, in particular, gender equality and capacity development. While knowledge management constituted an important cross-cutting issue in both the GCF-II and GCF-III, it was never treated as a distinct area. The area of ‘information and communications technology’ was no longer specifically addressed in the GCF-III but was subsumed under the governance and poverty areas. The programme document specified that the issue of gender equality would come under the direct management of the BDP Directorate “in order to strengthen gender mainstreaming and ensure a gender perspective in the MYFF goals.”<sup>27</sup> Similarly, the programme document stated that “BDP manages the UNDP corporate knowledge

management strategy and provides support for its implementation, including networks and knowledge content.” While capacity development was highlighted as a principle, the programme document did not clarify management arrangements regarding this as a cross-cutting area.

## 2.2 PRACTICE AREAS AND CROSS-CUTTING THEMES

BDP implemented the global programme through six groups that correspond to the four practice areas (poverty and MDGs, democratic governance, environment and energy, and HIV/AIDS) and the two cross-cutting themes (gender and capacity development). Table 2

<b>Table 2. Overview of Service Lines Covered by the GCF-III</b>	
<b>Practice</b>	<b>Service Lines</b>
Poverty Group	(i) MDG country reporting and poverty monitoring (ii) Pro-poor policy reform to achieve MDG targets (iii) Local poverty initiatives, including microfinance (iv) Globalization benefiting the poor (v) Private-sector development (vi) Gender mainstreaming (vii) Civil society empowerment (viii) Making ICTD [Information and Communications Technology for Development] work for the poor
Democratic Governance Group	(i) Policy support for democratic governance, (ii) Parliamentary development (iii) Electoral systems and processes (iv) Justice and human rights (v) E-governance and access to information (vi) Decentralization, local governance and urban-rural development (vii) Public administration reform and anti-corruption
Environment & Energy Group	(i) Frameworks and strategies for sustainable development (ii) Effective water governance (iii) Access to sustainable energy services (iv) Sustainable land management to combat desertification and land degradation (v) Conservation and sustainable use of biodiversity (vi) National/sectoral policy and planning to control emissions of ozone-depleting substances and persistent organic pollutants
HIV/AIDS Group	(i) Leadership and capacity development to address HIV/AIDS (ii) Development planning, implementation and HIV/AIDS responses (iii) Advocacy and communication to address HIV/AIDS

27. Ibid, p. 15, paragraph 49.

**Table 3. Poverty Group Expenditures and Practice-related Statistics**

Practice	
<b>Budget</b>	
GCF project budget allocations	\$8.8 million
GCF project expenditure	\$9.5 million
<b>Staff</b>	
Total staff in practice	64
GCF funded staff	53
Percentage GCF staff of total staff	83%
Percentage expenditure on staff (inclusive of policy specialist costs and salary expenditure of GCF projects)*	75%
<b>Projects</b>	
Total projects in practice	57
GCF funded projects	33
Percentage GCF projects of total projects**	58%
<b>Resource Mobilization</b>	
Total non-core (cost sharing, trust funds and Thematic Trust Funds [TTFs])	\$56.7 million
Percentage TTF of non-core	20%
Percentage of GCF target (\$190 million)	6%

\* This calculation assumes that funds allocated to policy specialist posts were also expended, which would not necessarily always be the case. \*\* This figure may be misleading since the GCF-III projects were typically small, whereas other trust fund or TTF projects may have been significantly larger. A comparison of the funding provided to different types of projects would indicate a relatively lower significance of the GCF-III contribution to the practice group's work.

outlines how the MYFF priority areas and respective service lines were implemented.

### 2.2.1 ACHIEVING THE MDGS AND REDUCING HUMAN POVERTY

The BDP Poverty Group was chiefly responsible for work on the MDGs and reducing human poverty. The group's work was structured around three sub-areas: support to MDG-aligned national development strategies; inclusive globalization with a human development focus on the poorest and most vulnerable; and strategies and policies for poverty reduction.

During the GCF-III, the Poverty Group expanded considerably, particularly after the Millennium Project led by Jeffrey Sachs was integrated with the Poverty Group. As a result, there was a significant increase in staff—22 members of the Poverty Group staff were linked to the MDG Support Project. As seen in Table 3, the vast majority of staff members were funded

by the GCF-III. Of the Poverty Group staff, 25 were the GCF-III-funded policy specialists (6 in New York and 19 in RSCs) and the other 28 were funded by global projects. The Poverty Group had the highest ratio of GCF-funded staff to total staff of all other practice areas. The salaries for the 53 GCF-III-funded staff members made up approximately 75 percent of the GCF-III expenditure in the poverty area.

### International Poverty Centre

The International Poverty Centre was formally established in 2002 as a partnership between UNDP and the Brazilian Institute of Applied Economic Research. UNDP chose the Brazilian Institute of Applied Economic Research because it felt it needed to enter into a collaborative arrangement with a prestigious, established Southern-based research institution. The choice was also made with a view to adding a South-South applied research component to the functions performed by Headquarters and

**Table 4. Democratic Governance Group Expenditures and Practice-related Statistics**

Practice	
<b>Budget</b>	
GCF project budget allocations	\$6.8 million
GCF project expenditure	\$6.4 million
<b>Staff</b>	
Total staff in practice	48
GCF funded staff	35
Percentage GCF staff of total staff	73%
Percentage expenditure on staff (inclusive of policy specialist costs and salary expenditure of GCF projects)*	84%
<b>Projects</b>	
Total projects in practice	74
GCF funded projects	32
Percentage GCF projects of total projects**	43%
<b>Resource Mobilization</b>	
Total non-core (cost sharing, trust funds and TTFs)	\$90.8 million
Percentage TTF of non-core	85%
Percentage of GCF target (\$190 million)	41%

\* This calculation assumes that funds allocated to policy specialist posts were also expended, which would not necessarily always be the case. \*\* This figure may be misleading since the GCF-III projects were typically small, whereas other trust fund or TTF projects may have been significantly larger. A comparison of the funding provided to different types of projects would indicate a relatively lower significance of the GCF-III contribution to the practice group's work.

regional policy specialists. The centre had three initial objectives: training high-level analysts and decision makers in poverty reduction, conducting South-South research on alternative anti-poverty strategies and pro-poor policies, and creating a global database for quantitative policy analysis.

The International Poverty Centre was funded by the global programme and the Brazilian Institute of Applied Economic Research (the latter through in-kind contributions). Funding from the global programme for the period 2005-2007<sup>28</sup> was fundamental for staffing, research directions and resource mobilization and represented 69 percent of the Centre's cash income during the period (50 to 55 percent of

total income taking into account the Brazilian Institute of Applied Economic Research in-kind contribution). The GCF-III funded four international staff members at the International Poverty Centre out of a total of approximately 23 staff.<sup>29</sup>

### 2.2.2 FOSTERING DEMOCRATIC GOVERNANCE

The GCF-III second priority goal was fostering democratic governance with a two-pronged focus: democratic governance as a means to "accelerate human development" and "build governance capacity to achieve the MDGs."<sup>30</sup> The BDP Democratic Governance Group assumed primary responsibility for this area, including all MYFF service lines in its activities, with varying

28. GCF contributions amounted to \$2.745 million during the period under review (\$1 million for each of 2005 and 2006 and \$745,000 for 2007).

29. As of 1 March 2008, following the retirement of International Poverty Centre's acting director, all the international positions remained vacant.

30. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, paragraph 24.

levels of support and resource allocation. In its 2007 Annual Report, the Democratic Governance Group estimated that during the 2004-2007 period, three of the seven service lines accounted for nearly 80 percent of all practice-area expenditure: public administration reform and anti-corruption (41 percent), decentralization and local governance (19 percent) and electoral assistance (18 percent).

As of September 2007, the GCF-III-funded staff in the Democratic Governance Group included: 27 policy specialists (8 based at Headquarters and 19 in RSCs and SURFs<sup>31</sup>), 7 project staff members (6 based at the Oslo Governance Centre and 1 based in New York), and 1 post funded from GCF's extra-budgetary income.<sup>32</sup> The GCF-III-funded staff accounted for 73 percent of total BDP staff working in the Democratic Governance Group (a percentage exceeded only by the Poverty Group) and 84 percent of the GCF-III core expenditure in the democratic governance area.

#### **Oslo Governance Centre**

The Oslo Governance Centre, which was established in 2002, functioned as a separate entity under the Democratic Governance practice in BDP. The purpose of the Centre was to position UNDP as a champion of democratic governance as an end in itself and as a means to achieve the MDGs; focus on cross-cutting governance issues through innovative research and multi-disciplinary team-work; and network and develop partnerships with leading policy and research institutions, both 'North' and 'South'.

The Oslo Governance Centre was funded by the GCF-III and the Government of Norway, which paid more than half of the costs via its contribution to the Democratic Governance TTF. Initially, the annual budget was approximately \$5 million, but

since 2005 it has been approximately \$3 million (\$1 million from the GCF-III and \$2 million from the Democratic Governance TTF). The centre has a staff of 18 including its director and four policy specialists.

#### **2.2.3 MANAGING ENERGY AND THE ENVIRONMENT FOR SUSTAINABLE DEVELOPMENT**

The Environment and Energy Group in BDP, which was formed in 2001, was responsible for the environment and energy activities of the GCF-III, which cover all six MYFF service lines outlined under the environment priority area. Four cross-cutting areas were also identified: poverty-environment, climate change, environmental governance, and community-based initiatives. The Group was also in charge of formulating the UNDP position on global issues pertaining to the environment and energy area. The GCF-III programme document specifies its focus as "...linking local and global actions in the areas of energy and environment to support sustainable development efforts as a follow-up to the World Summit on Sustainable Development, as well as the realization of all the MDGs, with particular emphasis on MDG-7."<sup>33</sup> In practice, however, UNDP (and thus the GCF-III) concentrated on two of the main goals under MDG-7—integrating the principles of sustainable development into country policies and programmes, and reversing the loss of environmental resources and biodiversity by 2010.

In terms of manpower, the Environment and Energy Group was the largest thematic group under BDP. Seventeen percent of staff were funded by the GCF-III: 13 policy specialists (5 in New York and 8 in RSCs and SURFs) and 6 other positions (mainly funded through global projects), representing 76 percent of the GCF-III expenditure in the Environment and Energy Group area.

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31. Regional Bureau for Africa (RBA): 6; Regional Bureau for Asia and the Pacific (RBAP): 3; Regional Bureau for Arab States (RBAS): 2; Regional Bureau for Europe and the Commonwealth of Independent States (RBEC): 3, and Regional Bureau for Latin America and the Caribbean (RBLAC): 5. Annex E, Table 14.

32. Annex E, Table 11.

33. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, p. 11.

**Table 5. Environment and Energy Group Expenditures and Practice-related Statistics**

Practice	
<b>Budget</b>	
GCF project budget allocations	\$6.3 million
GCF project expenditure	\$6.9 million
<b>Staff</b>	
Total staff in practice	111
GCF funded staff	19
Percentage GCF staff of total staff	17%
Percentage expenditure on staff (inclusive of policy specialist costs and salary expenditure of GCF projects)*	76%
<b>Projects</b>	
Total projects in practice	93
GCF funded projects	18
Percentage GCF projects of total projects**	19%
<b>Resource Mobilization</b>	
Total non-core (cost sharing, trust funds and TTFs)	\$53.1 million
Percentage TTF of non-core	56%
Percentage of GCF target (\$190 million)	16%

\* This calculation assumes that funds allocated to policy specialist posts were also expended, which would not necessarily always be the case. \*\* This figure may be misleading since the GCF-III projects were typically small, whereas other trust fund or TTF projects may have been significantly larger. A comparison of the funding provided to different types of projects would indicate a relatively lower significance of the GCF-III contribution to the practice group's work.

### Drylands Development Centre

The Drylands Development Centre was established in 2002 in Nairobi to lead UNDP work in fighting poverty and supporting long-term development in the drylands. It evolved from the UNDP-managed UN Sudano-Sahelian Office. Since then, the Drylands Development Centre has moved to an integrated, programmatic approach. It established the Integrated Drylands Development Programme, currently active in 19 countries in sub-Saharan Africa and the Arab States. Work in the Integrated Drylands Development Programme was based on three approaches: mainstreaming dryland development issues into national policy and planning frameworks; reducing vulnerability of poor populations to climatic shocks, especially drought; and improving local governance of natural resources management.

### 2.2.4 RESPONDING TO HIV AND AIDS

The GCF-III fourth priority goal was responding to HIV/AIDS with a two-pronged focus: “halting the spread of HIV/AIDS (MDG 6)” and “achieving the goals set during the United Nations General Assembly Special Session on HIV/AIDS.”<sup>34</sup> Additionally, activities in this practice area were intended to “promote gender equality (MDG 3) and support trade and intellectual-property rights regimes that facilitate access to low-cost AIDS drugs (MDG 8).”<sup>35</sup> To a varying degree, the GCF-III supported all three MYFF service lines. The BDP HIV/AIDS Group was responsible for the implementation of this practice area.

As of September 2007, the HIV/AIDS Group was the smallest in terms of staffing of the four practice areas with only four staff members

34. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, paragraph 35.

35. Ibid.

<b>Table 6. HIV/AIDS Group Expenditures and Practice-related Statistics</b>	
<b>Practice</b>	
<b>Budget</b>	
GCF project budget allocations	\$2.7 million
GCF project expenditure	\$2.9 million
<b>Staff</b>	
Total staff in practice	26
GCF funded staff	4
Percentage GCF staff of total staff	15%
Percentage expenditure on staff (inclusive of policy specialist costs and salary expenditure of GCF projects)*	34%
<b>Projects</b>	
Total projects in practice	28
GCF funded projects	5
Percentage GCF projects of total projects**	18%
<b>Resource Mobilization</b>	
Total non-core (cost sharing, trust funds and TTFs)	\$21.8 million
Percentage TTF of non-core	10%
Percentage of GCF target (\$190 million)	1.17%

<b>Table 7. Gender Group Expenditures and Practice-related Statistics</b>	
<b>Practice</b>	
<b>Budget</b>	
GCF project budget allocations	\$1.1 million
GCF project expenditure	\$1.2 million
<b>Staff</b>	
Total staff in practice	8
GCF funded staff	6
Percentage GCF staff of total staff	75%
Percentage expenditure on staff (inclusive of policy specialist costs and salary expenditure of GCF projects)*	65%
<b>Projects</b>	
Total projects in practice	14
GCF funded projects	7
Percentage GCF projects of total projects**	50%
<b>Resource Mobilization</b>	
Total non-core (cost sharing, trust funds and TTFs)	\$6.6 million
Percentage TTF of non-core	43%
Percentage of GCF target (\$190 million)	1.5%

\* This calculation assumes that funds allocated to policy specialist posts were also expended, which would not necessarily always be the case. \*\* This figure may be misleading since the GCF-III projects were typically small, whereas other trust fund or TTF projects may have been significantly larger. A comparison of the funding provided to different types of projects would indicate a relatively lower significance of the GCF-III contribution to the practice group's work.

funded by the GCF-III: two policy specialists (one at Headquarters and one at the Johannesburg RSC); one senior policy advisor (who also managed the Regional Bureau for Asia and the Pacific [RBAP] Regional Programme on HIV/AIDS) at the Colombo RSC; and one project staff member.<sup>36</sup> The GCF-III-funded staff represented 15 percent of total HIV/AIDS staff and 34 percent of the GCF-III expenditure in the HIV/AIDS area.

### 2.2.5 MAINSTREAMING GENDER

Until mid 2007, the Gender Team, which is based at Headquarters and reports directly to the Director of BDP, consisted of one director, one policy specialist (both of whom were GCF-funded), one trust fund manager and one programme manager. The GCF-III also funded four regional policy specialist positions (one each

in the RSC-Johannesburg, the RSC-Dakar, the Arab States SURF and the RSC-Colombo).

An additional core allocation after mid 2007 made it possible to recruit new staff. However, the new organigram of the Gender Team was not finalized at the time of writing this report. The GCF-III-funded staff represented 75 percent of the BDP staff in this area and 65 percent of the GCF-III expenditure in the Gender area.<sup>37</sup>

### 2.2.6 MAINSTREAMING CAPACITY DEVELOPMENT

The GCF-III document stated that the "...global programme will support the capacities needed to respond to growing demands for generating and implementing MDG-focused national development strategies and pro-poor policies."<sup>38</sup> Capacity

**Table 8. Capacity Development Group Expenditures and Practice-related Statistics**

Practice	
<b>Budget</b>	
GCF project budget allocations	\$2.2 million
GCF project expenditure	\$2.1 million
<b>Staff</b>	
Total staff in practice	25
GCF funded staff	8
Percentage GCF staff of total staff	32%
Percentage expenditure on staff (inclusive of policy specialist costs and salary expenditure of GCF projects)*	65%
<b>Projects</b>	
Total projects in practice	30
GCF funded projects	10
Percentage GCF projects of total projects**	33%
<b>Resource Mobilization</b>	
Total non-core (cost sharing, trust funds and TTFs)	\$7.1 million
Percentage TTF of non-core	0%
Percentage of GCF target (\$190 million)	0%

\* This calculation assumes that funds allocated to policy specialist posts were also expended, which would not necessarily always be the case. \*\* This figure may be misleading since the GCF-III projects were typically small, whereas other trust fund or TTF projects may have been significantly larger. A comparison of the funding provided to different types of projects would indicate a relatively lower significance of the GCF-III contribution to the practice group's work.

36. Annex E, Table 13.

37. Including policy advisor budgeted costs and global project expenditures. However, this may not include the cost of the director.

38. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, paragraph 7(c), p. 5.

development, along with gender, was also stated as a MYFF development driver.<sup>39</sup>

The GCF-III funded eight posts in the Capacity Development Group: two policy specialists and six posts funded from the targeted global projects representing 32 percent of staff and 65 percent of the GCF-III expenditure in the capacity development area.

## 2.3 IMPLEMENTATION STRATEGY

The organizational structure through which BDP implemented activities funded through the GCF-III core resources was also responsible for the implementation of activities funded through non-core resources. The GCF-III was primarily implemented through BDP's Poverty Group, Democratic Governance Group, Environment and Energy Group, HIV/AIDS Group, Capacity Development Group, and Gender Team.

The implementation modalities used by each practice group included policy advisory services, targeted projects (also referred to as global projects), and knowledge management. While resource allocation in the GCF-III programme document was based primarily on the four MYFF goals, in implementation, resources were reallocated across the six practice groups in accordance with supply and demand. The implementation modalities were intended to be complementary and to reinforce each other in the delivery of the GCF-III activities.

### 2.3.1 POLICY ADVISORY SUPPORT SERVICES

The allocation of policy specialist posts took place in line with the programme document and

covered the 24 service lines of the MYFF within the scope of the global programme. Accordingly, 25 of the 75 policy specialists (spread across the different practice areas) were based at Headquarters, and 50 were based in the RSCs and SURFs. The policy specialists were expected to provide country-level policy and programme support and to function "akin to a consultancy in that UNDP's 'client'—a programme country government—can access [their] services through requests to country offices." The policy specialists delivered their services through advisory missions, technical backstopping and facilitating access to the best comparative global experience.<sup>40</sup>

### 2.3.2 GLOBAL PROJECTS

The GCF-III-funded targeted projects (commonly referred to as global projects) were the main mechanism through which BDP/UNDP developed and financed projects that addressed global or multi-regional development issues.<sup>41</sup> With a budget of \$22.56 million,<sup>42</sup> approximately one fourth of the total global programme budget was allocated to global projects.

The GCF-III global projects were only a small part of BDP's broader project landscape, with which they were often intricately linked. The GCF-III was also expected to contribute to leveraging additional non-core resources of \$190 million in TTF resources, as stipulated in the programme document.<sup>43</sup> In 2005-2007, according to BDP, an additional \$1.2 billion was generated through cost-sharing arrangements, trust funds (including the Montreal Protocol and Global Environmental Facility [GEF] resources) and TTFs.<sup>44</sup>

Both the GCF-III global projects and BDP non-core projects covered the same set of service lines

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39. Ibid, paragraph 19, p. 8.

40. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005.

41. Formally, all the GCF-III funds, including those for policy advisory services, knowledge management and the thematic centres, were disbursed through projects. However, these projects were not classified as targeted projects and were not discussed in this section.

42. See Table 10.

43. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, p.1.

44. Annex E, Table 6.

and priority goals defined under the MYFF 2004-2007.<sup>45</sup> However, while most of BDP non-core funding was disbursed directly at the country level, the GCF-III global projects supported the development of programme countries more indirectly by focusing on broader cross-cutting issues of global or inter-regional concern, corporate themes in support of UNDP-wide practice alignment and coherence, and knowledge creation and sharing that could be applied by country offices throughout the world.

The GCF-III was mandated to work on a range of subjects as specified in the service lines relating to the different MYFF goals. In practice, this meant that the GCF-III global project resources were distributed relatively evenly across practice and cross-practice areas as well as across service lines within the four practice areas. Targeted projects were used by the practice groups for a range of different purposes within their areas, such as piloting new approaches, developing knowledge tools, supporting knowledge networking, building capacity at the country level and leveraging additional non-core resources. Some projects also supported cross-practice initiatives. During the GCF-III period, targeted projects financed 69 posts, which supported the implementation of the projects.

Global projects also provided the funding mechanism through which the GCF-III financed the three thematic centres under the practice areas of poverty (International Poverty Centre, Brasilia), governance (Oslo Governance Centre) and environment and energy (Drylands Development Centre, Nairobi). They emphasized applied research, policy or practice-related advice, and operational support to programme countries in line with the respective practice area.

### 2.3.3 KNOWLEDGE MANAGEMENT

Knowledge management had considerable prominence in the GCF-III programme document. The exchange and management of knowledge was one of the three main objectives of the GCF-III, linked to one of the four rationales and one of the three implementation modalities;<sup>46</sup> one of the main activities of the policy specialists; and one of the main considerations in most of the global projects (in terms of the production of knowledge products).

In terms of GCF-III support to knowledge management in UNDP, the GCF-III implementation modality focused on the development of a “knowledge management system of interregional knowledge creation, transfer and codification.” The designers of the GCF-III continued the thrust of GCF-II, which sought to transform UNDP into a professional, knowledge-based organization. This was to be done through knowledge creation, primarily through policy specialists; knowledge transfer/sharing, through the knowledge networks that support the UNDP communities of practice; and knowledge codification of guidance tools for the country offices, practice notes, websites and workspaces.<sup>47</sup>

Knowledge management was financed, in particular, through the GCF-III-funded BDP Knowledge Services Project (#11408) with 2005-2007 core funding in the amount of \$4 million. Its main objective was to support “...the achievement of the MDGs through the promotion, development and implementation of innovative approaches to knowledge management at global and regional levels. It makes use of the global team of knowledge network facilitators and research analysts and the SURFs and RSCs as its outreach mechanism.”<sup>48</sup> The main outputs were the

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45. UNDP, ‘Second Multi-year Funding Framework 2004-2007’, DP/2003/32, 13 August 2003, Executive Board Decision 2003/24, 12 September 2003.

46. UNDP work on knowledge management began in the mid to late 1990s when the SURFs, community of practices and Global Networks were established by BDP. Their role was to provide policy advisory support to the country offices and was part of an overall restructuring of the BDP aimed at bringing policy and practice closer together.

47. UNDP, ‘UNDP Global Programme, 2005-2007’, DP/GP/1/Rev.1, 22 April 2005, paragraph 18.

48. UNDP, ‘Project 11408 Annual Project Review’, UNDP BDP, December 2006.

establishment of six permanent Knowledge Management Facilitation Teams for each of the main practices and cross-cutting areas (these are comprised of Knowledge Network Facilitators and Research Analysts); a knowledge sharing and network approach for the UN system;<sup>49</sup> and catalytic funding support to a number of knowledge management initiatives at the global and regional levels, including cross-practice queries and e-discussions, and training and support to the development of a regional ‘community of practice’ in the RBAP.

The primary means for implementing the knowledge management modality was through the knowledge networks<sup>50</sup> that were supported directly by the GCF-III as noted in Table 9.

With respect to the networks, the GCF-III was designed to stimulate interaction among the

communities of practices in order to develop and make available the best knowledge and expertise to support UNDP work with national partners.

## 2.4 MANAGEMENT ARRANGEMENTS

Unlike most UNDP programmes, the management of the GCF-III was based on a complex mosaic of institutional structures, delivery modalities and management arrangements. The GCF-III was delivered vertically across UNDP as a three-tiered organization (corporate or global, regional and country level) and each institutional structure had varying mechanisms for management, oversight and reporting. The GCF-III was implemented by BDP, which was responsible for all aspects of its management and was accountable for the use of resources and the achievement of results. In addition to BDP, the institutional machinery comprised:

<b>Global Network Title</b>	<b>Membership</b>
Democratic Governance Practice Network	2,289
Poverty Reduction Practice Network	1,581
HIV/AIDS Practice Network	1,429
Energy and Environment Practice Network	1,250
Capacity Development Network	865
Millennium Development Goals ( <i>partially funded</i> )	3,653
<b>Total</b>	<b>11,067</b>

Note: There are other networks (both global and regional), not listed here, that received indirect support from GCF-III through the facilitation by policy specialists or other GCF-III-funded staff.

Source: BDP

49. The development of knowledge sharing partnerships is an ongoing process, and was initiated during the second global programme.

50. The networks listed in Table 2 were supported by the GCF-III. In addition, there are several other major networks in UNDP, and (with memberships) these include, Crisis Prevention and Recovery (1,912), MDG-net (3,736), HuriTALK (1,095), HDR-net (964), Management Practices (3,621) and EVAL-net (1083). There are also several other networks of a more specialized nature in UNDP (e.g. finance, procurement, human resources, project management). The total membership of the major global networks as of end 2007 in UNDP is 21,262. Membership in the global networks has tripled over the period 2003–2007.

- Practice groups within BDP—The responsibility for four of the MYFF priority areas was organized into distinct practice groups in BDP.<sup>51</sup>
- The network of GCF-III funded policy specialists—Provided a range of policy advisory and programme support services at the Headquarter, regional and country levels.
- Thematic centres—Varied operational and funding arrangements were made with the Oslo Governance Centre, the International Poverty Centre in Brasilia and the Drylands Development Centre in Nairobi.
- RSCs and SURFs—Signed as joint ventures between the regional bureaux and BDP through matrix management of BDP policy specialists.
- Implementing partners and agencies—Implementation of some components of the GCF-III was carried out by a range of partners including UN specialized agencies, funds and programmes (such as the UN Office for Project Services and United Nations Development Fund for Women [UNIFEM].)

In addition, BDP managed the communities of practice, global knowledge networks, six TTFs, other trust funds, and hundreds of global projects and programmes of which 121 were funded in whole or in part by the GCF-III and directly executed by BDP (see Annex G).

#### 2.4.1 RSCS, SURFS AND REGIONALIZATION

The country-level policy advisory and programme support services described in this report were delivered primarily through the RSC and SURF structures. The decision to integrate the pre-existing network of BDP-managed SURFs with the emerging RSCs was made in mid 2003.<sup>52</sup> Recommendations for formalizing the regionalization process were made in the Management Review II of early 2007. BDP examined how the Management Review's recommendations could be applied to BDP and how the RSCs and SURFs could be further reformed in light of BDP experiences at the regional and country level. More specific proposals for regionalization were developed and approved in late 2007, and in early 2008, UNDP senior management formally approved the Functional Alignment of and Implementation Arrangements for RSCs.

Responsibility for the management of the regionalization process was vested with the Operations Group within UNDP, but the main parties to the agreements were BDP, the regional bureaux, the Bureau for Crisis Prevention and Recovery and the Bureau of Management. Primary responsibility for the management of the RSCs belonged to the regional bureaux. The deployment and management of the GCF-III-funded policy specialists was secured through initial service agreements between BDP and each regional bureau and are currently being renegotiated through new long-term agreements.<sup>53</sup>

51. "Each of the MYFF priority areas and respective service lines will be the responsibility of a practice group within BDP. The work of practice groups is supported by units working with them on cross-practice areas such as gender mainstreaming, South-South cooperation, knowledge management and capacity development." (Ibid, paragraph 43).

52. The institution of the SURFs was a result of the UNDP '2001 Change Process', introduced in 1997, which was intended to decentralize much of the Headquarters services and operations. By December 2003, at the end of the original GCF-II period, nine SURFs had been established: three in Africa (Addis Ababa, Dakar and Pretoria), two in Asia (Bangkok and Kathmandu), two in the RBLAC region (Panama and Port of Spain), and one each in the Arab States (Beirut) and Europe (Bratislava). Each of the SURFs had its own history, its specific type of clients with a wide range of different needs and demands, and different work capacities. By the commencement of GCF-III, the SURFs and RSCs had been integrated in RBEC and the two SURFs in Asia had been restructured into a new RSC based in Bangkok with some of the operation located in Colombo. By end-2007, the SURFs in Addis Ababa and Pretoria had been merged with the new RSC in Johannesburg.

53. These were arranged in 2002 along standard terms and conditions covering the commitments of the signing parties, the nature of services provided, how performance was to be measured, and the setup of joint SURF Boards to provide oversight.

## 2.5 FINANCIAL OVERVIEW OF THE GCF-III

The programme document proposed a “core resource envelope of US\$ 84.7 million over the three-year period, which [was] expected to leverage non-core resources of US\$ 190 million through the UNDP thematic trust funds (TTFs).”<sup>54</sup> This section provides a financial overview of the core resources allocated to the GCF-III, the non-core resources secured by BDP during the period 2005-2007, and a snapshot of the GCF-III expenditure patterns.

### 2.5.1 CORE RESOURCE ALLOCATION

Annex 1 of the programme document illustrates how the core resources were to be distributed across different priority goals and implementation modalities.<sup>55</sup> The proposed distribution is reflected in Table 10.<sup>56</sup> The distribution of the policy advisory services “was made on the basis of demand from programme countries.”<sup>55</sup> The areas of poverty and democratic governance received the greatest allocation of funding for policy advisory services, with 29 and 26 policy specialists respectively, while HIV/AIDS and capacity development received the lowest number of policy specialists, with three and two respectively.

The allocation of funding for targeted projects “was made on the basis of expressed needs, capacity to deliver and potential for non-core resource mobilization.”<sup>58</sup> During the GCF-III period, approximately \$4.5 million was allocated to each of the areas of poverty, democratic governance and energy and environment, and \$3 million was allocated to each of the thematic centres. HIV/AIDS received \$3.5 million while cross-practice initiatives received \$6 million. At the time the GCF-III was approved, there was no explicit

funding for targeted projects in the cross-cutting areas of gender (which was subsumed under poverty) and capacity development. However, in 2005, some funding was allocated for targeted projects in the area of capacity development, and in 2006 and 2007, both capacity development and gender received dedicated GCF-III funding for targeted projects.

These allocations to cross-cutting areas implied a reduced allocation to the four primary practice areas. Another \$6 million was allocated to ‘interregional knowledge transfer, learning and codification’. While the knowledge services project was managed centrally by the BDP Directorate, the resources were distributed across the practice and cross-cutting areas to fund practice knowledge network facilitators and to produce practice-specific knowledge products.

The GCF-III also contained a one-time allocation of \$5.14 million in un-programmed resources for the ‘strategic reserve’. This amount accounted for 6 percent of the \$84.7 in core resources allocated to the GCF-III. It did not support the work carried out under the GCF-III and did not contribute to the achievement of its results. These funds were not managed by BDP but were allotted to the Office of the Administrator to be deployed for strategic purposes at the discretion of the Administrator.

### 2.5.2 CORE AND NON-CORE RESOURCE MOBILIZATION AND EXPENDITURE

As indicated earlier, the GCF-III was projected to leverage non-core resources of \$190 million through the UNDP TTFs and targeted projects. Table 11 provides an overview of the GCF-III expenditures over the period 2005-2007 (\$87.1

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54. UNDP, ‘UNDP Global Programme, 2005-2007’, DP/GP/1/Rev.1, 22 April 2005, p.1.

55. See the budgetary allocation contained in the Work Plan of the programme document (Ibid, Annex 1, p. 17). Annex E, Table 1 of this report represents a summary table of the budgetary allocation contained in Annex 1.

56. Table 10, based on data provided by BDP, contains more detailed information regarding the proposed allocation of resources to different areas/items (representing organizational units)—in particular the provision to the thematic centres and cross-practice initiatives—than is contained in Annex 1 of the programme document. Overall figures tally with the breakdown by priority goal, as contained in the programme document. See Annex E of this report.

57. Ibid, Annex 1, p. 17.

58. UNDP, ‘UNDP Global Programme, 2005-2007’, DP/GP/1/Rev.1, 22 April 2005.

**Table 10. GCF-III Core Resource Allocations 2005-2007 (\$ million)**

Implementation Modality	Policy Advisory Services		Targeted Projects		Interregional Knowledge Transfer, Learning and Codification	Total (Excluding Number of Posts)
	Area/Item	Number of Posts	Cost of Posts <sup>i</sup>	Practice Area		
Poverty reduction & International Poverty Centre	29	16.24	4.01	3.00		<b>23.25</b>
Democratic governance & Oslo Governance Centre	26	14.56	4.75	3.00		<b>22.31</b>
Energy and environment & Drylands Development Centre	11	6.16	4.32	3.00		<b>13.48</b>
HIV/AIDS	3	1.68	3.48			<b>5.16</b>
Knowledge management					6.00 <sup>iv</sup>	<b>6.00</b>
Gender	4	2.24				<b>2.24</b>
Capacity development	2	1.12				<b>1.12</b>
Cross practice			6.00 <sup>iii</sup>			<b>6.00</b>
<b>Subtotal A</b>	<b>75</b>	<b>42.00</b>	<b>22.56</b>	<b>9.00</b>	<b>6.00</b>	
<b>Subtotal B (excluding number of posts)</b>		<b>42.00</b>		<b>31.56</b>	<b>6.00</b>	<b>79.56</b>
<b>Strategic reserve</b>						<b>5.14</b>
<b>Total</b>						<b>84.70</b>

Notes: (i) The funding earmarked for policy advisory work was not, in fact, allotted to the administrative units managing the work conducted under the different areas (e.g. poverty, governance, gender, etc.), but was managed centrally under one policy advisory project. (ii) Annex 1 of the programme document does not specify an allocation to thematic centres. (iii) In Annex 1 of the programme document, funding allocated to "knowledge products, services and systems" with a total value of \$6 million is distributed across the four priority goals as follows: Poverty Reduction—\$1.25 million; Gender—\$0.25 million; Democratic Governance—\$1.5 million; Energy and Environment—\$1.5 million; and HIV/AIDS—\$1.5 million. See also Annex E of this report. (iv) Annex 1 of the programme document does not identify an allocation to cross-practice initiatives. In this presentation provided by BDP, \$1.5 million have been deducted from each of the four priority goals, amounting to a total of \$6 million allotted to cross-practice initiatives. See also Annex E of this report.

million) through which non-core resources could have been leveraged. The table also shows the non-core resources actually mobilized (\$236.13 million) and expended (\$201.25 million) by BDP during the same period. The resources referred to in this table relate to cost-sharing arrangements, trust funds and TTFs, but exclude those generated through the Montreal Protocol

and Global Environment Facility (GEF) trust funds. While these resources were higher than the projected amount of \$190 million, the actual expenditure was slightly lower, reflecting delays in resource mobilization and/or delivery.<sup>59</sup>

If the Montreal Protocol and GEF trust funds are also taken into account, BDP mobilized a

59. Delays were due to TTF management arrangements, including: multi-year funding frameworks that allowed for income raised in one year to be expended in the next; and bottlenecks in the timing of the delivery of resources to the country offices.

<b>Table 11. Core and Non-core Funding and Expenditures (\$ million)</b>					
<b>Department/Practice Area</b>	<b>Core</b>		<b>Non-Core<sup>i</sup></b>		
	<b>Budget</b>	<b>Expenditure</b>	<b>Projected<sup>ii</sup></b>	<b>Income</b>	<b>Expenditure</b>
<b>Policy Support<sup>iii</sup></b>					
Policy advisory services	42	43.49			
Knowledge management	6	4.75			
Practice area			190		
Environment and energy	8.82	6.91		53.12	58.83
Democratic governance	9.25	6.41		90.80	69.29
HIV/AIDS	4.98	2.93		21.83	25.89
Poverty reduction and MDGs	8.51	9.55		56.72	28.01
<b>Cross Cutting</b>					
Gender		1.23		6.58	5.84
Capacity development		2.12		7.08	13.35
Cross practice		4.58			0.04
<b>Subtotal</b>	<b>79.56</b>	<b>81.97</b>	<b>190</b>	<b>236.13</b>	<b>201.25</b>
<b>Strategic Reserve</b>	<b>5.14</b>	<b>5.14</b>			
<b>Total</b>	<b>84.70</b>	<b>87.11</b>	<b>190</b>	<b>236.13</b>	<b>201.25</b>

Notes: (i) Non-core, in this case, includes income received through cost-sharing, trust funds and TTFs. It does not include income received through the Montreal Protocol and the Global Environment Facility. (ii) DP/GP/1/Rev.1, p. 1. (iii) The Policy Support Department was created in ATLAS (the UNDP financial management system) to allow for central management of the policy advisory and knowledge management funds.

total of \$1.2 billion during the period 2005-2007. However, if only resources generated through TTFs are taken into consideration (\$123.12 million<sup>60</sup>)—which strictly speaking, was the only non-core modality indicated in the GCF-III programme document—non-core funds (\$84.30 million<sup>61</sup>) would fall considerably short of the projected \$190 million.<sup>62</sup>

### 2.5.3 FINANCIAL OVERVIEW OF THE GCF-III BY INPUT CATEGORY

The expenditure of the GCF-III funds by main input category for all projects (including the policy advisor and knowledge management projects) during the period 2005 to 2007 is noted in Table 12. The bulk of the GCF-III funds expended on salaries for BDP posts—\$58.5 million or 72.8 percent

60. Annex E, Table 5.

61. Annex E, Table 5.

62. According to BDP, the TTF modality was not always the most appropriate for securing non-core resources. As such, other modalities, such as cost-sharing arrangements and other trust funds, were also used in order to maximize funding opportunities.

of total expenditures. The posts include the 75 policy specialists plus an additional 69 posts that were funded from the global projects. If

service contracts are included, then the total amount spent on BDP staff increases to \$61.6 million or 76.7 percent of total expenditures.

<b>Table 12. GCF-III Expenditures by Main Input, 2005-2007 (\$ million)</b>		
<b>Input Category</b>	<b>Amount</b>	<b>Percentage</b>
Salary	58.50	72.8
Travel	5.72	7.1
Consultant	5.61	6.9
Service Contract	3.11	3.9
Miscellaneous	2.95	3.7
Printing & Publications	2.29	2.9
Rent	1.89	2.4
Equipment	0.27	0.3
<b>Grand Total</b>	<b>80.34</b>	<b>100.0</b>

Source: BDP. Note: figures rounded.



## Chapter 3

# ASSESSMENT OF THE PERFORMANCE OF THE GCF-III

This chapter identifies the key findings of the evaluation. The first section discusses the performance of the GCF-III along the four practice areas and two cross-cutting thematic areas. The next section analyzes the influence of programme modalities (policy advisory services, targeted programmes and knowledge management) on this performance. The third section reviews management-related issues.

### 3.1 PRACTICE AND CROSS-CUTTING AREAS

This section reviews how the GCF-III addressed its three primary objectives. The evaluation sought to identify specific areas in which the GCF-III was engaged in each practice and cross-cutting area, and results from those engagements. The evaluation also sought to address the issue of knowledge management and networking, cross-practice work, and partnerships and other key GCF-III themes. A significant challenge in evaluating the performance of the GCF-III was the lack of comprehensive monitoring data or other evaluative evidence.

#### 3.1.1 ACHIEVING THE MDGS AND REDUCING HUMAN POVERTY

Generally, the GCF-III activities implemented by the Poverty Group were relevant to supporting developing countries in achieving the MDGs. Much of the work focused on global advocacy for the MDGs and on building RSC and country office capacity to support the MDGs. For example, the GCF-III played a substantive role in the MDG Africa Initiative, which aimed to scale up support to Sub-Saharan Africa and find

practical ways to address bottlenecks for the implementation of MDG programmes. MDG-related activities were also supported in other regions, such as the MDG Asia Initiative. The GCF-III support to MDG-aligned national development strategies placed a special emphasis on Africa and Asia. This was appropriate in view of the particular needs and challenges of these two regions.

The Poverty Group developed a range of tools for needs assessments and costing of MDG-based plans, and supported capacity development at the country level in both country offices and government institutions. The policy specialists in New York, the International Poverty Centre and RSCs were central to this work. For example, UNDP—with GCF-III advisory support—supported building capacities to formulate MDG-based national plans in Mali, Rwanda, Tanzania, Uzbekistan and Zambia. This work was generally considered to be both relevant and effective by country offices and government.

The evaluation identified a number of instances where GCF-III efforts to support the MDGs were closely integrated with those of regional and country programmes. Such close cooperation was viewed positively by many of the UNDP stakeholders and yielded significant synergies. However in such cases, lines of attribution were blurred and contributions were not easy to ascertain, which posed a challenge in evaluating the valued added of the GCF-III.

The MDG Asia Initiative, a relatively large regional project, was partly funded by RBAP and partly by BDP.<sup>63</sup> This project benefited substan-

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63. BDP contribution was \$1.2 million (50 percent of the total) in 2006, \$1.5 million (41 percent) in 2007 and \$0.6 million (26 percent) in 2008. BDP also funded about half of the RSC Colombo budget in the HIV/AIDS area in 2006-2008, but the resources used to this effect actually came from UNAIDS' United Budget and Workplan.

tially from the inputs of a regionally-based policy specialist funded by the GCF-III. A regional project on Support to MDG-based Development Strategies aimed at building capacity to formulate and implement MDG-based national development plans was integrated with the GCF-III activities in the area. Such close cooperation between globally and regionally funded projects and staff was commendable and supported coherence among vertical practices.

Another MDG-related area of activity supported by the GCF-III was the Poverty Group's work on generating 'fiscal space'. This generated some interest, especially among partner organizations. However, while country offices and Headquarters were aware of this initiative, which was considered innovative in terms of global development policy debate, the evaluation was able to establish only a few instances of the GCF-III stimulating broad discussions within and beyond UNDP.

The GCF-III efforts to build capacity on trade issues, especially in the context of international trade issues and the World Trade Organization Doha Round, were appropriate for a global programme. Moreover, UNDP, through the GCF-III, contributed an important perspective on the trade agenda by linking trade to human development.

The primary focus in the trade area was on the Integrated Framework for Trade-related Technical Assistance to the Least Developed Countries (IF). Work on this issue was conducted in cooperation with the United Nations Conference on Trade and Development (UNCTAD) and the World Bank. Since 2004, UNDP operated a Trade and Human Development Office in Geneva, which was largely funded by the global programme and managed the IF Trust Fund (among other things).<sup>64</sup> Activities in this area were partly funded through a Global IF Programme for Least Developed Countries (\$4 million for the period 2005-2007.) The Trade and Human

Development Office carried out diagnostic trade studies but experienced some challenges in positioning itself vis-à-vis the World Bank and UNCTAD in this area.

Trade policy specialists in the RSCs were also involved in implementing the IF programme. They did this mainly through capacity development, particularly in Africa, where two policy specialists in RSC Johannesburg and one trade policy specialist in RSC Dakar worked on trade issues. However, these staff revealed that there was little demand from the country offices for their services, which was attributed to the offices' lack of knowledge in the area. In fact, the policy specialists were required to find ways to 'create demand' from the country offices. It was unfortunate that in the region where the need is greatest, the demand appeared to be insufficient, and the contribution of the policy specialists, while highly relevant, was thus constrained. Nevertheless, there was some success with IF work in Malawi, Mozambique and Tanzania. Moreover, the cooperation between UNDP and UNCTAD highlighted the importance of this area. The African Union's demonstrated interest in IF-related issues following a joint UNCTAD-UNDP event in West Africa in 2007 was a case in point.

Overall, results from the Survey of Resident Representatives/Country Directors and Resident Coordinators (hereinafter, referred to as the Resident Representative Survey) indicated that the work of policy specialists in the area of MDG and poverty reduction was generally appreciated at the country office level: 15 percent of the respondents viewed the work of policy specialists in these areas as 'very important', 48 percent as 'somewhat important', 18 percent as 'not very important' and 18 percent as 'not important'. What was less certain was whether the GCF-III was the most appropriate mechanism through which to address the wide range of issues covered

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64. The Trade and Human Development Office staff consisted of one senior policy specialist, one professional, one trust fund manager, one Junior Professional Officer and one administrator.

under its poverty-related portfolio. The activities of poverty policy specialists in the RSC Bratislava funded by the GCF-III illustrated this issue. Work was being conducted in such diverse areas as integrating MDGs into Poverty Reduction Strategy Papers in Central Asia in line with similar approaches in Asia and Africa, but there were questions about the relevance of such approaches in the subregion; making markets work for the poor,<sup>65</sup> which was a relevant issue, although the added value of the global programme in this area was questionable; and civic engagement in poverty reduction, which again was an issue relevant to poverty reduction, but its link to the global programme was less obvious.<sup>66</sup>

Resources were spread thinly across a number of service lines, with little apparent coherence and cross-fertilization under the GCF-III. However, the policy specialists in Bratislava worked closely with the Regional Bureau Eastern Europe and the Commonwealth of Independent States (RBEC) staff on several regional projects and there was good integration at the regional level.

The International Poverty Centre in Brasilia was established as a collaborative arrangement with a Southern-based research institution. Feedback from a number of RSCs, SURFs and country offices indicated that the Centre's relevance to country offices increased during the past two years. Interaction was good with those country offices that placed high emphasis on poverty-reduction policy. In general, the International Poverty Centre's collaboration with country offices appeared to depend more on the direct relations that existed between the Centre's staff and country office staff than on demand for policy

research services. There was a good interface with the RSCs and SURFs whose policy advisors were found to collaborate frequently with the International Poverty Centre and to value the quality of its analyses and products.

There was a lack of clarity on how the International Poverty Centre should operate within the overall poverty practice architecture. Interaction between the International Poverty Centre and the Poverty Group in Headquarters appeared to be minimal—during the four years of its existence, the International Poverty Centre was visited only three times by Poverty Group directors. Moreover, as of March 2008, following the retirement from UNDP of the International Poverty Centre's acting director, all international positions were vacant. During the period of the evaluation, there were ongoing consultations with the Government of Brazil about a new implementation phase with an enhanced emphasis on SSC.

Overall, the poverty reduction practice network was important to disseminating analytical work and tools as well as providing space for the exchange of ideas and experiences. The Poverty Group produced a total of 427 documents between 2005 and 2007. Of these, 100 constituted 'consolidated replies' on the network and another 144 were International Poverty Centre publications. According to the Policy Advisor Survey,<sup>67</sup> the policy specialists were more active in the poverty reduction practice network than in any of the other networks.<sup>68</sup> The consolidated replies were particularly valued. However, interviews with UNDP stakeholders at Headquarters yielded different feedback, such as that the quality was

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65. In line with approaches developed by the UK Department for International Development (DFID) and Swedish International Development Cooperation Agency (SIDA) among others. This was certainly highly relevant for poverty reduction. There was considerable demand from country offices for related services.

66. Several policy specialists suggested that their relations to BDP were sub-optimal and that BDP regarded the RBEC region as marginal for its poverty work.

67. The policy advisors surveyed in the Policy Advisor Survey, are referred to as 'policy specialists' elsewhere in the text, which is the term now more commonly used in UNDP.

68. 57 percent stated that they were 'active' (9 percent) or 'somewhat active' (48 percent) in this network. However, the Poverty Group policy specialists consist of 63 percent (n=12/19) of this group, and seven policy specialists from other practice areas fall under this category. The corresponding figure for the democratic governance practice network was 36 percent (18 percent active and 18 percent somewhat active), and it was much less for the other networks.

uneven, there was a need for a more systematic dissemination strategy, and there was a failure to learn systematically from country experiences and to translate these into global policy and advocacy.



In summary, work conducted by the GCF-III under the umbrella of 'achieving the MDGs and reducing human poverty' underpinned UNDP work in promoting a country-level focus on MDGs and yielded a range of contributions of global significance, such as trade and analytical South-South work on poverty in the International Poverty Centre. Given the wide spread of issues covered by the GCF-III in the area of poverty reduction, a narrower coverage of issues might have provided programmatic focus and strengthened opportunities to demonstrate quality results.<sup>69</sup> The knowledge-related services rendered through the practice network were valued by UNDP stakeholders, although there was considerable scope to further strengthen services and products.

### 3.1.2 FOSTERING DEMOCRATIC GOVERNANCE

Building on the two-pronged focus of the GCF-III programme document (human development and governance capacity to achieve the MDGs), the GCF-III placed a stronger focus on governance for development results, as compared with earlier GCFs that were more designed around UNDP's role in institutional-change processes such as public administration reform and decentralization. This enabled the Democratic Governance Group, and UNDP as a whole, to take fuller advantage of the organization's broad development mandate, design

governance components for a range of thematic priorities (particularly support to countries' efforts to achieve the MDGs) and thus open up avenues for cross-practice initiatives.<sup>70</sup>

Establishing stronger linkages between governance and the broader development agenda was on the Democratic Governance Group's agenda since its inception. The emphasis on more systematic evaluation of development results, in particular through the adoption of the Millennium Declaration and the MDGs, provided a good incentive to focus governance efforts on issues of poverty reduction and equal access to basic rights. The Group's work on justice and human rights took advantage of this context to address issues of access for the poor through the publication of global and regional capacity development tools as well as the organization of regional communities of practice.<sup>71</sup> Although most MDG-related global programme support was provided by the Poverty Group policy specialists, the Democratic Governance Group and Oslo Governance Centre staff assisted in a number of country initiatives, in particular with regard to the use of democratic governance indicators as additional tools to assess countries' capacity to achieve the MDGs. According to the Democratic Governance Group, countries where such exercises were conducted included Mongolia and the Philippines in Asia; Malawi, Mozambique and Zambia in Africa; and Tunisia in the Arab States region.

The recent shift by the Democratic Governance Group from decentralization and local governance to local development provided a more cross-cutting approach to issues of participation,

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69. The 2006 Survey of Headquarters Products and Services indicated a perception at the country office level of lack of quality and/or relevance of some of the Poverty Group's work. UNDP, '2006 Country Office Assessment of Headquarter Products and Services', GlobeScan, 17 April 2007.

70. Starting in 2005 with the Democratic Governance Group's adoption of gender as a priority (Section 3.1.5).

71. Examples of publications include the Regional Centre Bangkok Bangkok 2005 publication 'Programming for Justice: Access for All—A Practitioner's Guide to a Human-Rights Based Approach to Access to Justice', the RBLAC knowledge management toolkits on human security and the 2007 the Democratic Governance Group's book, *Justice for the Poor: Perspectives on Accelerating Change*, which builds on UNDP work in various regions. One proxy indicator of the resonance of this orientation at country level has been the strong and steady country office demand for support from the Democratic Governance Thematic Trust Fund.

institutional development and the quality and sustainability of development results; responded better to countries' requests for support; and opened new avenues for inter-agency cooperation in an area where the United Nations Capital Development Fund (which played a lead role in this area in the countries that were eligible for funding by this entity), the United Nations Centre for Human Settlements, United Nations Volunteers and other agencies offered know-how and experience complementary to UNDP's.<sup>72</sup> An example of such collaboration at the country level was found in Nepal where the design and implementation of a large programme for the recovery of community structures (co-sponsored by various UN organizations, the United Kingdom Department for International Development and North American Aerospace Defense Command) received joint support from the GCF-funded governance specialist and the United Nations Capital Development Fund representative at RSC Bangkok. Nepal illustrated the emerging demand for local governance support in post-conflict countries, a topic that was analyzed at a November 2007 workshop organized by the Democratic Governance Group and hosted by the Oslo Governance Centre and in which several RSCs and SURFs were increasingly involved.<sup>73</sup>

With the new worldwide awareness generated by the signing and ratification of the UN Convention against Corruption in 2005, policy advice and support in this area focused on the relevance of the Convention to countries' progress towards the MDGs, expanded geographically (some 35 country offices have ongoing programmes), and opened

up to a broader range of institutions, including parliaments, civil society organizations, anti-corruption commissions and ombudspersons.<sup>74</sup> Another good example of a cross-sectoral policy advocacy initiative was the International Knowledge Network of Women in Politics,<sup>75</sup> which was co-founded by the Democratic Governance Group and four other institutions and brought together elected officials, candidates, political parties, practitioners, activists and others to support women's participation in political life.<sup>76</sup>

The Oslo Governance Centre's activities covered a broad range of issues. Innovative work on governance indicators and more comprehensive governance assessments were among the most important contributions during the GCF-III period. Such work was in demand from a number of country offices, including Tunisia and Zambia. The Oslo Governance Centre collaborated closely with some of the RSCs, particularly in Bangkok, Bratislava and Colombo, on training and learning events.<sup>77</sup> The United Kingdom Department for International Development and the European Union contributed to funding the work on governance indicators. The Oslo Governance Centre also hosted the UN Human Rights Policy Network, HuriTALK (with more than 1,200 members), which supported UN practitioners in integrating human rights into their work.

With regard to alignment and innovation, the Democratic Governance TTF, although not GCF-funded, constituted the GCF-III's arm for support to country offices and was the largest of

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72. The Democratic Governance Group's work in this area suffered as a result of a two-year vacancy in the Headquarter-based policy specialist post. However, the new dynamism of the community of practice and the establishment of the United Nations Development Group's inter-agency group on Localizing the MDGs (which is co-chaired by UNDP and the United Nations Centre for Human Settlements), generated new momentum for an area in which some 90 country offices had ongoing programmes.

73. The Beirut SURF responded to requests from several Arab States, in particular Lebanon and Sudan.

74. RSC involvement was significant in the cases of Bratislava (with a focus on countries acceding to the European Union) and Bangkok (with a focus on transitional countries and post-conflict situations), less so in Africa where demand focused on parliaments' role and civil society's roles.

75. See Section 3.1.5.

76. UNDP, 'DGG Annual Report 2006', UNDP BDP-Democratic Governance Group; and UNDP, 'DGG Annual Report 2007', UNDP BDP-Democratic Governance Group, Draft, March 2008.

77. Visits to these RSCs confirmed the value of this collaboration.

all existing TTFs.<sup>78</sup> This evaluation concurred with the draft of the internal evaluation of the Democratic Governance TTF in terms of country office projects' principal characteristics (alignment of country offices around the theme of democratic governance, high proportion of innovative projects, positive impact with respect to UNDP positioning, including in sensitive policy areas) and overall importance of the fund as venture capital for innovation.

More lessons need to be learned from UNDP's role as 'spacemaker', particularly its participation in complex processes of national dialogue between state and non-state actors. While some efforts were made at the regional level,<sup>79</sup> the global programme did not provide a platform for experience sharing in an area where UNDP impartiality could be important in supporting multi-stakeholder processes.<sup>80</sup>

During the period under review, the GCF-III promotion of the UNDP governance agenda operated through the vertical structure of the service lines rather than being based on cross-thematic collaboration among the service lines. Each service line was left to define its relationship to human development objectives. While the objectives were generally important to this goal, the absence of an integrated framework, in the opinion of the Democratic Governance Group's leadership and several policy specialists from Headquarters and regions, limited the overall coherence of the governance agenda and opportunities for cross-practice work.

The vertical structure also limited avenues for cross-practice initiatives. Important exceptions

were collaboration between the Democratic Governance Group and the Gender Team, which resulted in the launch of several interesting initiatives, the most visible of which was the iKNOW Politics network;<sup>81</sup> the Poverty Group, with respect to MDG costing models; the Environment and Energy Group on land governance and natural-resource revenue management; the HIV/AIDS Group;<sup>82</sup> and the Bureau for Crisis Prevention and Recovery on governance and conflict prevention. Cross-practice work was critical to consolidating UNDP's leadership role in the governance area and to the quality of the policy support offered to programme countries to address the challenges of political, economic and environmental governance against the backdrop of countries' increasing global responsibilities.

Collaboration between BDP and the Bureau for Crisis Prevention and Recovery was lacking, despite the complementarity of their mandate and activities, which seemed to have created instances of 'encroachment' and duplication. There were, however, a few examples of collaboration at both Headquarters and regional levels, for example in the area of electoral support where the two bureaux jointly examined the risks of conflict exacerbation during electoral processes.

UNDP was well-placed to promote South-based solutions through a more systematic use of its global knowledge of success (and failure) stories worldwide. Given the political sensitivities that characterized most work in the governance area, countries were often more receptive to policy advice and support based on the experience of other developing countries. Team interviews with national counterparts often stressed this point,

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78. From 2005-2007, the Democratic Governance TTF funded almost 200 projects (provisional count is 185 based on the Democratic Governance Group's reports and the evaluation of TTF) dealing with the six thematic service lines. Approximately one-third of all projects were in the access to justice and human rights area, followed by decentralization/local governance and public administration reform/anti-corruption. The Democratic Governance TTF also funded some Oslo Governance Centre activities, Democratic Governance Group practice meetings and some regional initiatives, in particular in Latin America and the Caribbean.

79. Especially in Latin America and the Caribbean where RBLAC supported (with some support from the Democratic Governance TTF) a regional programme that assists country offices involved in civic dialogues.

80. The Democratic Governance Group's Civil Society policy specialist post remained vacant during most of the period under review.

81. See section 3.1.5.

82. See section 3.1.4.

with the underlying expectation that UNDP could be a more active partner in this respect.

The Democratic Governance Practice Network, which was supported by the GCF-III, was important in keeping members abreast of new initiatives and innovations and sharing experiences.<sup>83</sup> The Democratic Governance Group reported that in 2007 it was the most active of all practice networks, with responses to approximately 145 queries and requests for assistance and the organization of three e-discussions, although the Policy Advisor Survey showed that policy specialists were less active in the Democratic Governance Practice Network than in the Poverty Reduction Practice Network. In the 2005-2007 period, approximately 225 consolidated replies were compiled by the Democratic Governance Practice Network. Although primarily composed of UNDP staff worldwide, 11 percent of the members were from outside UNDP, including 3 percent from other UN organizations.<sup>84</sup> An interesting characteristic of the network, which was consistently ranked first among all networks in the annual Survey of Headquarter Products and Services, was that it had served as a model for several recent partnership initiatives such as iKNOW Politics and Electoral Knowledge Network, as well as for the UN Department of Peacekeeping Operations Rule of Law Network.<sup>85</sup> However country offices alluded to 'traffic fatigue' and an excessive attention to country-specific issues of limited relevance for others, and asked for greater focus on lessons learned.

The Democratic Governance Group issued more than 60 knowledge products between 2005 and 2007, not including those produced by the Oslo Governance Centre. These products were generally found useful by UNDP staff as presentations of

policy priorities and distillations of UNDP practices, although they were perceived as intended mostly for intermediate users or knowledge brokers, rather than national practitioners, varying in quality of business process and policy content, and sometimes of limited application to country contexts. Dissemination at the country level was limited by the absence of multiple language versions.



In summary, work in the area of democratic governance was relevant to the objectives of the GCF-III. Successes were demonstrated in different areas, including electoral support, public administration reform, representative institutions, and local governance. UNDP's extensive experience in such issues was not, however, fully harnessed to offer country offices a fully integrated set of services. The tendency to address each service line in a silo context prevailed. Nonetheless, notable efforts were made during the GCF-III period to seek opportunities for more integrated approaches. The shift from classically designed institutional change processes to governance for development results was recent but demonstrated good potential for taking a more cross-practice and cross-cutting approach and for greater inter-agency collaboration. The Democratic Governance Practice Network, which received support through the GCF-III, was the most highly regarded of all knowledge networks.

### 3.1.3 MANAGING ENERGY AND ENVIRONMENT FOR SUSTAINABLE DEVELOPMENT

In the environment and energy area, BDP used the GCF-III funds to support 18 projects out of a total portfolio of 93 projects. While some of the

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83. A separate network, HuriTALK, handled human rights policy questions. It was hosted by the Oslo Governance Centre and had more than 1,200 members.

84. Democratic Governance Practice Network had a total membership of approximately 1,500 individuals in some 130 countries. UNDP, 'Democratic Governance Group Annual Report 2006', UNDP BDP-Democratic Governance Group; and UNDP, 'Democratic Governance Group Annual Report 2007', UNDP BDP-Democratic Governance Group, Draft, March 2008.

85. UNDP, 'DGG Annual Report 2007', UNDP BDP-Democratic Governance Group, Draft, March 2008, pp. 5-6. This report also mentioned that the network benchmarking survey conducted by the Warwick Business School in 2007 "rank[ed] DGP-Net [Democratic Governance Practice Network] better than average on individual performance, learning, knowledge sharing."

projects were discreet projects with clearly defined objectives, others served as umbrellas for activities in areas in which the Environment and Energy Group operated. The latter included the Technical Advisory Group for Environment, Environment and Energy Group knowledge management, and a category for the Environment and Energy Group's work on the GCF-III.

The projects supported UNDP's overall thrust within environment and energy, and several were directly linked to the GEF focal areas, such as biodiversity, climate change and sound management of chemicals. Since the GCF-III projects were relatively small, these were not seen as very relevant by several country offices.<sup>86</sup> Some projects took a more integrative perspective by bringing together the GEF work with core UNDP work, for example in the area of effective water governance where the Environment and Energy Group managed a unified team and programme, both globally and regionally. This was particularly impressive in the Bratislava Regional Centre where integration of the environment and energy programme took place both administratively and technically since 2004.

Similarly, the Stockholm-based Water Governance Facility became a part of UNDP's programme in this area. The GCF-III funds were used to leverage additional resources from the Government of Sweden. The Water Governance Facility was innovative in promoting the concept of integrated water resources management, which was adopted by the Beirut SURF with plans to apply Integrated Water Resource Management principles in Saudi Arabia and Iraq. The water governance area could serve as a positive example to other sections of the environment and energy programme.

Progress was also made in the area of access to energy services. Improving access to energy for the poor was an obvious area where the Environment and Energy Group could contribute to UNDP's core mandate of poverty reduction. However, UNDP work in this field to date was overwhelmingly dominated by GEF-funded projects aimed at mitigating climate change. The non-GEF resources allocated to energy work from the core funds and TTFs through the GCF-III were limited and, until recently, declining. However, there were indications that the Environment and Energy Group was starting to cooperate more closely with the regional bureaux in operationalizing the work on energy for poverty reduction. This work has advanced most in Africa, where the energy needs for development are the most acute and where the region's share of resources has been lowest. It is too early to judge the actual performance or impact of these new initiatives.

The Environment and Energy Group energy programme produced a range of high-quality knowledge products that were recognized both for their analytical quality and policy recommendations. These products included the reports 'Energizing the Millennium Development Goals'<sup>88</sup> and 'Energizing Poverty Reduction: A Review of the Energy-Poverty Nexus in Poverty Reduction Strategy Papers'.<sup>89</sup>

The project on Frameworks and Strategies for Sustainable Development focused specifically on global advocacy. One of the main activities was to promote strategic environmental assessments through joint work with OECD-DAC. While this work did not go far in practical terms (most work has been done in the RBEC region) and no additional funding was allocated to the initiative,

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86. Indonesia was a case in point. The country office expressed more interest in resource mobilization from bilaterals and other more prominent sources of funding, "the government wants impact, not another new idea."

87. This area was covered more extensively in: UNDP, 'Evaluating UNDP's Role in and Contribution to Managing Environment and Energy for Sustainable Development', UNDP Evaluation Office, New York, NY, Draft, 30 March, 2008.

88. Environment and Energy Group, 'Energizing the Millennium Development Goals', BDP, New York, NY, 2005.

89. Environment and Energy Group, 'Energizing Poverty Reduction: A Review of the Energy-Poverty Nexus in Poverty Reduction Strategy Papers', BDP, New York, NY, 2007.

UNDP continued to participate in global forums on the subject since it was considered important to be an active player in the field.

While the linkages between conservation and sustainable use of biodiversity and poverty reduction were well established in theory, in practice, UNDP did not make full use of such opportunities in its programming. Biodiversity, alongside climate change, was one of the two largest areas receiving funding through the GEF-III. The Environment and Energy Group's programme in the area beyond the GEF-funded projects was limited. Most of the work focused on advocacy and participation in international collaborative efforts in biodiversity assessment and policy.

The Drylands Development Centre in Nairobi, linked to the GCF-III, made progress in aligning its work with other UNDP priorities. Part of its recent activity was on the interface between environment, poverty and governance. If key players could be mobilized, this could be another attractive niche in line with UNDP's vision for cross-practice work. The Drylands Development Centre also provided administrative support to the Poverty-Environment Initiative, a prominent UNDP and United Nations Environment Programme (UNEP) partnership, and worked with the Oslo Governance Centre on land governance after a survey highlighted the area as a gap in UN Development Assistance Framework planning.

The GCF-III framework document stipulated that the primary task of the Drylands Development Centre was to support policy advisory services through applied research and analytical work. This implied that the policy specialists and UNDP were the priority audience for the Centre's work, yet the goal of the Integrated Drylands Development Programme was to assist governments, civil society and local communities. This disparity indicated that the

Drylands Development Centre still needed to find its space in UNDP operations despite the increasing relevance of its work.

If the Drylands Development Centre's contribution can be better integrated with the rest of the UNDP and UN system, the GCF-III investment of approximately \$1.0 to \$1.75 million per year in administrative and operational costs<sup>90</sup> is likely to be cost-effective. Between 2005 and 2007, the Centre leveraged \$12.25 million from 12 donors for the \$3.25 million invested by GCF.

It is not yet clear whether the Centre's priorities and projects were powerful enough to make a real difference—reducing marginalization of the drylands and promoting development. But the Centre performed well and developed mechanisms that could serve as good practices for others. It carved out a substantial niche for itself, despite some ambivalence about its role within the larger system. This ambivalence was, to some extent, a natural result of the integration of the UN Sudano-Sahelian Office into the Centre. Moreover, it pointed out the urgent need for UNDP, and BDP in particular, to determine how the Drylands Development Centre's strengths could best be used to contribute to the global programme and corporate vision, the regional centres and bureaux, Headquarter units and the UN system as a whole.

Mainstreaming environment and development has been one of UNDP's goals. The most prominent programme working towards this goal was the Poverty-Environment Initiative, a joint UNDP-UNEP initiative that provided technical and financial support to countries for integrating poverty-environment linkages into national development plans. Building upon earlier work done separately by the two organizations, the Poverty-Environment Initiative evolved towards a joint agenda and was cited as a model for interagency cooperation in the spirit of UN reform and 'Delivering as One'. The plans are to

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90. Mainly staffing, with a small but increasing amount for operational costs.

expand the Initiative's work to 25 new countries during the next five years.

UNDP and UNEP experienced problems working together due to differences in operational styles, requirements and cultures. Consequently, there are a number of challenges for the future of the Initiative. However, where the conditions have been favourable and the relations between the two offices close, there is reason for optimism. A good example of this would be the Asia-Pacific region, where the Bangkok-based regional offices of both organizations developed a mutually strengthening relationship within the context of the Poverty-Environment Initiative. At the senior management level, the Initiative received important support. Concrete steps to develop approaches and methodologies, exchanges of experiences, and indicators were taken. It is still too early to assess the on-the-ground results of the Poverty-Environment Initiative. Nevertheless, the Initiative has the potential to become one of UNDP's best efforts to mainstream environment into its core mandate, as well as enhance its cooperation with UNEP. However, addressing issues of operationalization and scaling up will be critical for the success of the Initiative.

There was some headway in influencing the policy of other actors through global programme work, such as the case of the strategic environmental assessment, which was adopted by OECD-DAC. Such successes were, however, limited. The global programme's work appeared to be justifiable and to add value to the extent that it could influence UNDP country-level work by spinning off globally developed ideas, methods or practices.

The Environment and Energy Knowledge Network was one of the most active knowledge networks in UNDP. There were 475 messages

posted on the Network in 2006, an increase from 390 in 2005. In the same time period, the queries sent to the net declined from 40 to 25. Thus the discussion on each of the topics received a higher number of contributions. The knowledge facilitators provided consolidated replies to each of the substantive discussions (35 in 2005 and 20 in 2006). The nature of the discussion also appeared to be shifting from simple requests for references to more substantive issues. While there was no overall assessment of the impact of the Environment and Energy Knowledge Network, the Network was generally described in positive terms by the country offices.<sup>91,92</sup>



In summary, the GCF-III work in the area of energy and environment supported a number of notable initiatives. It gained attention from country offices on issues such as water governance, the Poverty-Environment Initiative, and land governance, implemented through the Drylands Development Centre. The GCF-III energy and environment-related work covered a wide range of issues relating to all service lines. This broad agenda led to resources being thinly spread, weakening the Group's ability to achieve more prominent results through the GCF-III in strategic areas. Generally, each service line tended to operate as a mini silo. There were attempts to introduce a more integrated and cross-cutting approach. As one of the more active networks, the Environment and Energy Knowledge Network's knowledge services were considered relevant by many country offices.

#### **3.1.4 RESPONDING TO HIV AND AIDS**

The work of the HIV/AIDS Group was guided and facilitated by the 2006 adoption of a UNDP policy on HIV/AIDS<sup>93</sup> that focused on four areas: HIV and human development; the

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91. For example, "The EE-net [Environment and Energy Knowledge Network] is effective"; "the knowledge networks are the most positive thing that has come from Headquarters."

92. However, more critical views by country offices were also encountered: "The current way of extracting lessons is not working."

93. 'UNDP Corporate Strategy on AIDS', 2006.

governance of HIV/AIDS responses; HIV/AIDS, human rights and gender; and the UNDP partnership with the Global Fund to Fight HIV/AIDS, Tuberculosis and Malaria.<sup>94</sup> This policy clearly articulated UNDP's role, objectives and main activities, based on its responsibilities towards the priorities of the Joint United Nations Programme on HIV/AIDS (UNAIDS).

An important component of the HIV/AIDS Group's support to country offices was the Leadership Development Programme—UNDP's response to the UN General Assembly Special Session's call to strengthen leadership capacities in the fight against HIV/AIDS in key political, economic and civic constituencies. In line with the UNDP response to the GCF-II evaluation, the GCF-III programme focused on 'leadership for results' as a tool to raise awareness of the importance of fighting HIV/AIDS with respect to achieving the MDGs.<sup>95</sup>

Cross-practice work involved collaboration with the Gender Team, the Poverty Group (on MDG assessments and support and the mainstreaming of HIV/AIDS in Poverty Reduction Strategy Papers), and the Democratic Governance Group (with respect to human rights and local governance).

Cooperation with UNIFEM focused on women's inheritance and intellectual-property rights.

The collaboration between the Global HIV/AIDS Group and the regional bureaux was appreciated by the HIV/AIDS Team. All bureaux supported regional programmes on HIV/AIDS, each with their own thematic, policy and programme emphasis.<sup>96</sup> With only two regionally-based advisors funded by the GCF-III, support to regional initiatives and activities at the country level was limited. However, global programme support was valued for its innovative programmes, policy guidance and seed capital that facilitated the mobilization of resources from bilateral donors in Africa, Asia-Pacific and the Arab States. Interviews with regional programme managers at the Bratislava and Colombo RSCs described the cohesion that existed between the global and regional teams and its positive effect on identifying innovations (and problems).<sup>97</sup> Overall, there was satisfaction with the adjustments made to the service lines and the resulting improved alignment between UNDP, UNAIDS and other co-sponsors.

This practice area was strongly influenced by UNDP co-sponsorship of UNAIDS.<sup>98</sup> The GCF-III was an important factor in strengthen-

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94. These four areas were adopted in 2006 to reflect developments in the global response to the epidemic as well as the new division of labour agreed among UNAIDS co-sponsors which assigns lead responsibility to UNDP for HIV/AIDS and development, governance, mainstreaming, human rights and gender.

95. 'Leadership Development Strategy Note' and 'Leadership for Results', both published in 2005 by BDP's HIV/AIDS Group emphasized that while UNDP response to the epidemic focused on MDG 6, it also contributed to Goals 1, 3, 4, 5 and 8, and referred to 'leadership for results' as 'governance in action' at local, national and global levels. The main themes around which advocacy and support for leadership development were encouraged were non-discrimination, equality, equity, human dignity, accountability, participation and non-violence.

96. The Africa regional programme focused on mainstreaming AIDS into national development strategies, sectoral plans and decentralized responses, as well as the governance of AIDS responses, including a focus on trade-related intellectual property rights (TRIPS), trade and access to drugs, human rights and gender, while, RBA focused on the importance of "breaking the silence on HIV/AIDS"; RBAP addressed issues of trafficking and minorities; in the Arab Region, the importance of partnering with religious leaders to address stigma and discrimination were key elements; in Asia and the Pacific, emphasis was placed on women and girls, mobility and support to networks of people living with HIV; in Latin America and the Caribbean, support went to National Strategic Plans on AIDS, human rights and gender, particularly on involving men and boys; and in Europe and the CIS, reducing vulnerability to HIV in concentrated epidemics was the main focus.

97. Reference was made to monthly conference calls between Headquarters and the Colombo-based regional team, regular cross-regional exchanges and the annual retreats that brought together the HIV/AIDS Group and practice staff from all regions.

98. In addition to UNDP, UNAIDS is cosponsored by the International Labor Organization (ILO), UN Educational, Scientific and Cultural Organization (UNESCO), UNFPA, UN High Commissioner for Refugees (UNHCR), UNICEF, UN Office on Drugs and Crime (UNODC), World Food Programme (WFP), World Health Organization (WHO) and the World Bank. A key feature and tool of the UNAIDS 'model' of joint UN system action was its biennial Unified Budget and Workplan, which mobilized additional resources through a collective effort, aligned co-sponsors' actions around a set of priority outcomes, and ensured that the system 'delivers as one' at global, regional and country levels and 'makes the money work' in its assistance to countries. UNAIDS, 'Unified Budget and Workplan 2008-2009', UNAIDS Secretariat.

ing UNDP's position in UNAIDS, due to the leverage provided for the mobilization of non-core resources and thus greater UNDP credibility among the co-sponsors. A UNDP review of its work in the area of HIV/AIDS, conducted in May 2007 in collaboration with the UNAIDS Secretariat, confirmed that UNDP activities at the global and regional level were well-aligned with the agreed division of labour and supported the areas in which UNDP bears lead responsibility.

Another major partnership for UNDP was one that was developed since 2003 with the Global Fund to Fight HIV/AIDS, Tuberculosis and Malaria. Initially, donors to the Global Fund were not inclined to let multilateral institutions substitute for national entities as principal recipients of grants. Yet, during the first five years of the Global Fund's operations, UNDP became the principal manager of a vast portfolio of large projects<sup>99</sup> in countries where special circumstances, insufficient national capacity, or lack of results justified the choice of UNDP for this role.

Country office staff expressed some concerns that the financial rewards expected to accrue from the management of Global Fund resources might distract UNDP from its role in the fight against HIV/AIDS. It may also create conflicts of interest in that stewardship of Global Fund grants might compromise UNDP assets—for example, its impartiality—in helping countries address complex and sensitive policy dimensions of the response to HIV/AIDS, such as power relationships, the defense of basic rights, or the

participation of key stakeholders in national HIV/AIDS strategies.

The HIV/AIDS Group's policy and programme guidance and knowledge production were sustained over the last three years, although it was difficult to attribute this effort and outputs to the GCF-III support, given the modest human and financial contribution to the HIV/AIDS Group and worldwide practice. Between 2005 and 2007, 38 knowledge products were produced, including guidance notes and implementation tools, several of which were jointly produced by UNDP, the UNAIDS Secretariat, and one or more UNAIDS co-sponsors (for example, the World Bank on Poverty Reduction Strategy Papers and sectoral programmes.)<sup>100</sup> One of these knowledge products was on the measurement of results and introduced results-based management tools as a necessary dimension of the response to HIV/AIDS<sup>101</sup>—one of the commitments made by UNDP management in its response to the GCF-II evaluation.<sup>102</sup>

Feedback on the usefulness and quality of the knowledge products varied, but concerns included lessons-learned fatigue, the need to improve codification of good practice, and allocation of resources to adapt products to regional and country contexts. One comment from a major institutional partner emphasized that, given its lead responsibility within UNAIDS regarding the broad development impact of the epidemic, UNDP should develop country needs-assessment tools.

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99. According to figures shared by the HIV/AIDS Group, as of November 2007, UNDP was Principal Recipient and therefore manager of 63 active Global Fund grants in 26 countries, for a total of \$641.3 million, i.e. a grant average of \$10 million.

100. Since 2005, a series of eight programme guides were published on leadership development, community development, national- and district-level development planning, the mobilization of the arts and media communities and results-measurement. Other knowledge products (issues papers, implementation guides, assessments of country experiences, handbooks, etc.) were also made available during the last three years on the integration of HIV/AIDS into Poverty Reduction Strategy Papers and sectoral programming, HIV/AIDS mainstreaming methodologies, the governance of HIV/AIDS responses, gender equality, human rights, constituency-building (parliamentarians, civil society, etc.) and advocacy, human trafficking, and stigma and discrimination (the last two elaborated by the Regional HIV/AIDS & Development Programme for Asia and the Pacific and published in 2007 by the Colombo RSC).

101. UNDP, 'Responses to HIV/AIDS: Measuring Results', UNDP BDP-HIV/AIDS 2005. Unfortunately, no further work seems to have been done (or published) in this area since that year.

102. UNDP, 'Management Response to the Evaluation of UNDP's Second Global Cooperation Framework'. DP/2004/42, 26 August 2004.

In summary, some of the GCF-III work in the area of HIV/AIDS has produced sustainable capacity at the country level, often in cooperation with regional programmes. Strong partnerships were built with UNAIDS and the Global Fund, with tangible effects at the country level. However, rather than providing support to individual country efforts (where regional programmes appear to be more appropriate vehicles for policy and operational guidance), the greatest value of the GCF-III work on HIV/AIDS resided in offering policy guidance on global dimensions and strengthening the tools and knowledge management platform. Greater attention needed to be given to the mainstreaming of HIV/AIDS within each of the practice areas so as to leverage assets and respond effectively to programme countries.

### 3.1.5 MAINSTREAMING GENDER EQUALITY

Similar to the GCF-II, the GCF-III chose to mainstream gender across the various core practices, rather than establishing gender as a separate practice area.<sup>103</sup> However, one of the key findings of the GCF-II evaluation was that although mainstreaming might be the best approach for UNDP in the long term, in practice, it often served as an excuse for ignoring women's concerns.<sup>104</sup>

The evaluation of gender mainstreaming in UNDP, which was carried out during the GCF-III's first year of implementation, raised additional concerns. Its main conclusion was that

“UNDP lacks both the capacity and institutional framework for a systematic and effective mainstreaming approach.”<sup>105</sup> To reverse what it perceived as “a loss of visibility of gender mainstreaming in UNDP's organizational structure” during the previous five years, the evaluation recommended increasing the staff and financial resources allocated to the Gender Team, hiring specialists, training UNDP staff to build internal capacity, integrating gender analysis into all monitoring and evaluation processes with a view to improving institutional learning, and strengthening accountability. It also recommended that “top management should clarify what gender mainstreaming means for UNDP, and introduce mechanisms to institutionalize policy.”<sup>106</sup>

Taking into account the evaluation findings, the Gender Action Plan 2006–2007 was approved by the Executive Board in January 2006.<sup>107</sup> Of the \$10 million special allocation made by the Administrator for the two-year period, \$1.0 million came from the GCF-III.<sup>108</sup>

Based on the feedback received from RSCs, SURFs, country offices and national partners, the implementation of the Gender Action Plan—backed by strong commitment from senior management and the BDP Gender Team's clear and well-targeted strategy for the use of the mix of core and non-core resources—largely fulfilled its objective of ‘course correction’. This contributed to a firmer foundation for progress

103. UNDP, ‘UNDP Global Programme, 2005–2007’, DP/GP/1/Rev.1, 22 April 2005, paragraph 7(b).

104. UNDP, ‘Evaluation of the Second Global Cooperation Framework’, UNDP Evaluation Office, New York, NY, 2004, p.41.

105. The key shortcomings mentioned by the evaluation were that “(1) gender mainstreaming has not been visible and explicit; (2) there is no corporate strategic plan for putting gender mainstreaming policy into practice; (3) steps have been too simplistic and mechanistic, and (4) UNDP has not acted on previous assessments identifying similar shortcomings, and has given mixed signals about its commitment and expectations.” UNDP, ‘Evaluation of Gender Mainstreaming in UNDP’, UNDP Evaluation Office, New York, NY, January 2006, page ix.

106. Ibid.

107. The four goals of the Gender Action Plan were directly related to the recommendations of the evaluation and comprised: commitment—leadership and performance indicators; gender training, knowledge sharing and networking; communication and visibility; and core and non-core resources aligned with policy commitments. UNDP – Executive Board, ‘Gender Action Plan, 2006–2007’, DP/2006/9, 23 November 2005.

108. This special allocation more than matched the two non-core contributions of \$5.5 million and \$2.5 million made respectively by the governments of the Netherlands (in 2005) and Spain (in 2006) to the Gender TTF to support the development of UNDP's own capacity, tools and knowledge products for gender mainstreaming.

in empowering women and mainstreaming gender in all UNDP work.<sup>109</sup>

In addition to its role in providing overall direction for gender mainstreaming in UNDP and managing the Gender TTF, the Gender Team engaged in a series of collaborative initiatives with several of the practice areas to incorporate gender perspectives in the activities that were supported by the GCF-III and related funding. The following are illustrations of cross-practice cooperation:

- In 2006, the Democratic Governance Group worked with several institutions to launch the International Network of Women in Politics (iKNOW Politics), the goal of which was to increase the participation and effectiveness of women in political life.<sup>110</sup> The first in a series of three primers on gender and democratic governance was jointly issued by the Gender Team and Democratic Governance Group in 2007 and two more are planned for 2008.<sup>111</sup>
- In December 2007, a global consultation, funded by the Gender Team in collaboration with the Poverty Group, brought together for the first time UNDP economists (principally male) and gender specialists (principally female). Feedback from the participants was positive.
- With the Environment and Energy Group, the Gender Team launched, on the occasion of the 13th Conference of the Parties to the United Nations Framework Convention on Climate Change in Bali in late 2007, the

Global Gender and Climate Change Alliance. This brought together the International Union for Conservation of Nature, UNDP, UNEP and the Women's Environment and Development Organization.

- In line with UNDP's Corporate Strategy on HIV/AIDS,<sup>112</sup> the HIV/AIDS Group collaborated with UNAIDS and UNIFEM in November 2007 on a Global Stakeholder Consultation on Gender and AIDS to develop better guidance for integrating gender concerns into national AIDS responses. While it may be too early to assess results from this initiative, most comments on collaboration between the Gender and HIV/AIDS Groups at Headquarters and the regional level were positive.
- With the Human Development Report Office, the Gender Team undertook a revision of UNDP's human development indicators for gender, with significant inputs from a broad range of countries via the knowledge network.

At the regional level, the four GCF-III-funded policy specialists supported a large number of country offices that used Gender TTF and Gender Mainstreaming Initiative resources that:

- Facilitated training of UNDP staff and national counterparts on gender mainstreaming and developed country-specific strategies. Requests for TTF support increased from 50 in 2005 to 82 in 2006 and 120 in 2007; 45 country offices were supported in 2005 and

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109. The Gender Equality Strategy 2008-2011, which was presented to the Executive Board in January 2008, replaced the Gender Action Plan. The new strategy defined the institutional structure, mechanisms and resources required to achieve the expected gender equality results within each of the practice areas.

110. In addition to UNDP, UNIFEM, the International Institute for Democracy and Electoral Assistance, the Inter-Parliamentary Union and the National Democratic Institute for International Affairs participate in iKNOW Politics. The Democratic Governance Group reported that in its first nine months of existence, the website received 1.5 million hits a month and hosted a community of more than 1,700 registered members and 100 experts. UNDP, 'DGG Annual Report 2007', UNDP BDP-Democratic Governance Group, Draft, March 2008.

111. The first three primers were: 'Quick Entry Points for Women's Empowerment and Gender Equality in Democratic Governance Clusters', 'Gender Equality and Justice Programming: Equitable Access to Justice for Women', and 'Electoral Financing to Advance Women's Political Participation: A Guide to UNDP Support'. The two primers planned for 2008 will address issues related to gender and e-governance and corruption and gender relations.

112. UNDP, 'UNDP Corporate Strategy on HIV/AIDS', UNDP BDP-HIV/AIDS & UNAIDS, New York, NY, 2006.

47 in 2006-2007. The Beirut SURF reported that 16 out of 18 country offices now have a gender mainstreaming strategy.

- Assisted with the elaboration of cross-practice initiatives at the country level and provided policy support to country offices for incorporating gender equality in national development plans. Examples of RSC/SURF collaboration on gender mainstreaming in national development plans were reported in Liberia, Tunisia and Zambia.
- Provided substantive inputs, expert referrals and other services to country offices involved in areas such as gender-sensitive budgeting and gender-based violence. This provided good opportunities for inter-agency collaboration with the United Nations Population Fund (UNFPA), the United Nations Children's Fund (UNICEF), UNIFEM and United Nations Volunteers.<sup>113</sup>
- Strengthened the capacity of inter-agency gender thematic groups (frequently in collaboration with UNIFEM) to achieve greater incorporation of gender-related concerns into Common Country Assessments and UN Development Assistance Frameworks.<sup>114</sup>
- Stimulated UN country teams to respond to the call for proposals under the Gender Window of the MDG Achievement Fund. Proposals were received from 53 of the 57 eligible countries. Thirteen projects were selected for a total of \$102 million.<sup>115</sup>
- Generated new knowledge products for gender mainstreaming, such as the award-winning Gender Resources Mobile Unit

produced by the Beirut SURF;<sup>116</sup> and cross-practice activities such as the two CD-ROMs produced by the Dakar SURF on gender needs assessments and gender mainstreaming in the MDGs that complemented methodologies on MDG costing and budgeting, and the 'Gender Equity Approach for Sustainable Energy Initiatives' produced by the Panama SURF.

The above notwithstanding, with so much emphasis being placed on strengthening UNDP staff and country offices' understanding of gender mainstreaming and on bridging some of the gaps detected in the 2006 evaluation, it was unrealistic to expect that the GCF-III would reach its goal of "[ensuring] that gender efforts do not stand alone, but are at the forefront of everything [UNDP does]." <sup>117</sup>

Internally, additional efforts are needed to mainstream gender across the practice areas, over and above the examples mentioned in this report. Gender concerns were absent from or uneven in a number of practice notes, manuals and other products and global projects. Mainstreaming should be reflected in expert rosters, partnership development and the many other tools that are used by the GCF-III (and UNDP in general) to promote gender equality and women's empowerment. The success of UNDP's mainstreaming strategy depends on the commitment of all the practice areas—from the global to the country level—to incorporate gender dimensions.

The priority given during the last two to three years to internal capacity building, country

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113. Examples included countries such as Mali, Morocco, Tanzania, Tunisia and Zambia.

114. These activities built on main findings of the 2005 Gender Team publication 'En Route to Equality: A Gender Review of National MDG Reports', which reviewed the extent to which gender had been mainstreamed in 78 such reports and has been found useful by country office staff in the preparation of second generation MDG Reports.

115. The Fund's emphasis on cross-thematic approaches to gender equality provided a much-needed incentive for system-wide coordination and joint programming in an area where—despite ongoing constraints that range from the volatility of political will to address gender equality issues to resource scarcity—agencies have not always been willing to pool their assets to respond more collaboratively and effectively to country needs.

116. The Gender Resources Mobile Unit received an Award to Support the Rise of Women in the Arab World from the Netherlands Ministry of Foreign Affairs for the documentation and dissemination of good gender mainstreaming practices in the Arab Region.

117. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, paragraph 7(b).

offices' submissions to the Gender TTF and UN country team proposals to the MDG Achievement Fund, limited the GCF-III-funded gender advisors' ability to dedicate time to their policy advice function. The gender advisors needed to respond to too many demands and had difficulty establishing priorities.

Externally, the effectiveness of UNDP's mainstreaming approach should be measured in part against the extent to which countries adopted this strategy to address issues of gender inequality. Most government feedback acknowledged the quality of UNDP support as governments increased their efforts to adopt a more holistic vision of gender. In several cases,<sup>118</sup> UNDP assistance in preparing national development plans was mentioned, as were UNDP efforts to share its global knowledge of mainstreaming and good practices with national authorities. However, it was noted that governments that asked for specialist advice in specific areas of public policy sometimes found that UNDP (and other UN organizations) were stronger in the rhetoric of gender mainstreaming than in the provision of support for policy change and implementation.<sup>119</sup>

Collaboration between UNDP and UNIFEM at Headquarters and regional levels was generally considered satisfactory. In both Eastern and Southern Africa and West and Central Africa, joint initiatives were launched in areas such as gender mainstreaming in MDGs and gender and human rights. However, difficulties were reported at the country level. Some of these seemed to be due to the lack of explicit strategies to leverage each organization's mandate and assets to ensure complementarity of approaches. UNIFEM staff referred to some country offices' over-reliance on UNIFEM for their gender work and the difficulty of working on gender with institutions other than governments. Regional advisors and country office staff noted the issue of competition

between UNDP and UNIFEM in matters of resource mobilization.

The UN country team thematic gender groups were an essential resource for increased policy and programme coherence at the country level. However, while improvements were noted in incorporating gender issues and gender mainstreaming strategies in Common Country Assessments and UN Development Assistance Frameworks in both Africa and the Arab States region, competition among agencies tended to re-appear at the implementation stage, which could be confusing for national counterparts.

With respect to knowledge management, the global Gender Knowledge Management Platform did not capture country-level innovation and experience or reflect cultural differences within and across regions. However, some useful knowledge products, in particular to support the implementation of the Gender Mainstreaming Initiative, were developed,<sup>120</sup> and there was some positive feedback on regionally-based gender networks, especially in Asia. Mention was made of the problems that arose from the concepts and terminology of gender mainstreaming in countries where gender was a culturally and politically sensitive topic.



In summary, considerable success was achieved in promoting the UNDP Gender Action Plan by supporting gender mainstreaming at the country office level. With regard to the mainstreaming of gender within the context of the GCF-III, efforts were neither consistent (for example, little if anything was done by the Environment and Energy Group to mainstream gender) nor comprehensive (mainstreaming is still insufficiently present in a number of service lines). Although gender mainstreaming seemed to be the correct approach for UNDP, given the

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118. E.g., Mali, Tunisia and Zambia.

119. The strongest statement in this respect was made by the National Women's Committee in Yemen.

120. E.g. the Gender Team pack on Gender and Indicators.

organization's broad development mandate, the area lacked the resources to achieve the level of priority that UNDP corporate policies attached to it. Accountability for gender improved but needed to be applied more systematically in the GCF-III to ensure that sufficient resources were allocated to mainstreaming gender equality in all practice areas.

### 3.1.6 MAINSTREAMING CAPACITY DEVELOPMENT

In the MYFF 2005-2007, capacity development was identified as a common theme uniting the MDGs<sup>121</sup> and classed as a UNDP cross-practice area in the GCF-III.<sup>122</sup> With funding support from GCF-II, the BDP Capacity Development Group was formed in 2002 to give greater institutional focus to this aspect of UNDP work and to bring together resources, ideas and programmes from a number of pre-existing capacity development related initiatives.<sup>123</sup> UNDP now refers to capacity development as the overarching contribution of UNDP,<sup>124</sup> where, partly through support provided by the GCF, "UNDP methodologies have influenced the approaches of OECD-DAC and the UNDG [United Nations Development Group]. Those methodologies reflect a shift from a supply-driven approach to a nationally led change

process and give tangible form to the principle of national ownership."<sup>125</sup> The internal advocacy of the Capacity Development Group, funded in part by the GCF-III, was seen to have contributed to the increasing strategic importance of capacity development in the draft Strategic Plan.

Initial GCF-III funding of capacity development focused on the development of a number of tools and methodologies in order to standardize approaches that UNDP might take at the country level, as well as to collect and document experiences and lessons learned.<sup>126</sup> With this basis, the Capacity Development Group began integrating capacity development diagnostics and strategies into national, regional and global policy and programmes. The GCF-III also supported the global Madrid Conference on capacity development, co-financed with the government of Spain. This event provided the launch pad for country evidence and encouraged partners to agree on the capacity development approach, its implications for development processes and the supporting role of UNDP.<sup>127</sup>

While there was no initial GCF-III core allocation for targeted projects, the increasing demand from the country offices and other bureaux for

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121. UNDP, 'Second Multi-year Funding Framework 2004-2007', DP/2003/32, 13 August 2003, paragraph 43, p.12.

122. Four cross-practice areas were identified in the GCF-III programme document. These included gender, SSC, knowledge management and capacity development. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, paragraph 43, p. 14.

123. These included the Reforming Technical Cooperation project initiative, which was reviewed in 2001 and analyzed trends in technical cooperation, resulting in case evidence and a conceptual framework that supported a more systematic dialogue and approach to developing national capacities beyond technical assistance and externally driven projects, expertise and coordination mechanisms. Three books were produced from this earlier period that informed current UNDP capacity development strategy. Another initiative was the Capacity 21 Trust Fund that was established in 1993 to support the Capacity 21 programme, which strengthened capacities for developing national and local Agenda 21 plans and programmes (this then became the Capacity 2015 initiative in 2002).

124. According to the Gender Team, much of the advocacy for this 'mainstreaming' and elevated importance of capacity development was carried out by Capacity Development Group management with the architects of the Strategic Plan and UNDP senior management.

125. *Ibid*, paragraph 59, p.19.

126. The main documents referenced included: 'Supporting Capacity Development: The UNDP Approach', BDP, UNDP, June 2007; 'Capacity Development Practice Note', September, 2007; and 'Capacity Assessment Methodology—User's Guide', May, 2007. It is also significant to note that UNDP had developed and published in 1998 'General Guidelines for Capacity Assessment and Development in a Systems and Strategic Management Context' (UNDP, BDP, January, 1998), as well as a draft policy in early 1999 on 'Capacity Development for Sustainable Human Development'. Recent work was seen to build on these earlier documents.

127. UNDP, 'The Global Programme Role in Supporting UNDPs' Work in Capacity Development—A Short Walk Through History, 2001-2008', UNDP BDP-Capacity Development Group, internal document, April 2008, p. 3.

normative and cross-cutting capacity development work resulted in allocations of almost \$1 million per year.<sup>128</sup> The GCF-III-funded cross-practice initiatives included those focusing on mainstreaming capacity; facilitating private-sector capacity development, aid effectiveness and national capacity development; procurement capacity development; and the long-standing Public Private Partnerships for Urban Environments project.<sup>129</sup> The Public Private Partnerships for Urban Environments project was managed from the Johannesburg RSC and funded innovative local-level service delivery reforms in several countries by leveraging cost-shared resources.<sup>130</sup> As was the case with other GCF-funded projects, no evaluation was carried out over the GCF-III period, and hence independent evidence of project performance was not available.

The Bureau for Crisis Prevention and Recovery also expressed some demand for capacity development support, particularly with respect to capacity assessment methodologies in crisis, crisis prevention and post-conflict situations. Capacity assessment tools were also been taken up by the Regional Bureau for Africa (RBA) and are currently being promoted on a wide scale within Africa.

Both Headquarters and country offices expressed mixed reactions to the effectiveness of many capacity development products. The response at Headquarters was generally favourable toward practice notes and methodological guidelines, such as those addressing capacity assessments. At the regional/country level, the reaction was less favourable. In some cases, respondents felt that the various guidelines were not relevant to the specific contexts and country situations and local adaptations needed to be made. In some country offices,

staff were either not aware of the various capacity development products or felt that some ‘filtering’ was needed to identify those products that might have better application at the local level.

Based on the analyses of 21 of the 34 global projects, 14 (two-thirds) addressed capacity development. However, these were primarily focused on developing capacities internally within UNDP (with the intent that this new capacity would assist developing countries). It could not be determined whether or not this new internal UNDP capacity was being applied directly to developing countries. One of the sample projects that was analyzed, ‘Aid Effectiveness for Reducing Poverty and Achieving the MDGs—UNDP Support to Developing Countries’, was reported to have been particularly effective in regard to the Paris Declaration on Aid Effectiveness by allowing for the mainstreaming of the aid effectiveness issue into other UNDP practice areas and the engagement of Headquarter units, regional bureaux and the RSCs.<sup>131</sup>

Capacity development initiatives were part of the other GCF-III-funded practice areas but were not directly linked to the GCF-III capacity development funded components. Although capacity development was often a main activity in most country offices, it was often part of ongoing local TRAC and cost-shared country programmes and projects, and did not have any direct linkage to the GCF-III funded capacity development activities.

Increased demands were placed on the Capacity Development Group, which created some challenges that would need to be addressed in the design of a new global programme. These included:

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128. According to a recent report produced by the Capacity Development Group, a Capacity Development Advisor “... on average, supports two country missions and a training initiative each month (in all but one region). The demand mapping available from each region and intensity of service provision outstrips all other Practices in three regions,” Ibid, p. 3.

129. 130. This project has been renamed the Public Private Partnership for Service Delivery.

130. For example, the Dutch recently signed an agreement between WASTE and UNDP for an additional \$2.4 million, and also expressed their interest in seeing that UNDP contributes to the programme as well. UNDP, ‘CDG Quarterly Status Report for the BDP Director,’ UNDP BDP-Capacity Development Group, September, 2007, item #5.

131. UNDP, ‘Project No. 50520—Annual Report 2006’, UNDP BDP-Capacity Development Group, undated.

- The possibility that the Capacity Development Group would become a 'practice' in its own right, potentially competing with the BDP main practice groups for resources.
- The perception, as conveyed by other UN organizations, that UNDP approaches to capacity development were not always optimal.
- The limitations of a focus on more generic Headquarter-developed practice notes and methodologies, which had value as general guidelines but required considerable adjustments in their application in specific country contexts.<sup>132</sup> This was evident at the Panama SURF where the policy specialists themselves stated that the unique local circumstances required the development of locally grown methodologies.
- The infrequent interaction between the Capacity Development Group and the Knowledge Management Group within BDP. The Knowledge Management area in UNDP would benefit from the capacity development approaches that were developed, particularly with respect to Knowledge Management Capacity Assessments, and from developing a strategy for knowledge management within UNDP.

The Capacity Development Group was prolific in producing knowledge products. A Capacity Development Group catalogue listed 64 knowledge products produced over the period 2005 to 2007. These included policy and practice notes, consolidated replies to queries posted on the capacity development global knowledge network, case studies, toolkits, seminar reports and other types of products. Without further analysis, it was not

possible to identify those products produced with support from the GCF-III, but it was reasonable to assume that the GCF-III played a pivotal role in funding. As a cross-cutting practice, the effectiveness of the GCF-III support to capacity development was seen primarily in expanding awareness and understanding of general UNDP approaches to capacity development. Overall, the GCF-III, in terms of both professional resources and targeted projects, appeared to have made a substantial contribution to the work of the Capacity Development Group<sup>133</sup> through the funding of several key posts and a number of global projects.

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In summary, the work on capacity development was backed up by a substantive commitment of human and financial resources under the GCF-III. The resulting work by the Capacity Development Group in developing methodologies and tools, and the provision of technical support to the country offices, was useful. However, feedback on specific GCF-III-supported products and services was mixed, highlighting the demand for a more context-specific approach. The institutional commitment, including the allocation of human and financial resources, to capacity development might be a standard by which other cross-cutting areas, such as gender, might be mainstreamed through substantial financial and institutional support.

### 3.2 IMPLEMENTATION STRATEGIES

A key challenge in the implementation of the GCF-III was matching demand for services against limited resources. This will be discussed

132. This supported a concern that was raised in the 2006 annual report of GCF-III that expectations need to be better managed as to what could or could not be achieved through the new capacity development tools, viz.: "It is of importance to make clear to potential users of the capacity assessment framework that it is by definition a 'framework', and not a 'silver-bullet' solution that can be applied without adapting it or contextualizing to local situations." UNDP, 'UNDP Global Programme, 2006 Annual Report', UNDP BDP, undated, p. 33.

133. It is important to note that the Capacity Development Group was not evaluated, but rather the overall contribution of the GCF-III to UNDP work in capacity development, primarily through the Capacity Development Group. This was done through a basic review of a small sample of the GCF-funded projects as part of the 'targeted projects' implementation modality of the GCF-III (discussed in Section 3.2.2), a review of some of the documentation and interviews with the Capacity Development Group and other staff at the Headquarter/regional/country levels.

following a review of the three primary components of the implementation strategy: policy advisory services, targeted projects and knowledge management. The review will focus primarily on relevance and effectiveness, but will also touch upon issues of sustainability.

### 3.2.1 POLICY ADVISORY SERVICES

This evaluation did not assess the performance of individual policy specialists but sought to understand how their work contributes to the objectives of the global programme. The topic of policy advisory services is one of considerable debate at all levels of UNDP. The ambiguities regarding the nature of policy advisory services is another area of debate. Such ambiguities were highlighted by the GCF-II evaluation but have not been eliminated either in the design or the implementation of the GCF-III.

Given UNDP's goal to position itself as a world-class provider of policy analysis and advice, there is a need for a critical mass of expert resources in each of the UNDP practice areas. Both national counterparts and representatives of bilateral donors and the World Bank<sup>134</sup> noted that no organization that aspires to become a global knowledge broker on key development issues could afford to operate exclusively or even primarily through consultant services. Rather, it is essential to retain some 'resident capacity' of specialists who are able to support policy dialogue and similar processes with the benefit of regional and international experience. This view was shared by the respondents to the Resident Representative Survey. In response to the question "How important was the availability of GCF-funded policy specialists to the work of [your] country office?" 63 percent indicated that this was 'very

important' or 'somewhat important' in the area of poverty; 69 percent in the area of energy and the environment; 60 percent in the area of governance; and smaller percentages (between 40 percent and 45 percent) in the area of HIV/AIDS, gender and capacity development.<sup>135</sup>

In general, there were different interpretations of what was meant by 'policy advice' in UNDP. In line with the GCF-III programme document, which foresaw both policy advice and technical backstopping as being part of the policy specialists' tasks, almost all policy specialists provided at least as much programme support as they offered policy advice. Respondents to the Policy Advisor Survey reported that policy advice was an area to which 44 percent dedicated 'most of their time', as compared with 23 percent to technical support services.<sup>136</sup> However, only 18 percent of the respondents to the Resident Representative Survey regarded the provision of policy advice as 'very important' compared with 30 percent for technical expertise and backstopping.<sup>137</sup> Differences might be attributed to factors such as the extent to which a country office was involved in policy-making and felt the need for the GCF-III-funded policy specialists and/or external consultants, the content of a policy specialist's intervention, the quality of the specialist's performance, and the results obtained by the country office.

The dynamic between policy specialists, programme country governments, country offices, RSCs and Headquarters was complex and differed from country to issue to policy specialist. While some interviewees questioned whether governments even sought policy advice from UNDP, there was evidence that some governments welcomed advice on a broad range

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134. The context in which these observations were shared is the implementation of the Paris Declaration on Aid Effectiveness, which has led the major donors to strengthen their own substantive and policy advisory capacity at country level. Paris High Level Forum, 'The Paris Declaration on Aid Effectiveness', 2005.

135. Annex F.

136. Policy Advisor Survey, response to question no. 30. Annex F. Policy advice and technical support services receive the highest percentages, followed by research and analysis (17 percent), training and capacity-building (17 percent), knowledge management (14 percent), referrals (8 percent) and support to UN coordination (8 percent).

137. Resident Representative Survey, Annex F.

of policy issues, including extremely sensitive areas of governance.

The success of policy advice was based on the depth of country-office engagement and country offices' willingness to take calculated risks in areas where national policy and capacity could benefit from UNDP policy knowledge. In cases where country offices did not engage, the question arose as to how proactive the GCF-III-funded policy specialists should have been. In a limited number of cases, country offices reported that some policy specialists bypassed them in order to generate demand for their services directly from national authorities. In analyzing the success of specific interventions by policy specialists, several Resident Coordinators, Resident Representatives and Country Directors noted that the best-case scenario was when the support provided by the specialist was genuinely demand-driven, rooted in an ongoing effort by the country office to position UNDP in the national policy-making process, respectful of the different levels of responsibility that exist between the country office and the specialist, and based on the understanding that country office engagement is the pre-condition for effective policy support.

Given the diversity of expectations with regard to policy advisory and programme support services, assessing the effectiveness of this modality was not easy. Effectiveness appeared to be determined largely by management. This is discussed in more detail later in this chapter.

Neither the GCF-III programme document nor BDP defined effectiveness with respect to the role of the policy specialists. As a result, there were many interpretations of what effectiveness meant and strategies to reach that goal. Some practice areas, such as the Democratic Governance Group, had developed business processes that were used rather consistently, but these tended to focus more on the development of knowledge products and management of global projects than on the advisory role of policy specialists. Effectiveness tended to be approached

in terms of activities and products, rather than processes and outcomes. This may have been due to the multiplicity of the tasks performed by policy specialists and the nature of the relationship between the policy specialist and his/her client, since only the latter was in a position to assess the results of the support provided.

The above notwithstanding, country office staff and national counterparts mentioned numerous instances of effective services by policy specialists, including the following:

- Support with pro-poor macro-economic strategies in the context of a complex donor dialogue on MDG-related social reform, as in the case of Yemen where good interaction and substantive inputs from Headquarters, Beirut SURF policy specialists and country office staff helped the government defend options for greater fiscal space and increase social spending despite resistance by some donors and the World Bank.
- Support with electoral processes and reform, where policy advice from Headquarters and the RSC, and lessons learned from other countries' experiences, were appreciated by the Zambia country office and the Electoral Commission of Zambia.
- Support through innovative, capability-based poverty-measurement methodologies from Beirut SURF made a difference in understanding the extent of poverty in several Arab States and was acknowledged by the League of Arab States and the Economic and Social Commission for Western Asia.
- Support for regional training in gender mainstreaming methodologies (in West Africa and the Arab States, in particular), in which both country office staff and national counterparts participated, was recognized as a good effort to share lessons learned and best practices from countries and regions with similar challenges.

The knowledge brokering role of GCF-III-funded policy specialists was mentioned as an

area where country offices and national counterparts had high expectations, based on UNDP's global presence and extensive sources. The GCF-III-funded policy specialists operating in RSCs and SURFs pointed to some disappointments in this area. This was due both to the time constraints that their workload put on broader knowledge exchanges, and more importantly, to the difficulty many experienced in trying to feed country experience back into the global knowledge management activities of UNDP.

The large number of countries that each regionally based GCF-III-funded policy specialist was tasked to service precluded the possibility of providing equal attention to all the clients.<sup>138</sup> In the absence of general guidance, different policy specialists adopted different strategies. Some focused on in-depth servicing of a small number of countries, which built client capacity in a more sustainable manner and enabled the specialists to participate in successive phases of the initiatives that they helped support. Others opted for a more 'arms-length' relationship. The Panama SURF chose another direction, concluding that due to the existence of a large pool of experienced regional experts in each of the practice areas, what country offices most needed was a regional knowledge management platform that could meet country office demands for 'UNDP certified' innovative practices that are portable across countries.

While technical backstopping was an integral part of the policy specialists' role, some of the services provided to country offices were to fill gaps in country office capacity and might have been a distraction from other priorities of the policy specialists. For example, there were many cases of support given to country offices for the

preparation of the Expressions of Interest for the Thematic Trust Funds (in which 66 percent of the policy specialists were involved), Country Programme Documents, Common Country Assessments and UN Development Assistance Frameworks.

Although resource mobilization was not a principal responsibility of the policy specialists, in practice a significant amount of time was dedicated to generating resources to fund important dimensions of their work (such as studies, knowledge products and seminars.) Lack of financial resources affected policy specialists differently, since some were endowed with or could access programme resources (e.g. Capacity 2015, GEF and the Montreal Protocol), while others could only operate when country offices covered the cost of their services (e.g. gender). Some policy specialists stressed the importance of having some seed funding, as used to be provided in the first SURF business model, in order to stimulate demand for their services, especially in newer areas of policy involvement.

In general, the first casualties of the policy specialists' workload saturation were cross-practice work<sup>139</sup> and knowledge management, despite the importance the specialists attached to this area. Policy specialists also felt that they had insufficient time to keep themselves up to date with the evolution of knowledge in their fields.

The creation and deployment of a group of policy specialists was a logical response to UNDP's goal of affirming its role as a global provider of policy advisory and programme support services in its principal areas of practice. Although it was necessary for UNDP to provide some policy support to country offices, there was an ongoing debate about the exact nature of and extent of

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138. Most field-based policy specialists worked with 10 to 15 countries in any given year, though some worked with as few as 4 or 5. The variation amongst Headquarter-based policy specialists was much greater since some reported working with as many as 40 to 50 countries while others mentioned 2 or 3; 52 percent of the policy specialists reported spending between 5 and 15 weeks on mission every year, but 11 field-based policy specialists reported spending more than 16 weeks on mission (Policy Advisor Survey, Annex F).

139. In addition to comments made during interviews, the Policy Advisor Survey provided interesting indications about team work patterns; 42 percent of the policy specialists indicated they spend 20 to 40 percent of their total time to team work, but participation in cross-practice teams is where least time can be dedicated.

this role. This created questions about the respective roles of BDP and the regional bureaux in providing the GCF-III-funded policy advisory services and programme support, and doubts about whether the current architecture, profile of policy specialists and responsibilities assigned to them best responded to the organization's needs.

In the context of on-going discussions within BDP regarding the realignment of the practice architecture, particularly against the background of the UNDP regionalization process, the current role of policy specialists is being reconsidered. One model that is emerging could involve relinquishing direct policy advisory services at the country level in favour of being a knowledge broker and facilitator at the regional level (similar to the Panama SURF model described earlier), while providing guidance in coordinating activities within given practice areas.



In summary, the policy advisory modality provided some relevant services at the country level. However, given country demand for a broad range of services and the small number of policy specialists available through the GCF-III, it was not possible to ascertain whether the global programme was best placed to provide such services at the country level as opposed to regional programmes or other mechanisms. It was also not clear whether this modality, in its current form, constituted an effective, appropriate and sustainable use of global programme resources.

### 3.2.2 GLOBAL PROJECTS

As indicated in Chapter 2, the GCF-III budgetary allocation to targeted projects in the four practice areas was \$22.56 million.<sup>140</sup> In practice, an equivalent amount of funds was

allocated to the four practice areas, two cross-cutting areas and cross-practice projects.<sup>141</sup> On average, approximately \$7 million was allocated to all of the above-mentioned areas together per year and distributed among them. Bearing in mind the broad mandate of the GCF-III and its importance in supporting the UNDP practice architecture, the annual allocation of \$7 million to global projects was modest. In comparison with the allocation to policy specialist posts, which amounted to approximately \$14 million per year, the allocation to targeted projects indicated an emphasis on direct support to programme countries as opposed to the codification of knowledge and the development of global policy guidance through targeted projects.

Within the annual allocation to targeted projects, the GCF-III management further disbursed funding to the practice and cross-cutting areas and cross-practice initiatives, resulting in an annual allocation of approximately \$1 million per area. Within each area, a further break-down of funding across service lines took place. This explained the relatively small global project budgets, which typically ranged from \$30,000 to \$200,000,<sup>142</sup> to be implemented on a yearly basis. In allocating project funding, the GCF-III management gave little priority to one area over another. This was confirmed through interviews with BDP staff and BDP documentation relating to annual funding.

While small projects can have catalytic impacts, it is unlikely that a portfolio of small initiatives can yield development results of global significance (in line with the intentions of the GCF-III). Moreover, the lack of prioritization of funding across and within practice areas implies that global programme resources were not deployed in a strategic manner that took into account areas in

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140. See Chapter 2, Table 10: GCF-III Core Resource Allocations 2005-2007.

141. See Annex E, Table 2: GCF-III Actual Core Resource Allocations 2005-2007.

142. This figure is somewhat misleading since project modalities have varied considerably. E.g. while the Environment and Energy Group implemented 11 different projects in 2006, it only implemented one in 2007. The total amount of project funds was roughly equal in both years. However, the 2007 project did not imply a more programmatic approach. Rather, the project included a series of sub-components, covering similar areas that were covered by separate projects in 2006.

which the global programme was likely to add value, areas of particular global concern, areas of strong demand or a programmatic manner, for example by developing clusters of related projects that would feed into one common theme over a number of years. Thus, the resulting project portfolio was largely a function of fund availability combined with an egalitarian annual distribution and an annual decision-making process within the different practice groups and cross-cutting areas based on a variety of topical or recurrent issues.

Within the different practice groups and cross-cutting areas, fund usage varied considerably. For example, the Poverty Group and Environment and Energy Group used their project resources primarily to launch or pilot new initiatives for which funding through non-core resources was not available, with the aim of leveraging non-core resources or generating a broader interest among stakeholders. While the Democratic Governance Group and the Capacity Development also used some of their funding for such initiatives, their focus was more on using the GCF-III funding to develop practice notes, guidelines, tools, websites and training material in support of the global practice architecture and practice alignment. The HIV/AIDS Group and the Gender Team also used some funding for new initiatives, but used the largest component of their resources to support specific country-based initiatives in line with respective practice area based approaches.<sup>143</sup>

This reinforced the view that the GCF-III resources were not deployed in a strategic or programmatic manner, but were used to finance a range of activities. This is likely to have contributed significantly to the feedback that the GCF-III is not well known and that its value added is not easily recognized. The results of the Resident Representative Survey supports this: only 15 percent of the respondents believed that

global projects made a direct contribution to the achievement of development results in their country, while 85 percent felt that global projects made only a small contribution or none at all.

The varied approaches to using global project resources within the different practice groups was a reflection of the range of requirements emanating from the GCF-III programme document. Strengthening resource mobilization, while meeting country demands for support in different areas, while strengthening corporate policy and practice alignment, were not requirements that could easily be combined. In recognition of this, BDP management has moved in the past year towards developing a more programmatic approach. There is now a trend towards using the GCF-III to support the supply side of the practice architecture, in line with BDP's current roll-out of integrated service delivery platforms in each practice and cross-cutting area. This development appears appropriate as a means of deploying resources in a more targeted manner in support of the global practice architecture.

In view of the limited scope of the evaluation and the broad parameters of the GCF-III, it was not possible to conduct a comprehensive assessment of the results achieved by global projects. Poor results-based management (described in more detail in Section 3.5) contributed significantly to this situation. This was further validated by the project portfolio analysis conducted by the evaluation.<sup>144</sup>

Information from users of the outputs of global projects (regionally-based policy specialists funded through the GCF-III and the regional programmes and country office staff) was not very specific regarding particular projects. It was more likely to refer to certain knowledge products or practice notes, some of which may have been the outcome of two or more projects.

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143. Based on an assessment of the global project portfolio, 72 percent of the global projects focused on global issues (i.e. had no specific country focus or linkage) while 27 percent were based on country-level case studies or focused specifically on country-level work.

144. See Annex G.

Feedback from regionally or country-based UNDP stakeholders regarding practice notes or knowledge products and tools was mixed: some found outputs interesting, if not useful, in their work, while others suggested that the quality of some outputs could be considerably improved.

Discussions with staff involved in the management of the practice groups, cross-cutting areas and cross-practice initiatives shed some light on a range of issues pertaining to the effectiveness of the global projects. This information was not triangulated through the field visits. As such, the following discussion is more reflective of activities and outputs delivered than of actual results:

- Promoting innovation—All practice and cross-cutting groups suggested that some of their projects added value by being innovative. However, the concept of innovation was not clearly defined by any group and tended to reflect a more general understanding of the type of project that may be implemented through the GCF-III. Both the Environment and Energy Group and Poverty Group indicated that the GCF-III funding was used to develop innovative ideas that would not otherwise be funded through non-core funding because they were too new or risky. Conversely, the Democratic Governance Group suggested that more innovative work tended to be funded through the TTFs and that the GCF-III funding was used more to support the practice-related products and tools. Both the HIV/AIDS Group and the Gender Team suggested that their respective practice approaches and tools facilitated the implementation of innovative initiatives at the country level.
- Catalyzing commitment—Most practice and cross-cutting groups cited initiatives that had a catalytic effect in raising the interest of donors or partners and in securing additional funding. The Environment and Energy Group pointed to a 2006 GCF-III investment of \$15,000 in a carbon facility project, which, in 2007 received \$800,000 from the Energy and Environment TTF and is now receiving funding through the Government of Norway and the UN Foundation. The Capacity Development Group cited a procurement capacity development project that was initially funded through the GCF-III and is now being supported by the Government of Denmark and the development of the capacity assessment tool, which is now being promoted by the RBA in its work with programme countries. The HIV/AIDS group cited numerous examples (for example in Ethiopia, Lesotho and Nigeria) where the implementation of a leadership capacity development programme through the GCF-III global project funding led to the adoption of the approaches promoted through the programme and to the allocation of both national funding and non-core funding at the country level.
- Integrating principles—All practice and cross-cutting groups suggested that principles and drivers such as human development, gender mainstreaming, capacity development, national ownership or SSC were part of their work and supported the effectiveness of their global projects. Some admitted that they were not very systematic about ensuring that the principles were addressed in a meaningful manner. The Capacity Development Group and the HIV/AIDS Group indicated that country categories, such as Least Developed Countries, Landlocked Developing Countries or Small Island Countries, played little role in their work, since the global projects helped develop practice notes and tools that were of a more generic nature.
- Fostering strategic partnerships—Some practice and cross-cutting groups suggested that they were able to develop strategic partnerships on issues that were originally developed or piloted through global projects. For instance, the HIV/AIDS Group pointed to the emergence of key partnerships with the Association of Southeast Asian Nations and the African Union in the context of its initiative on ‘breaking the silence on AIDS’.

- Conducting cross-practice initiatives— According to the GCF-III staff, during the GCF-III period, a more concerted effort was made to develop projects that brought together different practice or cross-cutting groups, including the project on intellectual property and HIV/AIDS, the Poverty-Environment Initiative and procurement capacity development.

Several practice groups stressed that the outputs of most global projects were knowledge products, which may be further supplemented by tools and training modules. Such outputs often lost their BDP and GCF-III identity once they were made available within UNDP. It was therefore difficult to monitor the usage of these outputs and to ascertain their overall effectiveness.

Most of the global projects can be justified in terms of their linkage to the GCF-III objectives. The GCF-III staff implemented a wide range of promising initiatives. Some initiatives were successful in terms of generating additional resources, making a difference at the country level or providing useful approaches and tools to UNDP. A number of global projects were innovative, catalytic or fostered cross-practice approaches. However, it was not possible to ascertain the extent to which projects were effective. Moreover, even if some were effective, it was difficult to assert that the success of a project made the intervention relevant in terms of the overall intention of the GCF-III programme document.

The sustainability of global projects was not an explicit concern. There did not appear to be a BDP approach towards ensuring sustainability of its work. One senior manager indicated that he/she “had not really thought about it.” Some staff members noted that because global projects were typically small and often ‘one-off’, sustainability was difficult to ensure. This was compounded by the practice of allocating project funds to practice groups on an annual basis, thus limiting project implementation to 12 months or less. In many cases, projects ended with the

production of a document. Beyond that, few mechanisms were in place to ensure that outputs, such as reports, notes or tools were widely accessed and used systematically.

Often, project managers did not recognize sustainability as something that should be ensured under the project. If anything, sustainability happened ‘on the ground’ and was a function of the effective use of guidance notes, products and tools by national counterparts. Sustainability was built into the project outputs (tools and methodologies) but not the global project itself (as an issue that would shape the project strategy and types of deliverables). The HIV/AIDS Group had a different approach in that it was actively involved in the country-based implementation of global projects. It indicated that “sustainability [was] ensured by working hand-in-hand with government and civil society partners” and that developing ownership of initiatives by national counterparts was a key component of the projects.

The Environment and Energy Group pointed out that, in the context of its global projects, some sustainability was guaranteed by ensuring the interest of donors and securing non-core funding. By achieving buy-in by donors, the Environment and Energy Group could justify its overall approach to working on global issues, the products of which could later be ‘spun-off’. The Capacity Development Group, Democratic Governance Group and the Gender Group indicated that there was an increasing concern to understand better how to ensure sustainability. This was being addressed, in part, by a greater emphasis on monitoring and evaluation, which could help highlight successes and failures and identify ways to strengthen sustainability in the future.

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In summary, UNDP reported many successes achieved through global projects, for instance in promoting innovation, catalyzing commitment by partners and supporting cross-practice initiatives. Some global projects registered demonstrable results,

such as generating non-core resources. However, the project management approach under the GCF-III was short-term and activity-oriented, lacking outcome orientation in implementation. This contributed to the global project portfolio neither being developed programmatically nor focusing on a few strategic areas. The lack of concern regarding sustainability undermined the GCF-III ability to contribute significantly to the achievement of development results.

### 3.2.3 KNOWLEDGE MANAGEMENT

Knowledge transfer, learning and codification were placed at the centre of the GCF-III. The GCF-III investment in knowledge management was also intended to have a direct development benefit by enabling countries to benefit from interregional knowledge exchange and ensuring that development assistance drew on global best practices and expertise. It was not possible to determine if these broad statements of intent were achieved, but feedback suggested that progress was being made on some aspects of knowledge management.

The GCF-III programme document talked about the UNDP goal of “becoming a globally networked, knowledge-based organization,

connecting countries to knowledge, experience, technology and resources,”<sup>145</sup> and mentioned its ambition to be able to “draw on a network of global experience and knowledge.”<sup>146</sup> In terms of the ‘networking’ features, the GCF-III investment in knowledge management was highly relevant in supporting cross-practice work and policy alignment. The sharing and communication of information, in itself, was a means to facilitate this process. The main evidence of this (especially at the country level) was the production and sharing of ‘consolidated replies’. These responses were usually produced as a consequence of a query from a single country office on a particular development issue, and summarized similar or related experiences relayed from a number of country offices and/or policy specialists. As a means of supporting ‘communities of practice’, the global networks introduced country office staff to one another on a professional basis, both inter- and intra-regionally. In the words of one new programme officer in a somewhat remote country office, “without the networks, I would have felt very much alone,” (see Table 13 on staff responses to knowledge sharing.)

In accordance with information provided by BDP, RSCs built 15 regional communities of practice in

**Table 13. Global Staff Survey Response: Satisfaction with Knowledge Sharing Across UNDP 2003-2007 (percentage)**

<b>I am satisfied with the opportunities to share my knowledge and experience across UNDP</b>	<b>2003</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>
All UNDP	58	58	62	64	65
Headquarters and regional units	50	53	57	61	64
Country offices	60	60	64	65	66
Female	53	54	58	60	62
Male	64	63	67	68	69

145. UNDP, ‘UNDP Global Programme, 2005-2007’, DP/GP/1/Rev.1, 22 April 2005, p 4.

146. Ibid.

2006, with members internal and external to UNDP and the UN system. These communities of practitioners contributed to improved regional service delivery and the knowledge base, to regional policy development, and to country office processes through focused learning and sharing of knowledge.<sup>147</sup> Other examples included support to the building of the regional MDG Community of Practice, which was seen as a cornerstone of the tripartite partnership involving UNDP, the UN Economic and Social Commission for Asia and the Pacific, and the Asian Development Bank; and support to Regional Community of Practices for gender, disaster reduction and energy.<sup>148</sup>

Driven primarily by the ongoing regionalization process and increasing focus on providing appropriate knowledge to its country partners, knowledge management in UNDP is evolving from a 'connecting strategy' (with a strong focus on connecting people through global networks in order to overcome silos, strengthen the practice architecture and connect policy with practice and Headquarters with the field) to a more systematic 'collecting strategy' (which ensures UNDP and its development partners have relevant, useful and easily accessible knowledge to support their work at country level). The primary means for this was through the knowledge networks<sup>149</sup> that were supported directly by the GCF-III as noted in Table 2.<sup>150</sup>

With respect to the networks, the GCF-III was designed as a vehicle for service delivery to stimulate interaction among the communities of practice in order to develop and disseminate knowledge and expertise to support UNDP work with national partners. In this somewhat restricted

application, the GCF-III support to knowledge management was generally effective.

However, some concerns were expressed with regard to the global networks:

- Country office staff generally reported that they were too busy to spend time on the global networks and that the many e-mails cluttered their in-boxes and were often deleted. However, staff that did use the networks regularly reported that they found the 'consolidated replies' to be useful.
- Several commented that some staff members who regularly accessed the networks did so to enhance their own personal visibility (and perhaps enhance their chances for promotion). While such perceptions may seem to be of minor importance and could not be validated, they raised some questions as to the motivation for using the networks (at least on the part of some) and may serve as a disincentive for use.
- Many staff members in RBEC and the Regional Bureau for Latin America and the Caribbean (RBLAC), where the working language is Russian or Spanish, did not use the global networks since the primary language was English. The language barrier inhibited communication and the sharing of information across regions. There was no GCF-III funding to support the systematic translation of key knowledge products.
- The GCF-III did not generally support the development of regional or subregional knowledge networks, even though there were informal networks at these levels that were

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147. 'Annual Report 2006 Regional Centre in Bangkok and Regional Centre in Colombo'.

148. 'Annual Report 2007 UNDP Regional Centre in Bangkok, Colombo and Suva'.

149. The networks listed in Table 2 were supported by the GCF-III. In addition, there were several other major networks in UNDP. These included Crisis Prevention and Recovery (1,912), MDG-net (3,736), HuriTALK (1,095), HDR-net (964), Management Practices (3,621) and EVAL-net (1083). There were also several other networks of a more specialized nature in UNDP (e.g. finance, procurement, human resources, project management). The total membership as of end 2007 for all global networks in UNDP was 21,262. Generally, membership in the global networks tripled over the period 2003-2007.

150. It should be noted that the GCF-III funded knowledge management-related positions at the regional level. For example, in RBEC the Deputy Chief for Knowledge Services was funded by the GCF-III and the Bratislava Regional Centre reported that significant knowledge management outputs were achieved, and direct funding was provided to innovative initiatives.

seen by many country office staff as more effective for the 'local' sharing and exchange of information.<sup>151</sup> Country office staff also raised the concern that a proliferation of local networks could detract from the utility of global networks.

The knowledge platform developed by the Panama SURF was an innovative way of delivering technical assistance<sup>152</sup> and an interesting application of knowledge management. The platform was developed 'bottom-up' through support from the regional programme (not the GCF-III), while the process of development was led by one of the GCF-III-funded policy specialists. This platform, with participation by several regional policy specialists, was applied mainly within the region and featured a database of case studies in local development, a network of experts and local institutions that had expertise and experience in the area, and a range of tools to support work in the main sub-application areas: local governance, decentralization and institutional reform, justice security and human rights, and environment and sustainable development (i.e. energy for the MDGs, environmental services and water governance). The platform also contained supporting knowledge product development processes in terms of acquisition, quality assurance, codification and diffusion.

The success of the platform was evidenced by the fact that joint pilot initiatives were being undertaken or planned with UNICEF, UNFPA and the Panama country office. The regional

offices of both UNICEF and UNFPA looked at the platform as a possible solution to their own technical service delivery and knowledge management challenges. At the regional level, participating agencies hoped that this platform would evolve as a common UN knowledge platform and be a potential solution for UN organizations in other regions.<sup>153</sup>

A second dimension of the GCF-III support to knowledge management was in the management of knowledge products. Despite prolific outputs of knowledge products at all levels of the organization, UNDP had not codified its knowledge base to understand whether such products meet real demands or the extent to which they are used. There was a great deal of information available, but it was not prioritized in terms of what should be produced and systematized for easy access. Collecting knowledge—based on client needs, ensuring quality, capturing and codifying, and distributing and sharing in the most useful formats—did not receive adequate attention despite the approach espoused in the GCF-III document.<sup>154</sup>

The collection and codification of knowledge from a UNDP-wide perspective was generally ineffective.<sup>155</sup> Addressing this is the focus of a proposed new project that has a number of components that are in line with what can be expected from a next phase of knowledge management development. Many knowledge products ranged from fair to excellent in quality, but they were not produced according to any

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151. Some examples provided by BDP of GCF funding to local initiatives included Asia-Pacific, where the GCF-funded regional Knowledge Services Teams and regional GCF-funded advisors conducted knowledge work in numerous communities of practice/e-networks, in synergy with funding from regional programmes and other sources. Communities of practice were built, mapped and monitored and learning events and consultations were convened.

152. As opposed to the more conventional and costly UNDP/BDP practice of recruiting and hiring policy specialists who go on missions to assist country offices and programme countries.

153. Information provided through interviews suggested that, until recently, there was little BDP interest in the Panama SURF knowledge platform development process. Some funding from the GCF Knowledge Roadmap project was allocated to the Panama initiative, which may assist in determining its potential for broader application.

154. This was found to be an issue in the evaluation of the GCF-II, and the UNDP management response was "To promote greater clarity, the definition of 'knowledge management' should be disaggregated into its constituent functions of: (a) creating, (b) organizing, and (c) using knowledge for development results." UNDP, 'Management Response to the Evaluation of the Second Global Cooperation Framework', DP/2004/42, 26 August 2004, paragraph 18.

155. This was also found to be an issue in the evaluation of the GCF-II. The UNDP management response at the time was that "UNDP needs more knowledge, not less. To prevent 'saturation' due to a proliferation of different products and services, greater streamlining and consolidation is important." Ibid, paragraph 17.

standard method or system of quality assurance. BDP has produced a 'quality assurance and clearance process' for BDP products and publications, but it has yet to be implemented.<sup>156</sup>

Another concern with the management of knowledge products was the manner in which they were disseminated. Staff members at the country office level were not aware of what products were produced when and for whom. BDP had a set of communications guidelines in place, but there was no communications strategy whereby new products could be launched and marketed. The application of the communication guidelines for any specific product was the responsibility of the author of that product.<sup>157</sup> Even though the products were placed on the practice sites and other websites, staff members reported that they did not have the time to search each website for what was new or relevant to their work. Some of the practice areas produced 'catalogues' of their products, but the classification of products varies, and there was no corporate-level catalogue or inventory of products. This codification of knowledge products has been an outstanding issue for some time.

The GCF-III stated that the "...global programme supports the UNDP knowledge management strategy." However, such a strategy was not developed and was only broadly described as proposing to "...strengthen its internal practice communities, at the same time extending the knowledge networks to in-country networks

and United Nations system partners."<sup>158</sup> In the absence of a formal strategy, the de facto approach to knowledge management was one of 'stealth'—stimulating a bottom-up growth in interest and activities in knowledge management, facilitated by some corporate efforts at providing an enabling network environment.<sup>159</sup> This bottom-up approach led to some maturity in UNDP knowledge management, particularly through the establishment and use of the knowledge networks. Knowledge management, as supported by the GCF, has garnered significant praise for its 'connection' efforts and has served as a model for a number of organizations, including the UN system. Although slightly dated, an independent review in late 2004 found that "...the design and implementation of the knowledge program at UNDP is generally sound and is in line with good practice in organizations in the public and private sector" and that they were "particularly impressed with the energy and responsiveness of the networks."<sup>160</sup> This finding is just as relevant today.

The 'New Knowledge Management Roadmap' was an isolated initiative—an internal BDP project with little projection externally. Its integration with the rest of the GCF-III is not clear, and it has not galvanized key parts of the organization (including Headquarters, the Office of Development Studies, the Human Development Report Office and regional bureaux) around a shared vision for knowledge management.<sup>161</sup> Further, the Roadmap has an allocation of only

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156. UNDP, 'Ensuring Quality Control and Policy Coherence: BDP Quality Assurance and Clearance Process', UNDP BDP, undated.

157. Ibid.

158. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, p. 6, paragraph 10.

159. The absence of an organized, corporate and strategic approach to knowledge management had some negative consequences, as reported by BDP. This included the proliferation of stand-alone systems by several bureaux outside BDP, which often supported similar functions. The areas of Knowledge Management/Information and Communications Technology, governance and support were equally fragmented, resulting in duplication of efforts and ineffective systems. Consequently, this had a negative impact on UNDP's ability to share knowledge effectively, both throughout the organization and to share between UN organizations and external partners.

160. Davenport T, Denning S, Parcell G, Prusak L, 'Report of the [External] Review Group: Review of UNDP's Networks and Communities', 3 November 2004, p. 2.

161. To address this issue, BDP proposed the formation of a Knowledge Management Steering Committee comprising the Bureau for Crisis Prevention and Recovery, BDP, Partnerships Bureau, Bureau of Management, Office of the High Representative, and Office of the Secretary-General among others and also regions, UN country team and other UN organizations. However, securing their engagement and ownership of the initiative is bound to be difficult. The Bureau for Crisis Prevention and Recovery developed its own well-structured Knowledge Product Toolkit.

\$5.1 million to date, which does not seem adequate for a well-rounded approach to the next phase of knowledge management development. The 2007 Networks Benchmarking Review pointed out that much work needs to be done in “working with Senior management in UNDP HQ [Headquarters] and country offices to help ensure better alignment with the overall strategic goals and direction of UNDP.”<sup>162</sup>

There were signs that, over the medium to longer term, knowledge management could become a sustainable function within UNDP, perhaps with or without direct global programme funding support. Evidence of this was the attention given to knowledge management as one of five key elements of the UNDP business model, as set out in the UNDP Strategic Plan where it is stated that two of UNDP’s main comparative advantages are “Effective knowledge management through the global presence of UNDP and use of its knowledge and resource management systems...”<sup>163</sup>

Knowledge management was seen as more of a central BDP corporate matter. This was due to the fact that knowledge management was defined as one of the main components of the GCF-III and BDP was the assigned manager of the GCF-III (and by extension, the ‘manager’ of knowledge management.) Other units within UNDP also had an important stake in the production and use of knowledge, including the Bureau for Crisis Prevention and Recovery, Bureau of Management, Human Development Report Office, Office of Development Studies and the South-South Unit. The GCF-III programme document was unclear on the broader understanding and responsibility of knowledge management, but the general view was that knowledge management should be the responsibility of all those in UNDP who produce, access and share it.

Most UNDP knowledge has been produced at the country office level. The policies, systems, procedures and incentives necessary to ensure that knowledge management could work on a broader scale did not appear to be in place. The GCF-III and BDP alone may not be the only or the most effective vehicle or funding source to ensure a broader application of knowledge management within UNDP.

The test is whether development improves in UNDP niche areas due to a more informed organization that knows how to optimize its knowledge assets (both people and products). As yet, there is no systematic evidence that this is taking place. This evidence would normally be supplied by monitoring and evaluation systems at the project, programme and organizational levels. There was some anecdotal information, such as the use of the consolidated replies, that points in the direction of having some direct effects on development in programme countries, but without further analysis and validation, this is only conjecture.

There are some risks to the sustainability of a cost-effective knowledge management function in UNDP. Without the benefit of strong commitment and leadership from senior management, the bottom-up or stealth approach discussed earlier can continue only for so long. Knowledge management is a corporate-wide issue. Further, as other non-BDP units continue to produce and manage their knowledge (with their supporting networks, standards and systems), there is a risk that UNDP knowledge can become balkanized, with associated barriers and constraints to sharing and access.



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162. UNDP and Warwick Business School Knowledge & Innovation Network, ‘UNDP Network Benchmarking Survey Summary Report, Version 0.9’, 2007.

163. UNDP, ‘UNDP Strategic Plan, 2008-2011 Accelerating Global Progress on Human Development’, DP/2007/43, Reissued 17 January 2008, paragraph 28-e, p. 12. In the same paragraph, UNDP states that “. . . it must: (i) further expand and improve its existing knowledge networks; (ii) open the networks to other United Nations staff and help build open United Nations-wide knowledge networks; and (iii) gradually open the networks to allow direct participation by external experts, civil society and institutions. Work has already begun in all three areas.”

In summary, the knowledge management work conducted under the GCF-III fulfilled an important strategic function in support of the practice architecture. During the GCF-III period it contributed to strengthening the knowledge management function within UNDP as a whole, although there was no overarching UNDP strategy. Many knowledge services, networks and products were highly appreciated by UNDP users. However, the compilation and codification of knowledge was generally ineffective, thereby constraining its wider use beyond UNDP. Moreover, under the GCF-III, the management of knowledge was typically practice-based and, therefore, did not encourage a more integrative approach.

### 3.3 MANAGEMENT ARRANGEMENTS

In seeking to understand the effectiveness and the results of the GCF-III, it was essential to analyze the way in which activities were implemented, including their support structure and organizational issues. This section covers management-related issues that directly affected the efficiency of the GCF-III.

In mid-2004, in the formal management response to the Executive Board on the Evaluation of the GCF-II, UNDP acknowledged management weaknesses in execution, oversight and reporting.<sup>164</sup> In response, UNDP committed to several management improvement initiatives including a comprehensive programme and financial audit; a well-staffed Programme Support Unit; rigorous annual work planning, comprehensive annual reports, annual implementation plans and regular monitoring and reporting to the Executive Board; strengthened and formalized mechanisms of consultation and external oversight; more systematic consultations with regional bureaux, regional

centres and country offices on programme content; and reconstitution and annual meetings of the global programme Advisory Board.<sup>165</sup> These commitments were carried forward in Section IX of the GCF-III programme document.<sup>166</sup>

This evaluation found that many of the management challenges that were identified in the GCF-II evaluation remained unresolved during the GCF-III period.

#### 3.3.1 RSCS, SURFs AND REGIONALIZATION

Assessing the management of the RSCs was beyond the scope of this evaluation. However, since the GCF-III resources were subject to RSC management (supplemented through the joint BDP-regional bureaux arrangements) and all but two of the RSCs and SURFs were visited under the evaluation, some observations were warranted. The following touches upon some aspects of RSC/SURF performance relating to the GCF-III:

- The Bratislava Regional Centre appeared to be an example of an effective management model for the GCF-III-funded policy specialists. Here, the GCF-III policy specialists and regional programme staff were integrated into a single team or Policy Support and Programme Development Unit. The services deployed to the country offices were seen as Bratislava Regional Centre services and little distinction was made between the GCF-III and regional specialists. Supply and demand for services was managed by the Centre, priorities were set, performance was monitored, and the operation was generally seen as effective. However, continuing uncertainties concerning the implementation of the new regionalization model was a cause of concern and some

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164. "UNDP acknowledges the weaknesses in execution, oversight and reporting. Part of the explanation is the unprecedented degree of administrative and human resource upheaval that BDP experienced during the period of GCF-II implementation, as referred to earlier. Other causes include the drastic and continuous changes in operational procedures, including the introduction of new execution modalities—such as direct execution—new funding modalities—such as the thematic trust funds (TTFs)—and the introduction of an entirely new financial system." UNDP, 'Management Response to the Evaluation of the Second Global Cooperation Framework', DP/2004/42, 26 August 2004, paragraph 28.

165. Ibid, paragraph 30.

166. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005.

demoralization, resulting in the loss of some GCF-III funded staff.

- The RSCs in Bangkok and Colombo also appeared to be effective models for the same reason as the Bratislava Centre. During the GCF-III period, the Regional Centre Colombo, which was smaller and established more recently than the Regional Centre Bangkok, faced more challenges in the management of the GCF-III-funded policy specialists and in facilitating their integration within the work of the Centre. The same concerns of policy specialists over the regionalization proposals that existed in other RSCs were found in both the Regional Centre Colombo and Regional Centre Bangkok. One issue that was particular to the Asia-based GCF-III-funded policy specialists related to the perceived inconvenience of having split the RSC function along practice lines across two locations within Asia. This hampered cross-practice work and cross-fertilization within the broader Asia-based team and detracted from cost-effective delivery of services.
- In addition to the ongoing security situation, the Beirut SURF faced specific difficulties since its initial setup in 1998. It experienced extended vacancies in some posts due, in part, to the ongoing uncertainty regarding its location (especially since the Summer War of 2006). At the time of this report, relocation to Cairo and merging with the new RSC being established there appeared probable. SURF staff members, including the GCF-III-funded staff, reported the situation was highly demotivating.
- The integration of the SURFs within the RSC in Johannesburg faced considerable challenges. The GCF-III-funded policy specialists based in Johannesburg were not

effectively integrated into the regional operation and had a pronounced sense of abandonment by RBA, BDP and the Johannesburg RSC. The RSC in Dakar was even more removed, with little interaction with the Johannesburg operation, RBA or BDP. The work conducted by the policy specialists was more a function of individual initiative than service management, and this varied across the practice areas. Many staff members felt some sense of demoralization and disconnect, which was especially strong in Dakar.

- In the case of the SURF in Panama, the regional bureau saw the SURF as an important avenue to deliver policy advisory services. The initial strategy was to have the SURF focus on a few specific areas while other areas would be addressed by other funds and programmes (some via the monetized posts assigned to the SURF). The BDP model for policy advisory services could not be fully implemented for a variety of reasons.<sup>167</sup> Further, the SURF was somewhat disconnected from both BDP and RBLAC. As a consequence, only a few of the posts were filled, with others having been monetized. Some key staff members have since left, in part due to the ongoing challenges noted in a series of internal reviews since 2004. Nonetheless, the appointed policy specialists have done some innovative work (particularly with respect to the Knowledge Platform) and have supported a number of countries in key programme areas.

The regionalization process had not yet reached closure at the time of writing the report. Discussions were still on-going on matrix management models, lines of accountability, the management of global programme resources and regional specificity. Moreover, it was not clear

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167. The BDP model was understood as allocating the GCF-III-funded policy specialists in each of the practice areas in each of the regions. This model was not fully implemented for the Latin America and Caribbean SURF for the following reasons: there was little demand for practice expertise from the GCF/BDP beyond (local) governance and environment/energy; there was a large pool of regional talent and hence little need for UNDP to provide higher cost policy advice or expertise; the SURF structure was somewhat disconnected from the associated regional projects (including BDP projects that were considered associated projects); the matrix management arrangement required attention and skill to make it work; and neither RBLAC nor BDP took a stand on the issues or made serious efforts to resolve them.

what longer-term impact the integration of SURFs with RSCs would have on the substantive nature of the GCF-III.

### 3.3.2 PROGRAMME PLANNING AND RESOURCES MANAGEMENT

#### Programme planning

There remains some uncertainty as to the real nature of the GCF-III: Is it a programme, a framework or a funding mechanism? The overall structure of the GCF-III lacked a cohesive results framework, functioning more as a conglomerate of projects, modalities, funding mechanisms and other instruments. Programme planning and associated resources managed were interspersed with internal BDP organizational and operational objectives making it difficult to 'extract' the GCF-III-funded components. The only documents that addressed the GCF-III as a whole were the initial programme document and, to a lesser extent, two annual reports.

The GCF-III programme document presented a 'Work Plan, 2005-2007' in Annex 1. Rather than a work plan, this was a one page break-out of the financial allocation of policy advisory services (in terms of posts and funding), targeted projects and knowledge management across the practice areas by region and BDP Headquarters. The document's 'Results and Resources Framework' broke out the global project-related outcomes, outputs and budget allocations by MYFF goal.<sup>168</sup> The results framework did not present an integrated, results-oriented programme of work, based on a plausible 'theory of change'. Rather, it illustrated further the GCF-III intent to distribute limited resources across a very wide range of interventions. The results framework also did not, in most instances, clarify the GCF-III 'global' contribution to results, vis-à-vis the expected contributions of regional and country programmes.

It is questionable whether this results framework served any purpose in the planning of practice line-specific work and implementation, since there was no Results-Oriented Annual Report against it over the three-year period, and many of the measures were quantitative and did not provide qualitative or 'output' criteria (for example, 'x' number of workshops conducted, 'y' knowledge products developed.) Expected outcomes, outputs and measures for other GCF-III components were not monitored in any routine or programmatic manner, including the policy specialists, or knowledge management work.<sup>169</sup>

#### Work planning

As noted earlier, BDP committed to carry out rigorous annual work planning and annual implementation planning. Annual practice group work plans were produced for the years 2005 to 2007 and were constructed in table format. They were prepared in somewhat differing formats from year to year and they associated detailed lists of expected outcomes, outputs (or deliverables) and budget sources with main service line and programme pillars. The GCF-III components could not be extracted for 2005, but the budget and source of funds (core and other) was identified for each output and outcome in the 2006 and 2007 work plans respectively.

No implementation plan for BDP or the GCF-III appeared to exist, nor any other higher level document that would provide a 'programming framework' in terms of priorities, success factors, or how the implicit activities would be linked to demands or to each other.

#### Resource allocation

Annual work plans formed the basis for funding allocations of the targeted projects to the different practice and cross-cutting areas. The

168. 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, Annex 2, p.18. According to BDP, the statement in Annex 2 that "The tables below outline the results and resources frameworks for targeted projects under programme component 2" was erroneous, and the results framework was intended to cover all project, knowledge management and policy advisory activities conducted under the GCF-III.

169. In May 2008, BDP compiled and made available a list of outputs achieved against outputs planned in the results framework. While this list reflected the breadth of activities conducted in each component of the GCF-III, it was not possible to ascertain the quality of outputs, let alone their contribution to outcomes.

plans did not indicate the criteria by which priorities were established or how the project funding allocations were made (the distribution of policy specialists follows a separate method). Reference to some general criteria was made in a brief memorandum from the Director each year, and practice-group project allocations were announced. Each practice group then allocated the GCF-III funds to their service lines according to internal criteria, which was understood to be different within each group.

Project funds were allocated equally between the three largest practices (Governance, Poverty, Energy and Environment), with equal allocations made for the thematic centres, and proportionately smaller allocations for HIV/AIDS, Capacity Development and Gender. Such allocations did not appear to be linked to country demand, where almost 50 percent of total UNDP programme delivery was reported to be in the area of governance. Conversely, these allocations may be seen as ensuring a basic minimum level of coverage for each of the practices assigned to BDP. Concerns were expressed that the funding allocation process was obscure and non-transparent, and that the country offices, central bureaux and RSCs were not consulted.<sup>170</sup>

A recommendation from the evaluation of the GCF-II suggested that criteria for use of global resources must be clear, consistently applied and distinct from regional or country-level programming. The management response indicated that criteria were "... being developed, in consultation

with regional bureaux and country offices, to determine the nature and delineation of global programmes and their relationship to regional and country programmes."<sup>171</sup> Evidence of this having taken place could not be found.

### **Mobilizing non-core resources**

Resource mobilization (using core resources to leverage non-core resources) was one of the objectives of the GCF. BDP supported resource mobilization through a number of avenues funded by the GCF-III: the GCF-funded policy specialists supported resource mobilization activities at BDP Headquarters as well as at the regional and country levels, which in turn, indirectly supported programme countries in their resource mobilization efforts; indirect support was provided through partnerships, including collaborative efforts with the Bureau for Resources and Strategic Partnerships; and there were targeted projects intended to strengthen resource mobilization efforts by enabling UNDP to leverage larger non-core programmes (in fact, resource mobilization is one of the key criteria for core funding of projects). Resource mobilization was given less emphasis in the first and second GCF.

Over the period 2005-2007, mobilized non-core resources (reported by BDP as \$232 million) exceeded the target of \$190 million<sup>172</sup> by approximately 22 percent (see Tables 4 through 7 in Annex E for a break-out by practice area and for information on the TTFs.)<sup>173</sup> There were many non-global programme-related contributing

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170. The evaluation of the GCF-II recommended that a more formalized consultative method for programming, programme design and allocation of resources should reflect the variable demand for services by region, sub-region and country. The BDP response was that "Consultations with regional bureaux, regional centres and country offices on GCF programmes will be enhanced and formalized." UNDP, 'Management Response to the Evaluation of the Second Global Cooperation Framework', DP/2004/42, 26 August 2004, Annex (section on Strategic Direction). This does not appear to have been done.

171. Ibid, p. 9. The GCF-III programme document also stated in paragraph 40 that "... the decision to allocate resources for targeted projects was taken on the basis of clear criteria weighted by: expressed needs; capacity to deliver; and potential for non-core resource mobilization."

172. The break-down was approximately \$178 million through the TTFs and trust funds, and approximately \$58 million through targeted project cost sharing.

173. BDP suggested that non-core funds raised through the GEF and Montreal Protocol should also be attributed to the GCF-III. This requires further substantial analysis. There remains some confusion as to the precise role of the GCF-III in the area of resource mobilization and the degree to which certain sources and amounts can be attributed either directly or indirectly to the GCF-III. Resource mobilization was not an objective of the GCF-II.

factors to resource mobilization, such as the role and time spent by BDP and UNDP management and non-core funded project and programme specialists on resource mobilization efforts.

This commendable effort came with risks. Based on information provided by BDP, Headquarter-based policy specialists spent approximately 10 percent of their time mobilizing resources for their service line. This has the following possible consequences: there are implied incentives and pressures to 'mobilize resources', which may be a distraction from policy specialists' primary focus on substantive work; emphasis on resource mobilization and delivery may lead to distorting programming and operational priorities of BDP; and while all TTF funds are expended mostly on country-level programmes and projects, it is not possible to determine if they have strengthened national ownership. The GEF and other global funds that are not so directly tied to the practice architecture may be examples of this.

#### **The global programme as a funding mechanism**

The GCF-III core resources accounted for only 10 to 20 percent of all BDP resources, yet according to BDP, accounted for approximately 50 percent of the workload as measured by staff distribution.<sup>174</sup> This could be explained by the fact that the GCF-III funded almost half of the BDP posts. The approval of the GCF-III was based, in part, on the understanding that \$42 million, or approximately 53 percent of core resources available for programming, would be allocated to the recruitment and funding of 75 policy specialist posts.<sup>175</sup> However, an additional 69 BDP posts were funded from the GCF-III core funded global projects. Thus, the salaries of

almost half of the 328 BDP posts<sup>176</sup> were paid by the GCF-III, and an additional \$3.1 million was expended on service contracts over the period 2005 to 2007.

Expenditures on salaries (posts) accounted for approximately 73 percent of total GCF-III core expenditures. When service contracts were included, this rose to almost 77 percent. This raised questions about the intended versus actual use of the GCF-III funds. The funding of the additional 69 posts may be seen as a contravention of the GCF-III programme document, which specified that 75 policy specialist posts would be funded.<sup>177</sup> According to BDP, however, the additional 69 posts were necessary to implement targeted projects.

Several concerns were raised about the practice of funding additional posts: there was the potential that the GCF-III-funded posts could be used for purposes other than those intended by the GCF-III; the line of accountability of the funded post was blurred between the GCF-III 'project manager' and the BDP 'line manager'; the tying up of the majority of the GCF-III funds in fixed salary costs could limit the flexibility of the programme; and perceptions among some UNDP staff members that the GCF-III was simply used as a staff funding mechanism and as a salary gap-filling measure when other funding sources are not available. There were no clear guidelines established to address the issue of earmarking or the use of the GCF-III core resources.

#### **Cost-effectiveness**

The budgeted cost for policy specialists during 2005 to 2007 was approximately \$177,000 per

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174. UNDP, 'UNDP Global Programme 2006 Annual Report', UNDP BDP, 2007, p. 37.

175. Core funds available for programming over the period 2005-2007 amounted to \$79.56 million, this amount was net of a Strategic Reserve of \$5.14 million. Ibid.

176. The 328 BDP staff administered by UNDP included New York-based General Service and International 100, 200 and 300 series contracts. In addition, there were 23 BDP staff administered by UN Office for Project Services and 6 by Loans, for a grand total of 357 (328 + 23 + 6). BDP, 'Total Staff Count BDP September 30, 2007 (Budget)'.

177. A wide range of additional posts were funded by the GCF-III, most of which were seen to be complementary to the official 75 policy advisor posts. These included the director posts of the thematic centres, policy specialists and specialists in a number of practice areas (including six in the Capacity Development Group), programme assistants, research associates, knowledge network facilitators and SURF deputy chiefs.

year, inclusive of any execution fee. This worked out to approximately \$1,000 per day worked.<sup>178</sup> By comparison, the maximum daily rate allowed for contracting senior level international experts and consultants was \$750 per day.<sup>179</sup> On the one hand, salaried policy specialists were a relatively high input cost to the GCF-III. On the other hand, this cost may have been justified in terms of retaining an internal critical mass of expertise, in the effectiveness of the work performed (although this varies by policy specialist), and in the support they provide to resource mobilization efforts. However, policy advisory services could be redefined and delivered through optional modalities, of which internal salaried policy specialist posts could be one. The experiences of the Panama SURF to seek alternatives plus its emerging Knowledge Management Platform modality were useful examples. To date, no cost-benefit analysis of alternative service delivery models has been developed.

A review of the vacancies of the policy specialist posts revealed that during the 2005 to 2007 period, almost one third (21 of the 75 posts) experienced extended vacancies, ranging from four months (the Decentralized Governance for Development post in Headquarters) to more than three years (Poverty Reductions Strategies Specialist post in the Dakar SURF). The duration of vacancies in these posts averaged more than 13 months. While UNDP staff suggested that some posts were not filled as a result of uncertainties relating to restructuring processes, also within the regional bureaux, the posts were neither backed-up with similar expertise nor were alternative means deployed to

meet demands, thus impeding meeting demands for services and policy support in the associated practices. In only one case was a Special Services Agreement contract resource used to back-fill an extended vacancy in the key Finance, Capital Flows and Debt Relief post at Headquarters.<sup>180</sup>

### 3.3.3 MANAGEMENT OF POLICY SPECIALISTS

With a large proportion of funding being allocated to the policy advisory function, the GCF-III built substantially on the work of its 75 policy specialists. It is important to acknowledge the contributions made by the dedicated, capable and often overworked policy specialists.

#### Managing demand and supply

The demand for policy specialists had a significant impact on their supply, the design of terms of reference for the posts and recruitment. Limited GCF-III resources, especially the limited supply of policy specialists, were spread too thinly and could not meet all of the demands of the country offices. This was recognized in the new core practice backbone, which was part of the regionalization process and the new organizational structure at the RSC level.

The newly proposed Regional Practice Team Leader posts constitute a significant shift from the existing BDP model of direct provision of policy advisory and programme support services, towards one more focused on management. Based on a draft job description of the post (L-5 or L-6 level), the incumbent would be responsible for practice management and coordination, partnership building, policy advocacy and programme development services, policy develop-

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178. According to BDP, the current annual cost per post of \$177,000 may increase to approximately \$225,000 per annum in the next global programme cycle. If only an average of \$200,000/post/year is used, the total cost for the 144 GCF-III-funded posts (i.e. 75 + 69) would increase to \$28.8 million/year, which is more than the total current GCF-III annual allocation.

179. It is recognized by many in UNDP and especially in such regions as RBEC, that the amount is too low to attract senior level international experts and specialists and requires an upward adjustment.

180. There was a considerable budget carry-over from the GCF-II to the GCF-III, due primarily to vacancies in policy specialist posts. The fact that the sub-line for the funding of these posts is not 'fungible', inhibited the flexibility of BDP to deploy policy advisory services through other modalities. The only exception to this was the reported 'monetizing' of four posts in the Panama SURF, and the associated post vacancies were not included in the vacancy data. BDP reported that \$88,000 was allocated to the Panama monetized posts. However, based on an assumed cost of \$177,000/annum/post, the total 'value' of the monetized posts would be more in the order of \$2.1 million over the three-year period. This would require clarification.

ment, quality control and assurance, and knowledge management. This is a large set of responsibilities, and based on field visits, the main focus would likely be on management of coordination functions and not on substantive functions.

The GCF-III is expected to fund seven Regional Practice Leader posts in each region commencing in 2008. However, depending on the demand from the region, there may not be a need to deploy seven per region<sup>181</sup> but to instead group a smaller number of Regional Practice Leaders around major practice areas. These posts would be for each of the four BDP practices, plus one post each for the two cross-cutting practices and one post for a Knowledge Management Specialist. Other policy specialist posts may be funded at the regional level, subject to demand. Unfortunately, this new model would still be primarily supply driven in terms of the equal allocation of the GCF-III funds for the Practice Team Leader in each region, which will probably not be able to reflect the variations in demands across regions. The model for the deployment of Regional Practice Team Leaders and policy specialists should respond more to the demand of the region, rather than be driven by the application of a standard supply model across all regions.

### **Matrix management**

Managerial accountability was a major issue impacting the cost-effective delivery of the GCF-III-funded resources at the regional level. In particular, the existing matrix management of regionally based GCF-III-funded policy specialists was seen to blur accountability. In effect, the BDP GCF-III-funded policy specialists reported to two supervisors: regional

management on operational issues and BDP on substantive issues. Accountability was obscured when partners other than the RSC had direct financial control over some of the resources. The fact that the GCF-III-funded specialist was contracted by BDP could raise questions of loyalty to the RSC or to BDP. If the new Regional Bureau Deputy Regional Director is to be accountable for results at the regional level (including the assurance that global issues are taken into account), then he/she should have the authority and control over resources to deliver those results. This clearer accountability model could reduce corporate overhead, transaction costs and potential for conflicts between the regional bureaux and BDP.<sup>182</sup>

Continuing the matrix management of the new Regional Practice Team Leader posts could add further complexity to the already complicated matrix management arrangement. The Regional Practice Team Leader post was envisioned to have a dual reporting relationship—reporting jointly to the Deputy Regional Director, RSC and to the BDP Practice Director. Further, regional and BDP policy specialists within a practice area would possibly report to the Regional Practice Team Leader. Hence, there could be two layers of matrix management: the Regional Practice Team Leader level, and possibly the regional advisors (reporting to the Regional Practice Team Leader and possibly a regional line post) and the GCF-III-funded policy specialists (unless they report directly to the Regional Practice Team Leader). All of these arrangements will continue to burden RSCs, regional bureaux and BDP with management complexities, obscured accountabilities and high maintenance and transaction costs.

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181. The proposed model would have seven Regional Practice Team Leaders per region: one each for the four main practice areas of BDP, two for the cross-cutting areas (capacity development and gender), and one for knowledge management. It is not known whether an eighth Regional Practice Team Leader would be allocated to a crisis prevention post funded by the Bureau for Crisis Prevention and Recovery.

182. Different models could be applied to ensure full accountability of the delivery of global programme and other funded services at the regional level, ranging from the setting up of a 'basket fund' mechanism for the RSC to a direct transfer of associated resources from BDP to the RSC (for the regionally deployed global programme funded staff). The global programme or BDP 'global' or 'practice' role could be assured through the design of the terms of reference of the engaged specialists or Practice Team Leaders, participation in the RSC 'Board', sign-off on recruitments, and participation in annual RCAs, etc.

### **Managing staff performance expectations**

The 2005-2007 period was one of continuing change in the organization, which had a negative impact on the provision of policy advisory services, performance of policy specialists and consequently the GCF-III. The changes and uncertainties in UNDP's internal and external environment undermined the need for stability and continuity. Worries regarding the professional prospects of staff members in the context of the regionalization process, coupled with extremely high workloads (particularly where there were extended vacancies) further aggravated the situation. This resulted in the loss of some key policy specialists and diminished productivity, motivation and morale.

The recruitment and career tracking of policy specialists has been an ongoing debate in UNDP and BDP. Issues under discussion include recruiting more junior policy specialists (with a view to developing them internally) versus recruiting senior specialists into the posts at the outset. In the survey of policy specialists, 83 percent indicated that they were interested in a long-term career with UNDP and 61 percent were interested in moving out of the policy specialist role.

### **Managing the TTFs**

Other than serving as one of the targets for resource mobilization, the main link between the TTFs and the GCF-III was through work done by the GCF-III-funded policy specialists. At the regional level, policy specialists were called upon by country offices to provide support in the formulation of TTF expressions of interest and project proposals. Demands from all country offices for this support could not be met. At the BDP Headquarters levels, the policy specialists covering specific service lines rated the expressions of interest and recommended approval

or rejection accordingly. While the work of the policy specialists at the regional level was, in most cases reviewed by the evaluation, well regarded and needed, the reviews of the country office expressions of interest carried out by the Headquarter specialists in the same practice could create a conflict of interest. Those countries that do not use the services of a policy specialist may be at a competitive disadvantage when accessing TTF funding.

The process of TTF submission had some adverse effects on the workload and scheduling of policy specialists at the regional level. For example, under the current procedures for the Democratic Governance TTF, all expressions of interest had to be submitted by the end of the fiscal year. This meant that even under optimal conditions, only a few countries could receive support from the policy specialists, who must otherwise divert attention from other priority demands. A semi-annual or quarterly process might result in a more even distribution of workload.<sup>183</sup>

### **3.3.4 MONITORING, REPORTING AND EVALUATION**

In response to recommendations from the GCF-II evaluation, BDP set up an internal Programme Support Unit to support the management, execution and operations of the many GCF-targeted projects. The Programme Support Unit was staffed and funded from a portion of the \$3.7 million in extra-budgetary income generated from the 5 percent fee charged to the directly executed by BDP GCF-III projects. The Unit reported to the Deputy Director of BDP and its mandate included support to project management (e.g. budgeting, reporting and monitoring, financial management, quality assurance); administration; overall planning, analyzing and reporting; and contracting and procurement.<sup>184</sup>

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183. BDP recently carried out an internal evaluation of the Democratic Governance TTF which, at the time of writing, had not been finalized and published. The findings of this evaluation may prove useful in future design of the global programme.

184. In addition to the Programme Support Unit, a Programme Support and Coordination Unit was also set up in BDP. According to BDP, it had a main responsibility for supporting the overall management of the global programme. No reports or documents produced by the Programme Support and Coordination Unit were made available that related to the global programme as a whole, but a work plan for January 2005 to June 2006 shows the Unit responsibility for support to certain components of the GCF (e.g. Knowledge Management, support to SURFs).

A second initiative taken by BDP was to secure an agreement with the Bureau of Management for the setting up of a Human Resources Office to assist in the workload associated with the policy specialist and other funded posts of BDP. This covered such functions as classification and recruitment, general human resources management and support to career planning.

A third step after the Executive Board approval of the GCF-III was BDP's development of operational guidelines that addressed results planning and management (including the Project Appraisal Committees' process discussed earlier); fiduciary management and control; and the management of human resources and communications.<sup>185</sup> BDP issued guidelines in 2007 for the monitoring and evaluation of the global programme, reinforcing the need to follow UNDP prescribed direct execution guidelines and Project Appraisal Committees procedures, plus associated quarterly and annual reporting.<sup>186</sup> In late 2007, a BDP draft functional description outlined the accountabilities and functions of the BDP and its main internal units.<sup>187</sup> These documents set out the main practices to be followed in reporting, monitoring and evaluation. Related obligations were also found in specific project documents and cost-sharing agreements. In all, these documents formed a set of guidelines for monitoring, reporting and evaluation.

Annual reports for the GCF-III were produced for 2005 and 2006, but did not relate to the annual GCF-III level programme or implementation plans as these were not found. Because of this, it was difficult to gauge performance against what

may have been planned. The annual reports were comprehensive and focused primarily on the implementation of select GCF-III-funded projects and the thematic centres (including projects associated with policy advisory services and knowledge management). They also listed numerous issues and lessons associated with the GCF-III implementation on substantive performance of the projects, project design and implementation, financial matters, management and coordination, and partnerships. The reports did not present any financial information on expenditures, resource mobilization or resource use against allocations. The reports were similar to one another, including the list of issues and the summary rating on the progress of the GCF-III that the 'outputs' had generally been achieved. According to BDP, the annual reports were not submitted to a UNDP senior management committee but rather to the BDP Results Management Team.<sup>188</sup>

The practice of regular reporting, monitoring and evaluation was well below the marks set by BDP itself.<sup>189</sup> For example, "Each of the practice groups in BDP has undertaken rigorous annual work planning; the group plans, which include budgets, outputs and delivery dates, will generate comprehensive annual reports. ... A joint mechanism for appraising and monitoring ... projects will be established. These efforts will generate annual implementation plans to facilitate overall accountability and regular monitoring and reporting."<sup>190</sup> With the exception of the Democratic Governance Group, it was not possible to locate or to identify any form of regular GCF-III monitoring and reporting, other

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185. UNDP, 'BDP Internal Memorandum on Operational Procedures and Guidelines', Director, BDP, 8 September 2005.

186. UNDP, 'UNDP Global Programme—2007 Monitoring and Evaluation Mechanism', UNDP BDP, 13 April 2007.

187. At the time of writing, proposals were being developed within BDP to further improve and streamline operations and to strengthen the Programme Support Unit. A draft 'Operations Manual' has been developed.

188. Annual reports were also produced by the three thematic centres. The RSCs also produced annual reports, but the GCF components were not highlighted. Some of the Practice Groups in BDP produced annual reports (the Democratic Governance Group annual report deserves attention), but these were highly variable, and some practices produced no annual reports.

189. For example, in the analysis of sample global projects, evaluations were planned by 12 of the 21 projects. However no project evaluations were carried out.

190. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, paragraph 47, p. 15.

than the annual work plans, implementation plans or reports for the practice groups.

There were summary lists of information on project expenditures and staffing, which was a positive step forward from the practices of the GCF-II. However, there was little in the way of routine reports provided by the Programme Support Unit or Programme Support and Coordination Unit, no quarterly reports on the GCF-III were produced,<sup>191</sup> and the production of annual project reports was sub-standard.<sup>192</sup> Routine reports on the progress of the GCF-III implementation were not done. Basic summary information and statistics on the GCF-III, requested in the context of the evaluation, took a great deal of time to deliver.

It should be noted that monitoring of the GCF-III was not just a Programme Support Unit or Programme Support and Coordination Unit responsibility but was a standard management function applicable to BDP as a whole. While BDP lacked a centralized, comprehensive monitoring system for the GCF-III (including a basic project database permitting substantive monitoring and reporting), the Practice Groups were also negligent in their responsibilities for routine monitoring, reporting and evaluation<sup>193</sup> of the GCF-III components of their activities. Most of the groups had not put in place an

operational monitoring system for their global projects to track progress, establish baselines, develop indicators or measure performance. Also, most groups had not systematically monitored the work of the policy specialists (e.g. in terms of collecting and analyzing back-to-office-reports, or assessing the effectiveness of advisory services). Some groups, particularly the Democratic Governance Group, did prepare annual reports. However, those reports covered the work of the entire practice group and did not specifically report on the contribution of the GCF-III to their work.

BDP neither prepared nor followed an annual evaluation plan.<sup>194</sup> Although a financial audit of the GCF-III was called for in the programme document, no such audit took place.<sup>195</sup> In addition, BDP did not perform regular monitoring and reporting of the GCF-III to the Executive Board, as called for in the programme document. No mid-term evaluation was carried out, since only a final evaluation was set out as a requirement. Project audits and evaluations were a common and mandatory practice at the country office level. As such, the practice of exempting the GCF-III-funded projects managed by BDP from audits and more regular evaluations must be questioned.

Progress made in implementing the Management Response to the GCF-II evaluation was not consis-

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191. According to BDP, although quarterly reporting was established in 2005, these reports were replaced by group bi-monthly reports that were already being prepared to support group progress meetings with the BDP Director. Copies of these reports contained status information on some of the GCF components, such as policy advisor staffing and project status.

192. The Annual Project Reports were to contain information on project progress. Based on the review of a sample of 21 global projects (Annex G), Annual Project Reports were not available for 8 of 21 projects reviewed and, where available, they were poorly done. For example, often the last section of the report was not completed where outcome, output, challenges and lessons learned should be addressed. But even if the Annual Project Report was completed, it should be seen as a subjective statement. In the case of the Capacity Development Group, Assessments of Development Results were prepared routinely for eight of the projects for which documentation was provided.

193. According to BDP, the UNDP corporate system, ATLAS, was to have contained reporting features for the GCF and BDP was prevented by the Bureau of Management from setting up a separate GCF project database to prevent the proliferation of potentially incompatible databases. While this concern is not questioned, some initiative might have been taken by BDP, and flexibility allowed by the Bureau of Management, to permit the setting up of a basic substantive project monitoring and reporting system in BDP that was linked to ATLAS.

194. The UNDP policy states that "Country offices, regional bureaux, and practice and policy bureaux will be required to: (a) prepare an evaluation plan, based on guidelines established by the Evaluation Office, which will include mandatory and other evaluations; and (b) cost this plan, and allocate the requisite funds from appropriate project and programme budgets." UNDP, 'The Evaluation Policy of UNDP', DP/2005/28, 5 May, 2006, paragraph 41, p. 13.

195. According to Office of Audit and Performance Review, audits of the management of the global and regional projects and of the management of the trust funds are planned for 2008.

tently monitored or reported upon. No mention was made of the Management Response in either the 2005 or 2006 GCF-III annual reports.

### 3.3.5 OVERSIGHT AND CONSULTATION

Based on the recommendations of the GCF-II evaluation, oversight and consultation was to be carried out through several mechanisms.

- **The UNDP Executive Team**—This team was intended to serve as an internal advisory body to BDP on the strategic direction of the GCF-III at twice-yearly meetings.<sup>196</sup> A review of the agendas for the UNDP senior management groups for 2006 and 2007 did not reveal any items dealing with the GCF-III. A review of the Executive Team agendas and discussion items for 2005 similarly revealed no mention of the GCF-III subsequent to its approval by the Executive Board. The Executive Team did not appear to play the substantive advisory and oversight role as envisaged. However, different elements of the GCF-III were discussed at a number of Operations Group meetings (such as the policy advisory service model and knowledge management), but no record of a discussion or review of the GCF-III priorities, performance or progress was found.
- **The External Advisory Committee**—This mechanism was to have advised UNDP on the strategic direction of the targeted projects and to regularly review its progress. The Committee, which met only once during the course of the GCF-II, was not active over the period 2005 to 2007.
- **RSC Management/SURF Boards**—These mechanisms were established during the

GCF-II and continued to function throughout the GCF-III. In the case of the Bratislava Regional Centre, membership of the Bratislava Supervisory Board consisted of four Resident Representatives (one each from the four subregional clusters), the RBEC Regional Director and the BDP Director. The constitution varied in other regions. In some cases, all Resident Representatives constituted the Board and Board meetings occurred at Resident Representative meetings. In the cases of RBEC and RBAP, the Boards served a useful advisory/oversight function and contributed to the overall effectiveness of the centres. In the Regional Bureau Arab States (RBAS), the Board was only recently activated and brought some needed direction to the operation. The SURF Board for RBA was inactive for the past two years, and the Board for RBLAC met in 2005 and 2006. The regionalization plans called for the establishment of RSC Advisory Boards, but the precise role of these mechanisms, other than “... to meet periodically to review progress and provide feedback to the RSC on performance and on adjusting to emerging demands” was not clear.<sup>197</sup> As the regional operations of the different UN organizations find common ground through both the ‘Delivering as One’ Initiative and Common Services, there may be a need to examine the relationships and roles of RSC Boards and the Regional Directors’ Teams. Overall, much can be learned from the RBEC and RBAP experiences and adapted to the other regions.

- **Project Appraisal Committees**—All global projects were to benefit from extensive consultation through all stages of development

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196. In 2006, the Executive Team was replaced by the Operations Group chaired by the Associate Administrator.

197. In the case of RBEC, discussions were taking place on the substantive role of the Board. One question was whether the Board was to serve as a venue for the regional centre to report on its activities from the previous year to its principals /stakeholders /clients, or whether it was to chart a common course for the immediate future, or perhaps both. A second question related to its advisory or supervisory nature. Many stakeholders (including many in the regional centre) preferred the supervisory role, in part to set clear, legally mandated priorities and to make it easier to turn down ad hoc, non-strategic requests for support. However, it was also explained that the need for flexibility in the future (reflecting the non-core nature of much of the regional centre’s programming) combined with the informational and managerial challenges posed by presenting past activities in a comprehensive yet user friendly manner, inevitably pushed the regional service centre in the ‘advisory’ direction.

and more formal processes during the pre-Project Appraisal Committee and Project Appraisal Committee review stages.<sup>198</sup> The Project Appraisal Committee, chaired by the BDP Deputy Director, was to consist of the responsible BDP Practice Manager and representatives of other BDP practice areas, other central bureaux, country offices and, at times, external experts. The results of both the pre-Project Appraisal Committee and Project Appraisal Committee reviews were to be documented. This evaluation found no documentary evidence of Pre-Project Appraisal Committee consultations. BDP stated that these processes were internal and, while not documented, review comments were incorporated directly into revisions of the project document. With respect to the Project Appraisal Committee processes, almost 80 percent of global projects had the proper Project Appraisal Committee documentation.

- **Project Steering Committees/Boards**— According to BDP, in 2007 it introduced the practice of establishing project advisory boards for some of its larger projects. However, little evidence of the actual establishment or performance of these committees was provided.

The GCF-III programme document stated that “Individual projects funded under the global programme will be developed in consultation with the SURFs, the regional centres, the regional bureaux, BCPR [Bureau for Crisis Prevention and Recovery] and the Bureau for Resources and Strategic Partnerships.”<sup>199</sup> This

evaluation was not able to determine the degree to which the SURFs and RSCs were consulted, but the impression based on regional visits was that such consultation was minimal.

The GCF-II design contained other mechanisms to enhance overall oversight and accountability. These included the proposal for a corporate-wide ‘Policy Board’, but it appeared that this idea was abandoned. Routine and annual reporting to one or more of the UNDP senior management committees and/or to the Advisory Board would have gone a long way to ensure the proper degree of openness, transparency and accountability in the management of the GCF.<sup>200</sup>



In summary, the challenges associated with the management of the GCF-III and its oversight and accountability could not be attributed to the programming arrangements alone, or to bureaucratic omissions, or to the mixed array of business models, nor were they a problem strictly of inadequate funding to support the development of management and operations capacities. There was little managerial focus since resources were spread across a large and complex BDP organization, mostly in the form of the GCF-funded posts. Without routine monitoring and reporting, or any meaningful indicators for programme performance, the GCF-III results could not be measured by the programme’s managers. It appeared that the management culture in the GCF-III was not sufficiently oriented towards accountability.

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198. UNDP, ‘BDP Internal Memorandum on Operational Procedures and Guidelines’, Director, BDP, 8 September 2005.

199. UNDP, ‘UNDP Global Programme, 2005-2007’, DP/GP/1/Rev.1, 22 April 2005, paragraph 47, p. 15.

200. According to BDP, an extended BDP Results Management Team was set up to consider UNDP wide policy issues with the relevant stakeholders and through an ad hoc Quality Assurance Committee. However, no documentary evidence of these mechanisms was provided in terms of references or minutes.



# DISCUSSION: FACING CHALLENGES

The following issues emerged that were critical to the performance of the GCF-III: engaging with the conceptual underpinning of a global programme, operationalizing the programme strategy, leveraging the practice architecture at all levels of the organization to improve UNDP effectiveness, matching demand and supply, creating and sharing knowledge, enabling South-South solutions, and managing institutional complexities.

### 4.1 SETTING THE PARAMETERS FOR THE 'GLOBAL' IN THE GLOBAL PROGRAMME

The MDGs provided an overarching global framework for the GCF-III. The four practice areas and the two cross-cutting areas were directly relevant to supporting the achievement of the MDGs and other internationally agreed development goals at the country level.

What constituted the 'global' in the global programme<sup>201</sup> has evolved in the past three global programmes. In defining 'global', the GCF-II stated that "the development challenge being addressed must be a shared concern among a significant number of countries in different regions."<sup>202</sup> It had more extensive and restrictive programming criteria: "(i) The development challenge being addressed must be a shared concern among a significant number of countries in different regions; this will ensure the benefit of

cross-regional exchange of experience and good practice while exploiting programmatic economies of scale; (ii) The development challenge may be rooted in current global systems and regimes and thus must be addressed through global advocacy and intermediation; and (iii) UNDP must have a clear comparative advantage as a development organization in the specific intervention."<sup>203</sup>

The GCF-III adopted a more permissive scope for the global development challenges "as [those] identified by multiple developing countries in several regions."<sup>204</sup> Clarity on this concept was essential to identifying the specific niche for the global programme. The GCF-III moved further away from having a focus on well-defined global issues that could not be addressed at the country or regional levels. In practice, the GCF-III dealt with a vast array of issues in the different practice areas and on internal UNDP operations.

Further, there was less emphasis on developing new global insights, providing cutting-edge policy research or contributing to global policy debates.<sup>205</sup> In comparison with the GCF-II, the global advocacy purpose of the GCF-III was downgraded considerably. This may have been the result of a desire not to over-reach. A number of the global projects did deal with global issues in the poverty, governance, energy-environment and HIV/AIDS areas. However, the focus of most of the projects was on supporting country-level (and in some cases regional) interventions.

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201. The same was observed by the GCF-II evaluation, which stated: "The term 'global' needs refinement... not to be simply used as a broad rationalization for any type of programming and funding initiatives." UNDP, 'Evaluation of the Second Global Cooperation Framework', UNDP Evaluation Office, New York, NY, 2004, p. 72.

202. UNDP, 'Second Global Cooperation Framework, 2000-2003', DP/GCF/2, 27 November 2000, paragraph 29.

203. Ibid.

204. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, p. 4.

205. Influencing global agenda is one of the four rationales of the GCF-III. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, p. 6.

This was done through the provision of knowledge products and services that built on globally sourced good practices. However, stakeholders in many case-study countries pointed out that without the accumulated experience and reputation in engaging with issues at the global level, the cost effectiveness and value of policy advisory services at the country level became questionable—particularly when compared with recruiting local or regional experts for the tasks at hand.

Case studies in countries, RSCs and Headquarters revealed a concern that the capacity of BDP and the GCF-III to influence the global policy agenda based on development experience gained at country level had been eroded. The lack of priority accorded to cutting-edge global policy research and advocacy in the GCF-III prioritized contributing to development outcomes at the country level over global policy analysis. Though “informing and influencing the global policy debate” remained an important part of BDP’s vision,<sup>206</sup> the GCF-III was not used as the key modality to turn this vision into reality.

The Resident Representative Survey highlighted that their main interest in the GCF-III was in terms of its support to the country offices. However, 91 percent of the respondents expressed agreement (67 percent ‘strong agreement’) with the view that the next global programme should support “efforts to position UNDP as a global leader in development policy thinking.” In order for this to occur, a new global programme would need a much stronger emphasis on influencing global policy agenda in its design, implementation and resource allocation.



In summary, the move from the GCF-II to GCF-III represented a shift away from prioritizing the global character of the programme. The support to achieving the MDGs remained at the core of the programme, but there was less emphasis on translating country experiences into contributions to global development debates and influencing the global agenda.

## 4.2 OPERATIONALIZING THE GCF-III STRATEGY

### 4.2.1 IMPROVING FOCUS AND APPROACH

The GCF-III faced some of the same issues identified in the evaluation of the GCF-II—namely, the lack of a cohesive framework and the need for more focus.<sup>207</sup> The ambition that the GCF-III would address all 24 service lines in the four main practice areas did not encourage cohesion or focus.<sup>208</sup> While the GCF-III was able to meet some country office needs in a wide range of areas, its limited resources—especially human resources—were spread too thinly, a point that was also made in the GCF-II evaluation.

Under the GCF-III, there was a commendable effort to build some cross-practice work into both design and implementation. There were a number of initiatives, many in the form of global projects, that cut across two of the four main practice areas. In this respect, the GCF-III showed marked improvement over GCF-II. Management sought several ways to encourage cross-practice work. Despite these efforts, the practice areas, and even service lines, tended to work as silos. The most important exceptions were the added emphasis on promoting capacity development and gender as cross-cutting areas. This was a step in the right direction.

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206. BDP’s internal website: <http://content.undp.org/go/bdp/intra/?src=bdp>.

207. Specifically, the GCF-II evaluation recommended the following: “Under GCF-III, UNDP should continue to narrow the focus on one or two practice areas plus a complementary but small set of secondary practices, thematic and cross-cutting areas.” UNDP, ‘Evaluation of the Second Global Cooperation Framework’, UNDP Evaluation Office, New York, NY, 2004, p. 72.

208. BDP’s Annual Report (2006) on the Global Programme recognized the problem: “Regarding the practice architecture, there is some feedback that it should be reviewed and updated as UNDP has changed greatly since March 2002 when the Practice concept was first launched.” UNDP, ‘UNDP Global Programme 2006 Annual Report’, UNDP BDP, 2007, p. 32.

Not all mainstreaming efforts were successful. Integrating development dimensions of HIV/AIDS into other practice areas needed further attention, particularly with regard to ensuring adequate levels of in-house capacity and developing new methodologies, tools and knowledge platforms and adapting them to regional and cultural contexts. The UNDP gender mainstreaming experience during 2006-2007 offered valuable insight for the new global programme to address these issues in full collaboration with all internal stakeholders.

As a framework, the GCF-III had considerable flexibility built into its design and there was little evidence of a broader programmatic approach in the GCF-III. In implementing the GCF-III, little effort was made to monitor outcomes and use evaluative evidence to manage for results. The GCF-III was extended to cover a period of four years, but no provision was made for a mid-term review. There were insufficient efforts to take stock formally at the mid-term in order to adjust the programme based on experience and in the light of a rapidly changing environment within UNDP and the developing world.

#### 4.2.2 FORGING PARTNERSHIPS

The GCF-III's emphasis on partnerships was consistent with the MYFF 2004-2007, which considered 'forging partnerships for results' one of the six drivers of development effectiveness on which UNDP reported annually to the Executive Board. The GCF-III developed partnerships that were relevant to the main practice areas of UNDP, consistent with UNDP policy orientations and important for constituency building. In this respect, the GCF-III demonstrated progress when compared with the GCF-II.

However, effectiveness of partnerships was questioned by the results of the Resident Representative Survey. A majority (58 percent) of respondents felt that only 'to a small extent' was access to the global knowledge base expanded by the GCF-III-supported strategic partnerships. This view was consistent with the observation that the GCF-III strategies were determined globally, without adequate consultation with country offices,

and seemed to respond more to corporate needs (in particular resource-mobilization needs) than to partnerships that 'identify policy options' for countries. This survey result was also consistent with the finding that the ever-expanding number of UNDP partners was not always accompanied by clarity on the value added by these partnerships.

Case studies also pointed out that the decisions to partner with specific institutions should have taken into account criteria such as neutrality and impartiality, especially when the partnership applied to politically sensitive areas in which UNDP credibility was its main asset. While some partners had an international reputation that might have been an asset for the UNDP global agenda, their political identity and image at the regional or country level might have been detrimental to UNDP relations with national partners. Developing partnerships with a larger number of recognized Southern-based institutions would have balanced the impression that partnerships were still overwhelmingly with Northern-based and global organizations.

With the changing international cooperation environment, partnerships were influenced by global dynamics such as the new frameworks and mechanisms for development cooperation and assistance, as well as by the UN system's own reform process. While aid modalities were essentially the concern of country offices, UNDP engagement in processes such as the Joint Assistance Strategies inevitably influenced its relations with other UN organizations, the donor community, and national authorities and may have affected UNDP's traditional role of 'honest broker'. The GCF-III had a useful role to play in harnessing lessons in this respect and providing guidance and support to country offices.



In summary, the operationalization of the GCF-III had some of the same weaknesses identified in the evaluation of the GCF-II. The mechanical distribution of resources across 24 service lines in the four main practice areas spread resources

thinly and led to a continuation of a silo approach. This was somewhat mitigated by the increased emphasis on cross-practice work and the cross-cutting areas of gender and capacity development mainstreaming. The partnership approach improved but lacked a clear strategy. Learning processes were inhibited by the absence of a functional monitoring and evaluation system.

### 4.3 LEVERAGING THE PRACTICE ARCHITECTURE

Since the mid 1990s, UNDP has embarked upon a series of corporate processes to sharpen the organization's thematic focus. This was aided by the universal consensus on the Millennium Declaration and the adoption of MDGs in 2000. To this end, the second MYFF 2004-2007 identified five practice areas as the thematic focus for UNDP: achieving the MDGs and reducing human poverty; fostering democratic governance; managing energy and environment for sustainable development; responding to HIV/AIDS; and supporting crisis prevention and recovery.<sup>209</sup>

Vertical policy alignment (alignment of all units with corporate priorities) was one component of the GCF-III rationale. The GCF-III was expected to leverage the practice architecture at all levels of programming (global, regional and country) to strengthen UNDP support to countries in these practice areas.

Within each practice area, significant contributions were found when all available assets and resources were used with this purpose in mind and when well-defined corporate policy frameworks included 'feedback loops' such as comprehensive reviews of country experiences and assessments of country-level demand for services were used; global projects were geared to the generation of knowledge products that distill UNDP global practice and

convincingly argued for new policy orientations; and good complementarity existed between the roles and support services of Headquarters and region-based policy specialists.<sup>210</sup>

The TTFs also fulfilled a useful alignment function by providing incentives for innovation in the main practice areas based on guidelines that ensured a high degree of coherence among the projects that were formulated by country offices (thanks to the strong supporting role of the regionally based policy specialists).

UNDP staff had wide-ranging opinions on the role of the GCF-III in ensuring policy alignment. The vast majority emphasized the fundamental importance of policy alignment, yet saw the GCF-III as a necessary but insufficient condition to reach that goal. They pointed to several weaknesses and obstacles:

- The GCF-III was neither mandated nor equipped to ensure that corporate requirements were reflected in country programmes. Accountability to ensure substantive programmatic focus along the MYFF goals (and thereby ensure coherence between country-level activities and corporate priorities) lay with the Resident Representative/Resident Coordinator. The policy specialists were not empowered to assess or address the coherence of country office activities in the various practice areas. In fact, the emphasis given to the responsibility of policy specialists to respond to country-level demand practically eliminated the possibility of substantive oversight. That responsibility rested with the regional bureaux directors and senior management.
- There was uneven progress in the recent regionalization processes. Progress on vertical alignment hinged on the RSCs, since they increasingly provided the interface between

209. The first four became the practice areas under the GCF-III and the fifth one under the Bureau for Crisis Prevention and Recovery.

210. E.g. the Electoral Support and Anti-corruption sub-practices in the Democratic Governance Group, the Trade sub-practice in the Poverty Group, the Poverty-Environment Initiative in the Environment and Energy Group, and the HIV/AIDS, Human Rights and Gender focus area in the HIV/AIDS Group.

the global and country levels. However, the roll-out of the RSC model was still incomplete, which limited the analysis of their contribution to vertical alignment. Management models adopted by the Bratislava RSC and, to some extent, Bangkok RSC, Colombo RSC and the Pacific Centre, held the greatest promise in this respect. They used a more holistic approach to respond to country-level demand and favoured the formation of ‘integrated teams’ of advisors that operated as UNDP groups and no longer identified themselves on the basis of their source of financing (global or regional).

- There was continued lack of knowledge and clarity about the GCF-III role and objectives outside BDP. The majority of respondents to the Resident Representative Survey felt that the relevance of the GCF-III to country offices oscillated between ‘to some extent’ and ‘to a small extent’, and that, ‘to a great extent’ the GCF-III was not achieving its objectives.<sup>211</sup> There was a perception in the country offices that BDP was excessively absorbed by Headquarters-level processes, lacking in capacity to capture regional and country-level specificities and trends in the evolution of demand for services.
- Inadequate attention was paid to the evolution of demands at the country level. The majority opinion was that, where policy alignment existed, it was essentially the result of top-down decision-making processes with marginal involvement of country offices.
- There was a decline in the explicit focus on producing cutting-edge knowledge products on global issues. This resulted in country offices being left with limited resources for analytical or policy guidance.
- The global projects were seldom designed in consultation with country offices and only sporadically engaged country offices for

implementation. Therefore, they were not seen as a conduit to policy development or as a means to ensure policy alignment.

- The varying demand for, and quality of, policy specialist expertise posed constraints on their ability to play a significant role as facilitators of policy alignment.

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In summary, the GCF-III was expected to leverage the practice architecture to strengthen UNDP support to countries. Within each practice area, there were significant contributions to this end when resources were dedicated to this purpose and efforts were guided by policy frameworks based on assessment of demand for services and feedback on country experiences. Successes were achieved also when global projects were geared towards the generation of knowledge products that distilled UNDP global experience to argue for new policy orientation. A number of factors adversely affected vertical alignment. Some of these factors were linked to broader UNDP institutional arrangements and were beyond the control of BDP, such as the lack of mandate for the GCF-III to ensure that corporate requirements were reflected in country programmes, while others were internal to the GCF-III, such as inadequate attention to the evolving demands at country level and varying quality of expertise of policy specialists. The GCF-III would have benefited from systematic monitoring of performance and lessons learned.

#### **4.4 MATCHING DEMAND AND SUPPLY**

In a global programme—where resources are mainly at Headquarters or the regional level and development outcomes are at the country level—matching supply and demand was critical. The policy advisory services, the global projects and the knowledge networks and products embodied

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211. Annex F, Resident Representative Survey.

the supply. This supply should have been matched only to demands that fell within UNDP corporate priorities and were consistent with BDP's comparative advantage.

Identifying 'demand' was very complex. It was not always possible for policy specialists under the GCF-III to meet all demands emanating from country offices or programme countries. Moreover, in practice, when there was limited capacity or knowledge, there was a need to 'create demand' by making potential services under GCF-III visible. However, there was no evidence of a system to map the use of knowledge products and assess their effectiveness.

A majority of country offices did not feel that the GCF-III supply matched the demand at country level very well. This was due to several contributing factors.

- UNDP was generally perceived as a good partner at the country level—its programme was well aligned with national agendas and was sensitive to national priorities and systems. However, not all the GCF-III activities were directly linked to the development demands of programme countries. For instance, the targeted projects were not always based on a systematic assessment of national demand, even though they were relevant to national priorities. Out of a sample of 20 global projects, 11 were ranked low on national ownership, 4 were ranked medium and 5 were ranked high.<sup>212</sup> This was reflected in the annual report on results achieved under MYFF in the year 2006, which reported that national ownership received inadequate attention across all practice areas in 46 percent of country offices and all Headquarters units.
- The GCF-III was designed as a 'standard package' in which financial and human resources were distributed across practice

areas, service lines and RSC/SURFs without much consideration for variations in demand.

- The GCF-III programme document did not have a contextual analysis. Such an analysis would have paved the way for a better match between supply and demand. However, there were cases where the programme was implemented differently in different regions, taking into account the variations in their development contexts (such as Least Developed Countries or Landlocked Developing Countries), for instance, the work on trade issues in landlocked countries and macroeconomic policy in transition economies. Overall, the omission of contextual analysis in design and operationalization weakened the implementation of the GCF-III.

It was a matter of concern that 60 percent of respondents to the Resident Representative Survey questioned the usefulness of the GCF-III. Only 6 percent felt that the GCF-III supported their country in achieving the MDGs 'to a great extent', while 33 percent felt that it did 'to some extent', 48 percent 'to a small extent' and 12 percent felt it 'did not support at all'. In the case-study countries, staff confirmed that the GCF-III was not always seen as relevant or effective. Many had difficulties recognizing the programme and in most country offices there was little knowledge about the global projects. However the policy specialists (both in New York and at RSCs/SURFs) and knowledge networks were more readily recognized and appreciated.

Recently, BDP undertook a number of initiatives to better meet demands from country offices. These included identifying posts for RSCs based on an assessment of demand from country offices; systematically tracking requests; systematizing work with communities of practice; and instituting a new quality assurance process for global and regional products and publications.

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212. This contrasted with 'capacity development' which ranked 'high' in 14 of the projects. See also Annex G for the project analysis.

In summary, the GCF-III did not make an appropriate match between demand and supply. Viewed from the country level, the global projects and many knowledge products did not appear to be demand driven. The work of the policy specialists was more demand driven, but they sometimes had to ‘create’ demand for their services. Generally, a stronger contextual analysis could have paved the way for a better match between demand and supply.

#### 4.5 CREATING AND SHARING KNOWLEDGE

UNDP was one of the first UN organizations to acknowledge the centrality of knowledge in fulfilling its mandate. It became one of the most active among the many multilateral and bilateral agencies in the field and was part of a second wave of focus on knowledge management. The number of knowledge sharing partnerships with UN organizations grew from zero to 15 since 2003, and UNDP’s model of knowledge networks was being considered for piloting in several other UN organizations such as the UN Department of Peacekeeping Operations, Food and Agriculture Organization, World Food Programme and the World Health Organization.

Since its introduction in 1997, the global programme was UNDP’s primary vehicle for the coordination and promotion of knowledge management.<sup>213</sup> The global frameworks were designed to help give coherence and direction to the substantive work of UNDP, especially during ongoing processes of decentralization and regionalization when strong vertical linkages and knowledge flows were needed to support organizational cohesion and effectiveness.

The GCF-III was essential to UNDP efforts to be a knowledge organization. UNDP was particularly well known within the UN system for its Human Development Reports and its pioneering models of global knowledge networks and communities of practice that aimed to connect people to expertise. However, at the country level, few were aware of the GCF-III knowledge products and projects to which they were end-users.

In the design of the GCF-III, key aspects needed to provide knowledge to developing countries’ policy agendas were well thought through. The GCF-III promoted ‘collecting’ (creating and codifying) and ‘connecting’ (sharing and learning) knowledge management strategies, and its three objectives all addressed the need for UNDP to be effective in both. This, however, required UNDP to field enough staff members with the appropriate expertise to advise country offices and national counterparts in priority areas, and/or who were skilled in creating, mobilizing, interpreting and sharing relevant knowledge across the organization and in service of programme countries. The GCF-III neither made available such a large, critical mass of staff in support of these function, nor did UNDP explicitly seek to integrate or mainstream such a function across the organization.

Another strength in the design of the GCF-III, which was not clearly reflected in the results framework, was that it linked the three key modalities of delivery—policy advisory services, targeted projects and knowledge management—and ensured that they were mutually reinforcing towards achievement of the GCF-III objectives.<sup>214</sup>

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213. The strong focus on knowledge was already articulated in GCF-I: “To distil from country-level experience lessons learned and identify new, innovative ideas ... to disseminate this knowledge globally and promote further research, debate and application as appropriate; to explore ways and means of translating global priorities into country-level follow-up action ...; and to encourage studies on concrete, practical policy measures ... to the emerging challenges of the twenty-first century. These purposes can only be achieved through a process of capturing the knowledge and experience of a diverse range of countries and regions and formulating them into tools and concepts with global application.” UNDP, ‘First Global Country Cooperation Framework, 1997-2000’, DP/GCF/1/Rev.1, 13 August 1997.

214. Analysis of the envisaged outcomes of the GCF-III showed that three of the four were focused on providing national stakeholders with appropriate and needed knowledge, using the established practice architecture and global projects as means to the end. Due to the nature of global projects (not country-specific) they were likely to support the production of useful knowledge rather than contribute direct assistance to national stakeholders. The focus on knowledge production was indeed reflected in the design and implementation of the projects.

The GCF-III design was to provide both the architecture (the practice and knowledge management experts) and the opportunities (to identify, create, codify and share knowledge) to move towards the common goal of strengthening national and country office capacities. This integrated approach was well articulated in the programme document<sup>215</sup> and provided a convincing argument for the management of the three components within one framework.

However, the knowledge management component of the GCF-III could not provide an integrating framework for the work of the other two components as intended, since it failed to fully capture experiences emanating from activities undertaken by UNDP programmes that were outside the GCF-III or BDP.<sup>216</sup>

Establishing an effective framework required close collaboration with regional bureaux and country offices. Organizational systems and implementation processes therefore needed to promote such collaboration effectively if the programme objectives were to be achieved.

Two inter-related shifts during the evolution from the GCF-I to the GCF-III had significant implications: an increased focus on being demand-driven to ensure national ownership of development efforts, and a decrease in the focus on cutting-edge work on the production and distribution of public goods.<sup>217</sup> If the GCF-III design emphasized meeting national requests at the expense of being at the cutting edge of development work that could help countries, it would affect UNDP's comparative advantage and niche within and beyond the UN system. It would also affect how it structured its in-house

expertise, activities and incentives systems. This emerging dichotomy would have to be addressed in the design of a new global programme.



In summary, the global programmes played an essential role in UNDP becoming a knowledge-networked organization. An enabling environment was necessary to expand the early successes of knowledge networks and other knowledge products. More collaborative efforts were needed across UNDP to ensure that country experiences were fully reflected in the knowledge products. Efforts to integrate the three GCF-III modalities of delivery (policy advisory services, targeted projects and knowledge sharing) were not always successful in the operationalization and implementation of the GCF-III.

#### 4.6 ENABLING SOUTH-SOUTH SOLUTIONS

The GCF-III programme document planned to respond to programme countries' request for South-based development solutions in two ways: through an increase in opportunities for SSC and Southern partnerships; and through collaboration with the Special Unit for SSC.<sup>218</sup> The GCF-III document also identified enabling "developing countries to benefit from interregional knowledge exchange and South-based experiences" as one of its three objectives.<sup>219</sup>

Since the 1970s, SSC was a priority for UNDP and was pursued through global, regional and country programmes. However, the promotion of Southern solutions to development challenges introduced additional dimensions to the classic

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215. This approach underpinned the whole document, but was articulated in particular in Section VI, paragraph 18. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005.

216. For example, the statement: "The outcomes of the project (Knowledge Services Project 11408) have taken the form of a number of inter-related outputs..." UNDP, 'UNDP Global Programme 2006 Annual Report', UNDP BDP, 2007. The GCF-III reporting is project not programme-based and Project 11408 is the strategy for operationalizing the knowledge management component.

217. UNDP, 'Second Global Cooperation Framework, 2000-2003', DP/GCF/2, 27 November 2000.

218. UNDP, 'UNDP Global Programme, 2005-2007', DP/GP/1/Rev.1, 22 April 2005, paragraph 8(c).

219. Ibid, paragraph 14(c).

definition of SSC, which was based on country-driven and country-owned exchanges of experiences, skills and resources.

The economic transformation of many developing countries, the growing stature of a number of countries as regional centres, and the emergence of non-Development Assistance Committee donors generated new dynamics for SSC and a reshaping of international cooperation. The traditional distinction between donor and recipient has become increasingly blurred, each being both a provider of support and a user of resources from other developing countries.

The GCF-III was expected to bring its own contribution to these dynamics and make the most of the growth of SSC to respond to the changing needs of programme countries. This would complement the activities of the Special Unit for SSC, which is housed by UNDP.

While the GCF-III generated and assisted many activities that included an SSC component, it provided neither a framework nor guidance that could bring together the global SSC experience. Thus the diverse efforts under the GCF-III to support SSC may not lead to a global outcome of promoting SSC. A recent evaluation of UNDP contribution to SSC noted that “the results of [UNDP initiatives are] affected by the absence of a corporate strategy that commits capacity and resources and enables learning from experience.”<sup>220</sup> This evaluation concurs with that finding.

However, numerous examples illustrated how the GCF-III promoted Southern solutions through interregional transfer of knowledge, including:

- The International Poverty Centre’s research programme on conditional cash transfers analyzed the experience of major Latin American countries with a view to sharing lessons learned and policy guidance with

Sub-Saharan African countries through a network of experts and government officials.

- The Democratic Governance Group’s support to electoral assistance was based on lessons learned from a range of country experiences that were converted into case studies and shared with electoral institutions around the world in order to promote a transition from the traditional focus on ‘getting ready’ for election day to a focus on managing entire electoral cycles.
- The support provided by the Beirut SURF to the organizers of the first African conference on Human Development was an opportunity to promote innovative poverty measurement methodologies that were used successfully in several Arab countries.
- The knowledge fairs organized by the Panama SURF on local governance and the environment enabled Latin American authorities to share lessons from successful innovations and to offer methodological assistance on their possible replication or adaptation.
- Interregional knowledge transfer was facilitated by communities of practice and knowledge networks that reached out to national actors, as well as by the involvement of Southern experts in policy advice and technical assistance activities.

Many UNDP staff conceded that their use of SSC was more ‘casual’ than ‘structural’ and that more could be done to systematize the knowledge and convert it into a global public good. In many cases, they saw SSC as a succession of ‘one-off’ events or processes with little follow up, as opposed to being an integral part of policy and programme. Obstacles mentioned included the following: an insufficient understanding of what SSC meant or the extent to which SSC added value to UNDP work; the lack of time and resources for knowledge management; the

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220. UNDP, ‘Evaluation of UNDP Contribution to South-South Cooperation’, UNDP Evaluation Office, New York, NY, 2007, p. i.

ongoing pressure of responding to individual country requests and resulting difficulties of ‘contextualizing’ through comparisons and cooperation with other countries; the frequent absence of explicit SSC components in country-level programmes and initiatives that policy specialists were called upon to assist; lack of accountability for SSC in UNDP; and the absence of resources to translate materials into other languages.

There was also potential for duplication between the GCF-III knowledge management mandate and the related information sharing mandate of the Special Unit for SSC. For example, funding for the SSC programme was provided in part “... to finance the sharing of successful South-South experiences, expertise and knowledge, with the objective of making them an integral part of country, regional and interregional programmes.”<sup>221</sup>

Only a few instances of collaboration were found between the GCF-III-funded staff and activities and the Special Unit for SSC. There was no collaborative framework between BDP and the Special Unit for SSC. The Special Unit did not have a policy that defined the nature and extent of the services that country offices were expected to receive from it, nor did it participate regularly in practice-related policy advice and advocacy activities other than its own. Much could be done to address the emerging strategic features of SSC by combining the Special Unit for SSC global approach and the GCF-III practical involvement including involving new actors and donors; establishing partnerships between Southern countries;<sup>222</sup> creating new practices such as East-East cooperation; addressing the role of middle-income countries as providers of development solutions; and providing on-the-ground promotion of SSC in the main practice areas.

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In summary, the GCF-III had a vast but under-realized potential for promoting Southern solutions to development challenges. Collaboration between the GCF-III and the Special Unit for SSC was not used or made explicit through policy and programme guidance.<sup>223</sup> A parallel between SSC and capacity development could be drawn in that, in the UNDP institutional culture, both were historically everybody’s business. Like capacity development, SSC was an important factor in the quest for stronger medium and long-term sustainability of development results. However, much remains to be done to mainstream SSC in the global programme.

## **4.7 MANAGING INSTITUTIONAL COMPLEXITIES OF THE GCF-III**

To address key challenges related to the management of the GCF-III, BDP launched a number of internal change management and re-alignment initiatives. The changes were intended to reconfigure BDP with improved service delivery, enhanced operations and strengthened management. While this was a positive step—and may respond to many of the issues raised in this evaluation—a better understanding of the underlying institutional complexities associated with the management of the GCF-III may lead to a better design, better management and more cost-effective delivery of measurable results. Some of these complexities are discussed below.

### **4.7.1 UNDP PROGRAMMING ARRANGEMENTS**

The GCF-III core resources were allocated as a single line item in the financial framework of UNDP’s programming arrangements. A number of internal reviews of the programming arrangements pointed to the need for major changes to increase the flexibility and accountability in the use of core resources. The assignment of

221. UNDP, ‘Proposals on Programming Arrangements for the Period 2008-2011’, DP/2007/44, 3 August 2007, paragraph 36.

222. For example, IBSA, a trilateral, developmental initiative that brings together India, Brazil and South Africa.

223. While finalizing its report, BDP informed that, following the evaluation of UNDP contribution to SSC, it was taking the lead in developing a corporate approach and strategy to SSC in collaboration with the Special Unit.

responsibility for the global programme to BDP could engender a sense of entitlement: that is, the feeling that the GCF-III and its core funds belonged to BDP.

To address this issue, UNDP developed an internal proposal in 2007 for the inclusion of a ‘development effectiveness’ line in the programming arrangements for 2008-2011. The purpose of the proposal was to consolidate all policy advisory and programme support posts within UNDP under one resource allocation. This would have included policy specialist posts in BDP as well as similar posts in the regional programmes, central bureaux and some country offices. Based on this proposal, the decision to fund such posts from core programme resources would be open, transparent and would remove the potential for duplication across bureaux and country offices. The proposal was not submitted to the Executive Board in view of UNDP’s preoccupation with other major developments, such as preparation of the Strategic Plan, and time constraints. However, there may be an opportunity to revisit the proposal for a development effectiveness line, which would help resolve UNDP funding of policy advisory and programme support functions from all sources of core funding,<sup>224</sup> including the global programme.

#### 4.7.2 COMPLEX BDP BUSINESS MODEL

BDP is a complex organization, consisting of 16 separate business models, with a staff of 192 at Headquarters and 136 who are decentralized. These business models include the different practice groups, central bureaux structures, and units managing different funds, such as the GEF, Montreal Protocol and MDG Units. If the global programme continues with its present design of dispersing resources (staff posts and projects) across the numerous units at Headquarters and at the field level, planning for and determining

which results and outcomes are attributable to the global programme and which are attributable to other BDP inputs will continue to be a major challenge. Any meaningful performance measurement and accountability will be diluted or lost.

#### 4.7.3 THE GCF-III AND THE MULTIPLE ROLES OF BDP

The management of the GCF-III was adversely affected by the multiple, and possibly conflicting, roles of BDP (roles that were funded by the GCF-III). Many country office staff had the perception that BDP was a distant think tank absorbed by Headquarter-level processes, removed from realities at the country level and caught in the tensions between different roles. The multiple roles and processes include:

- Policy and ‘think tank’—The GCF-III, as the UNDP global programme par excellence, did not support a cohesive UNDP policy development, applied research and development or coordination function. Further, the GCF-III did not support BDP to be “...the leading voice for UNDP in the development policy debate.”<sup>225</sup>
- Service delivery—BDP was heavily involved in the implementation of policy through the roll-out of the practice architecture, the delivery of policy advisory services and programme support to the country offices, and the management of knowledge networks. There were some benefits in a Headquarters unit such as BDP becoming involved in delivery at the local level (such as having feedback on factoring local experiences into global policy). However, the balance between policy work and service delivery was not always carefully managed to ensure synergy rather than conflict between operational units and the policy bureaux.

224. The team was informed that UNDP (Bureau of Management) is commencing a phased review of cost allocation, the end result of which may be proposals for major changes to the programming arrangements in the next cycle. The purpose of this review is to examine how posts in UNDP are classified and funded (programme, programme support and management).

225. UNDP, ‘BDP Alignment Process: Implementing the Strategic Plan and Accelerating Human Development,’ UNDP BDP, 30 January 2008, p.4 .

- Operations—BDP managed many funds and implemented hundreds of global projects, of which 121 were funded with the GCF-III funds. In the past, projects were executed and implemented by the UN Office for Project Services and other agencies. For global projects, BDP had become in some respects an operations agency, where project operation issues cut into the time of professional staff, including the GCF-III-funded policy specialists.



In summary, the management of the GCF-III faced a number of challenges: the programming arrangements assigned resources and responsibility to a single authority (BDP) while the performance of the GCF-III was dependent on number of units, particularly, the regional bureaux and country offices; the management involved a complex array of business models associated with different units within BDP; and the multiple and, at times conflicting, managerial roles required under the GCF-III (such as those related to policy advisory services, service delivery and operations).

## Chapter 5

# CONCLUSIONS AND RECOMMENDATIONS

This evaluation illustrates the complexity of the GCF-III, which was intended to play a critical role within UNDP in supporting programme countries. The GCF-III sought to provide support within the guiding framework of the second MYFF 2004-2007, using a range of interconnected implementation modalities. The GCF-III was able to deliver a wide range of products and services, particularly within UNDP's supporting regional and country programme architecture, as well as at the programme country level. However, demonstrating that these products and services resulted in concrete development results at the programme country level is difficult. The GCF-III faced considerable programmatic, systemic and managerial challenges in achieving its intended outcomes.

This chapter identifies a range of factors that influenced the GCF-III's performance. UNDP addressed some of the factors that adversely affected the performance of the GCF-III through a number of initiatives taken over the past year-and-a-half, but much remains to be done. The recommendations identify critical areas where changes are needed and, where possible, direction for such changes.

### 5.1 CONCLUSIONS

The global programme has an important role to play in the context of the broader programming landscape of UNDP. The GCF-III registered some successes, but was unable to translate them into a systematic programme of a global nature for a range of systemic, design and management-related reasons. There was a lack of clarity regarding its 'global' role, its 'cooperation' agenda and modalities, and the scope and purpose of its programmatic 'framework'.

#### **1. The GCF-III fell short in its strategic mission to underpin and integrate the practice architecture of UNDP.**

In particular:

- (a) The GCF-III was placed at the centre of the practice architecture to provide coordination, guidance and knowledge services to country programmes on practice-related issues. Considerable intellectual capital was made available through the network of policy specialists and other experts, and some useful work was conducted. However, the full scope of these mandated functions could not be addressed effectively in all programme countries due to limited core resources and inadequate institutional support mechanisms.
- (b) The central role of the global programme in the practice architecture of UNDP and in strengthening support to countries in each of these practice areas was not fully recognized by most UNDP units. In most cases, the framework was not seen as a programme through which new ideas and innovative approaches emanating from country experiences were infused into the entire UNDP system.

#### **2. The effectiveness of the GCF-III in meeting demand was constrained by weak strategic choices regarding focus areas, implementation modalities, allocation of resources and partnerships.**

In particular:

- (a) The contribution of the GCF-III to the achievement of development results could have been significantly strengthened by focusing on areas of high demand, in which it also had a clear comparative advantage. The service lines of the MYFF 2005-2007 were taken as the programmatic determinant. This resulted

in insufficient attention being paid to areas where the programme could have made a major contribution, while continuing to fund areas where the programme could not add as much value.

- (b) Emphasis on developing generic approaches rather than contextualizing products and services in order to address specificities of sub-regions or country types limited the appropriateness of the work. Partnerships, with a few notable exceptions, were more opportunistic than strategic, and did not fully exploit the comparative advantages of partners or build new development opportunities for programme countries.
- (c) By virtue of its global mandate, and in line with the guiding principles of the MYFF, the GCF-III was in a strong position to develop cross-practice approaches to address complex development challenges for application by country and regional programmes. It was also well placed to provide guidance on mainstreaming approaches in the areas of gender, capacity development and other issues, such as HIV/AIDS. The GCF-III could have enhanced its relevance by focusing more systematically on cross-practice and mainstreaming approaches.

### **3. The GCF-III contributed to UNDP becoming a more globally-networked knowledge organization.**

In particular:

- (a) The support of the GCF-III to knowledge networking was an effective means to support practice and cross-practice work. In general, the practice networks, websites and other instruments to share knowledge were appreciated by internal stakeholders. However, the effectiveness of the sharing and exchange of knowledge was constrained by an ad-hoc approach to codification, most practice networks being closed to external partners, and the uneven quality of the knowledge products. Such ad hoc approaches also prevented the GCF-III from engaging in SSC in a systematic way. Early successes

achieved through the networks were not optimized through systematic codification and technical improvements.

- (b) While the GCF-III made considerable efforts to enhance knowledge management and some successes were achieved in strengthening UNDP as a globally-networked knowledge organization, the absence of a corporate strategy meant it could not achieve its full potential in knowledge management.

### **4. Weak management and lack of corporate oversight limited the effectiveness of the GCF-III.**

In particular:

- (a) The GCF-III would have benefited significantly from a consistent application of results-based management principles and techniques. By neglecting standard UNDP planning, monitoring, reporting and evaluation practices, decision makers were deprived of clear programmatic targets and the opportunity to regularly assess the contribution of the programme to the achievement of development results. Management could not use evaluative evidence to strengthen the quality of the programme's products, services and approaches or make strategic decisions regarding the future direction of the programme.
- (b) There was little evidence of a clear understanding between BDP and the regional bureaux on their respective roles and responsibilities in their collaborative efforts, especially in the RSCs and SURFs. The matrix management system through which BDP-funded policy specialists were managed was not generally effective in supporting the alignment of the practice architecture. The tensions that arose from mixed funding mechanisms and multiple lines of accountability weakened the potential effectiveness of the framework. These tensions will have to be addressed in the regionalization strategy.
- (c) In the absence of an internal UNDP oversight mechanism, UNDP was unable to harness the full potential of the framework

for the benefit of the organization. Moreover, without an external consultative process with development partners, the responsiveness and relevance of the GCF-III to emerging priorities of programme countries was uneven.

**5. Although the GCF-III has not fulfilled its global role, there is a need for a global programme in UNDP.**

In particular:

- (a) The GCF-III has supported some successful initiatives to strengthen support to programme countries drawing from the global experience of UNDP, and at the country level there is significant demand for the type of services provided by the programme. However, these successes were not translated into a systematic effort of a global nature and the framework was unable to go beyond compiling country experiences to use this accumulated knowledge to contribute to global development debates and approaches on any significant scale.
- (b) There are development issues that cannot be addressed solely at the country or regional levels, for which UNDP needs a global programme. Given its universal presence, UNDP has the potential to contribute to global development debates and approaches drawing from its development experience at the country, regional and global levels. In turn, UNDP can benefit all programme countries by drawing from this global experience and developing innovative development policy approaches as well as facilitating SSC. In this regard, the GCF-III has not realized its full potential.

**5.2 RECOMMENDATIONS**

This evaluation recommends that UNDP should design a new global programme that embodies a clear departure from the previous global cooperation frameworks. The new global programme should be based on demand from programme countries, be fully integrated within UNDP, and add value as a 'global' programme. It should address 'global' issues and leverage all

UNDP entities with a view to generating, codifying and applying 'global' knowledge. The following detailed recommendations aim to support UNDP in developing such a new global programme. They are intended to be mutually reinforcing and should be treated as a whole.

**1. The new global programme should clearly set out its global role, development goals, a strategic focus and a corresponding results and accountability framework based on the following considerations:**

- (a) A clear rationale and the specification of clear criteria to distinguish global programme initiatives from those that can be addressed at the regional and country level.
- (b) A programme approach, which should replace the current framework approach. It should have unambiguous goals, a clear substantive focus and a detailed results framework that covers all dimensions of the programme.
- (c) A clear definition of its global contribution and its contribution to programme countries, through the regional and country programme architecture of UNDP.
- (d) Alignment with the UNDP strategic plan. It should continue to work within and across the three main focus areas identified therein, namely poverty reduction, democratic governance and environment. Within each of these focus areas, work should be concentrated on a limited number of key result areas selected on the basis of past performance and comparative advantage. The approach in the GCF-III of carrying out activities in all service lines should be discontinued.
- (e) A concentration on mainstreaming approaches in the cross-cutting areas of gender equality, capacity development and HIV/AIDS across the focus areas for application by regional and country programmes.
- (f) The identification of means to reduce the dependency on the global programme to fund posts required by BDP to carry out its core functions such as global development

policy work and practice coordination and development. One option may be to amend existing programming arrangements to explicitly allow for the funding of BDP posts.

**2. UNDP should develop improved corporate strategies and delivery mechanisms so that the new global programme can better support the achievement of results at the country level based on the following considerations:**

- (a) The need for a corporate knowledge management policy and strategy that clearly identifies the type of knowledge to be codified, how the processes are managed, and how best to respond to the needs of the organization and programme countries. The role of the new global programme in implementing the new strategy should be clearly defined.
- (b) The new global programme should provide country offices and their national partners with codification of cutting-edge analyses of global issues that are grounded in UNDP experience.
- (c) Demand by country offices for policy advisory, knowledge and programme support should be met by units best placed to respond based on their location and capacity. Primary responsibility and accountability should rest with the RSCs for managing and delivering programme and policy support to country offices and for conveying country level experience back to the central bureaux responsible for analysis and codification.
- (d) Responsibility for implementing the new global programme should be shared by BDP and the regional bureaux through the RSCs. Those components involving the provision of services and support to the country level should be managed by the regional bureaux and the RSCs. Resources for the new global programme should be allocated and managed based on the requirements of the programme's functions at the global and regional levels and the comparative advantage of respective UNDP units.

**3. The new global programme should have an explicit strategy to partner systematically with other UN organizations and development institutions in order to contribute to development policy debates and approaches that are critical to programme countries for the achievement of their development goals by:**

- (a) Identifying partners who will add most value in priority areas, specifying joint outcomes to be achieved, and identifying sustained cooperation modalities.
- (b) Collaborating with other United Nations development agencies and development partners to effectively address global development challenges and contribute to global development debates and approaches.
- (c) Strengthening SSC modalities, in close partnership with programme countries, centres of excellence worldwide and the Special Unit for SSC, as a means of ensuring the relevance and appropriateness of the knowledge generated, codified and further promoted.
- (d) Enabling the thematic centres to enter into long-term collaboration with Southern think tanks and centres of excellence.

**4. UNDP should establish a management system for the new global programme that ensures results orientation and accountability through strengthened corporate management and compliance with standard UNDP programming requirements by:**

- (a) Institutionalizing standard results-based planning, performance monitoring and reporting practices that are underpinned by effective support mechanisms, such as a comprehensive substantive database.
- (b) Establishing standards of management performance across all work areas and ensuring, through central coordination, the most strategic deployment of human and financial resources and consistency in implementation.
- (c) Instituting regular audits and outcome evaluations.

- (d) Conducting a mid-term review of the new global programme to ensure that benchmarks outlined in the management response to the GCF-III evaluation, and set in the new global programme approved by the Executive Board, are met.

**5. UNDP should institutionalize mechanisms to ensure corporate oversight and ownership of the global programme by:**

- (a) Strengthening mechanisms to enable the active participation and full support from corporate UNDP in order to promote buy-in by all units that it serves and from which it draws vital development information.
- (b) Ensuring synergy among the different UNDP units dealing with policy development at the global level, including the Human Development

Report Office, the Office of Development Studies, and the Bureau for Crisis Prevention and Recovery, in order to contribute more effectively to global policy debates and advances in development approaches.

- (c) Establishing an advisory board for the global programme involving external partners and internal stakeholders, in order to identify comparative advantage and ensure the relevance of a new global programme.
- (d) Ensuring corporate oversight over the global programme, through a senior management group such as the operations group or management group.
- (e) Explicitly reporting, on an annual basis, on the performance of the new global programme, as part of the regular system of reporting by UNDP to the Executive Board.



# TERMS OF REFERENCE

## I. BACKGROUND

The principal objective of the the third global cooperation framework (GCF-III), 2005-2007, approved by the Executive Board in January 2005, is to support programme countries in achieving the Millennium Development Goals (MDGs) and make the principles enshrined in the Millennium Declaration a reality. This is to be achieved by the GCF-III, also frequently referred to as the 'global programme', in tandem with UNDP's regional and country programmes. Four priority areas outlined in UNDP's Multi-Year Funding Framework (MYFF), 2004-2007, comprise the substantive core of the GCF-III: (a) achieving the MDGs and reducing human poverty; (b) fostering democratic governance; (c) managing energy and environment for sustainable development; and (d) responding to HIV/AIDS. The GCF-III initiatives in these four areas aim to accelerate progress towards the MDGs through policy support services, global learning, knowledge management and capacity development. The principles and delivery approaches of the GCF-III are aligned with the drivers of development effectiveness defined by the MYFF.<sup>1</sup>

During its June 2007 session, the Executive Board approved a one-year extension of the GCF-III, which will now end in December 2008. The Board is scheduled to review the performance of the GCF-III and to consider a new global programme at its September 2008 session. It is in this context that UNDP's Evaluation Office is conducting a comprehensive and independent assessment of the GCF-III.

## II. PURPOSE OF THE EVALUATION

The purpose of the evaluation will be to facilitate the Executive Board's review of the GCF-III and provide strategic inputs into its deliberations on a new global programme as well as other, broader programmatic implications.

The evaluation will also provide UNDP management with findings and recommendations that are expected to assist in identifying strategies and operational approaches to further strengthen UNDP's development effectiveness through its global programme, in coordination with its regional and country programmes.

## III. OBJECTIVES OF THE EVALUATION

Specific objectives of the the GCF-III evaluation are as follows:

1. To determine the extent to which the GCF-III contributed towards the accomplishment of intended organizational goals and development results in (i) achieving the MDGs and reducing human poverty, (ii) fostering democratic governance, (iii) managing energy and environment, and (iv) responding to HIV/AIDS
2. To assess the performance of the GCF-III and specify development results achieved—particularly at the outcome level—in terms of (i) country-level policy advice and programme support, (ii) targeted global projects, (iii) strategic partnerships and (iv) knowledge management
3. To establish the extent to which the GCF-III (i) promoted national ownership and

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1. UNDP, 'BDP Alignment Process: Implementing the Strategic Plan and Accelerating Human Development', UNDP BDP, 30 January 2008, p. 4.

leadership of the development process, (ii) mainstreamed a gender perspective in all projects and practice areas, and (iii) applied an appropriate and coherent capacity development approach throughout

4. To ascertain the role the GCF-III has had in establishing or strengthening UNDP comparative advantage as a major upstream global policy advisor for poverty reduction and sustainable human development
5. To analyze the GCF-III's contribution towards establishing UNDP as a knowledge-based organization and, in particular, to assess the degree of innovation among the GCF-III initiatives and their value addition and contribution to generating and sharing knowledge within UNDP and with programme countries
6. To identify the main lessons learnt including, in particular, the extent to which the GCF-III constituted the most appropriate mechanism in providing development services and building capacity as envisaged in the project document, and develop recommendations for the design of a new global programme, covering policy and priority areas, plus institutional and implementation aspects

#### **IV. SCOPE OF THE EVALUATION**

In line with UNDP's overall focus on human development, a priority that is reflected in UNDP's evaluation policy, this evaluation will seek to place the GCF-III in a human development context. An overarching concern will thus be to ascertain the extent to which the GCF-III has upheld human development principles and has mainstreamed them in all aspects of its work. In reviewing in detail the different elements of the GCF-III, and in applying a range of evaluation criteria as described in more detail below, the evaluation will need to bear in mind UNDP's mission to promote human development.

The intention of the GCF-III evaluation is to focus on strategic issues, in particular on the

contribution of the GCF-III to (i) development results, as envisaged in the project document; (ii) the integrity of UNDP's work through programmatic and knowledge-based linkages between global, regional and country programmes; and (iii) the external standing of UNDP as a development player that adds value and plays a pivotal coordinating role within the United Nations (UN) system and beyond.

The evaluation will thus assess the overall relevance and effectiveness of the GCF-III, covering, in broad terms, its entire programmatic and geographic scope. The evaluation will be guided by key questions relating to these two primary evaluation criteria:

#### **RELEVANCE**

1. To what extent has the GCF-III supported UNDP's vision, overall strategies and role in development, especially at the global level? What distinctly 'global issues' has the GCF-III addressed, as distinct from issues at the country, region and interregional levels?
2. How has the role and strategic focus of the GCF-III support been relevant to country and regional priorities, including relevance to the achievement of the MDGs? To what extent is the GCF-III relevant and/or linked to the Regional Cooperation Frameworks (or Regional Programmes)?
3. What was the relevance of and possible synergies between the four practice areas (poverty, governance, energy/environment and HIV/AIDS) and the cross-cutting areas of gender equality, capacity building and national ownership, particularly in relation to the the GCF-III programme objectives and principles?
4. To what degree have the GCF-III-funded services based out of the Regional Service Centres (RSCs) and Subregional Resource Facilities (SURFs) been relevant from the country/regional perspective? How has the GCF-III enhanced the RSC/SURF's ability to respond to the diversity and nature of

demands from country offices for policy advice, or strengthened the quality of programme support? Has the RSC/SURF mechanism added value to, and improved the cost-effectiveness of, the GCF-III products and services? Have the structural changes from SURFs to RSCs had any impact on the GCF-III?

5. To what extent has the GCF-III supported the UN reform initiatives for greater coordination and cohesion of UN organizations and in the simplification and harmonization of development at the global, regional and country levels? To what degree has the GCF-III supported the Resident Coordinator function, and UNDP as the manager of the Resident Coordinator function?

## EFFECTIVENESS

6. What key factors underlined the effectiveness, usefulness, strengths and weaknesses of approaches and strategies applied by the GCF-III? What risks and barriers to success were anticipated at the outset? Were there any unanticipated events, opportunities or constraints? Were the anticipated policy influences achieved? Did alternative ones emerge? What could be done differently in the future?
7. How did the GCF-III policies and practices influence and add value to UNDP system-wide modalities and mechanisms for supporting countries' development efforts in the different practice areas covered? How well did the GCF-III leverage non-core resources towards achievement of results, as defined in the programme document?
8. What effect did management and institutional arrangements have on BDP in terms of programming, delivery and monitoring of implementation of the GCF-III at the Headquarters level, at the regional level and at the country level? What measures were taken to assure the quality of development results and management practices, both in relation to process and products, and to partnership

strategies? What monitoring and evaluation procedures were applied by UNDP and partners to ensure greater accountability?

9. To what extent did the procedures established by the GCF-III ensure relevance and learning at the institutional and national levels with regard to the choice of specific development interventions, and the ways and means used to communicate results (e.g. operation of programmes, including advocacy, policy dialogue, brokerage, knowledge management and dissemination etc.)?
10. How effective and efficient were the institutional components of the GCF-III/BDP: i.e. the modality and mechanisms for delivering service lines and their cost-effectiveness, including the role of relevant UNDP bureaux or organizational units such as Human Development Report Office (HDRO) and Office of Development Studies (ODS), and the way these interface with each other and complement each other's work in supporting the goals and objectives of the GCF-III?
11. How well have the resource mobilization and funding criteria and mechanisms of BDP worked, including the allocation methods (as applicable to the global projects, the Thematic Trust Funds (TTFs) and other modalities and mechanisms)?
12. In terms of ownership by key target groups, what factors influenced (i) the motivation for specific development interventions supported by the GCF-III, (ii) the role and level of engagement of partners, (iii) the appropriateness of different implementation modalities chosen, and (iv) the value-added from UNDP's collaboration and results achieved (i.e. development effectiveness)?

## SUSTAINABILITY

In looking at issues of effectiveness and relevance, it will be important to review the extent to which different elements of the GCF-III contributed to the establishment of sustainable capacities of its target groups. To what extent were the GCF-III initiatives led by a concern to ensure sustainability?

How was this concern reflected in the design of the programme, in the implementation of activities at different levels, in the delivery of outputs and the achievement of outcomes? In particular, did the regionally-based advisory services help build capacities in a sustainable manner or were they more ad-hoc (driven by other factors)?

## EFFICIENCY

Where appropriate, the evaluation will also cover efficiency-related issues, particularly in order to understand management arrangements and the operational realities of the GCF-III and its linkages with other UNDP programme implementation mechanisms and modalities at the regional and country levels.

The evaluation of the GCF-II, completed in 2004, should be taken as a starting point in identifying pertinent evaluation questions, particularly with a view to ascertaining how recommendations were taken into account and followed up on in designing and implementing the GCF-III.

## V. EVALUATION APPROACH

In view of the complexity of the GCF-III, the evaluation will seek to obtain data from a range of sources, including through desk reviews and document analyses, surveys and questionnaires, as well as stakeholder consultations, interviews and focus groups at UNDP Headquarters and in a range of programme countries, RSC/SURFs and other relevant institutions or locations. The rationale for using a range of data sources (data, perceptions, evidence) is to triangulate findings in a situation where much of the data, due to the very nature of the GCF-III, is qualitative, and its interpretation thus critically dependent on the evaluators' judgement. Triangulation provides an important tool in shoring up evidence by using different data sources to inform the analysis of specific issues.

Where possible and appropriate, the evaluation should seek to obtain evidence as to what may or may not have occurred in the absence of the GCF-III. Some of UNDP's programmes or

modalities may not, due to the very design of the GCF-III, have benefited from the GCF-III support. Such programmes or modalities may thus serve to provide insights into the relative value added of the GCF-III.

## LOGIC MODEL AND EVALUABILITY ANALYSIS

In launching the evaluation, an important, initial exercise will be to develop a logic model for the GCF-III, taking into account (i) its expected outcomes, as defined in the project document, (ii) any strategic or operational changes introduced during the implementation process, and (iii) important and apparent milestones and achievements, as outlined in progress reports. The logic model will serve to highlight the theory of change underpinning the GCF-III and will assist in identifying, at an early stage, any challenges or bottlenecks that may affect the evaluability of the GCF-III. The evaluation methodology may thus need to be adjusted accordingly.

## CASE STUDY APPROACH

The broad scope of the evaluation, will not permit the selection of a sufficiently large number of case studies that could be considered a 'representative sample' of the GCF-III initiatives. Therefore, it will be necessary to generalize from the findings of case studies that are considered most 'typical' of the GCF-III and thus lend themselves best to generalization. It is expected that individual case studies will comprise the global, regional and country level, in line with the vertical integration that is typical of the GCF-III's programme approach. I.e., in looking at different practice areas, modalities or principles, it will be important to recognize their linkages from the global, through the regional to the national levels. The case study approach will comprise of the following elements:

**Stakeholder analysis.** An important initial exercise will be the conduct of a stakeholder analysis in order to identify, *inter alia*, the institutional entities and individuals within UNDP involved in planning, management and implementation of the GCF-III; the primary

target groups of different GFC-III initiatives; and different partners at the global, regional and country levels.

**Documentation reviews.** Due to the complexity and very broad scope of the GCF-III, a very large number of documents and reports (published and unpublished) may be collected. Some may be the subject of only a general review while others will be subjected to detailed review. Some of the key sources of information will comprise (i) global project documents and results frameworks, monitoring and financial reports, evaluations, as well as key project outputs; (ii) Thematic Trust Funds and related documentation (as above); and (iii) strategic partnerships.

**Consultations and interviews.** The main source of information will be through structured, semi-structured and unstructured interviews and consultations at Headquarters, RSCs and COs. The results of these consultations and interviews are to be documented for internal team analysis. Structured interview methods are also to be used for other consultations. In some cases, focus group discussions may be held to capture the dynamic of information sharing and debate, and to enrich the findings. In other cases, interviews will be carried out by telephone or tele/video conference. The Evaluation Team will select countries and stakeholders to be visited based on criteria to be developed in consultation with the Evaluation Office and key UNDP stakeholders.

**Pilot case study.** In launching the country visits, the entire Evaluation Team will visit one RSC to be selected as a pilot case study. This will allow for the testing of interview and consultation methodologies, and the initial casting and validation of key evaluation issues, questions and hypotheses. Based on this first experience, the design for subsequent regional and case country visits will be amended.

**Targeted surveys.** As the 'stakeholder community' of the GCF-III is large and widespread, a series of surveys may be executed in order to collect additional information and perceptions. Surveys

themselves are one method for validation. The main surveys may include (i) a self-assessment survey of selected GCF project managers (all in the Bureau for Development Policy [BDP]), as well as other selected practice/ thematic focal points; (ii) survey of Policy Advisors; and (iii) survey of Resident Coordinators and Resident Representatives (or their respective Country Directors or Deputy Resident Representatives). Surveys of other stakeholders may be identified and carried out.

## VI. THE EVALUATION TEAM

The Evaluation Team will comprise four international evaluators, one of whom will be the Team Leader. Local consultants at the field level will be recruited, as necessary, in selected sample field stations and/or in countries where UNDP RSCs are located. The Evaluation Office will recruit all Team members.

The composition of the Evaluation Team should reflect the independent and substantive results focus of the exercise. The Team Leader must have demonstrated capacity to think strategically, provide policy advice and manage the evaluation of complex development programmes. The Team composition should reflect cross-cultural experience in development and evaluation including expertise in poverty, governance, environment, HIV/AIDS, capacity development and gender mainstreaming.

All the Team members must possess educational qualifications in the social sciences or related disciplines. The Team is also expected to have extensive knowledge of issues relating to organizational and institutional change, the UN reform process, principles of results-based management, and should be familiar with the on-going debate on the issue of development effectiveness.

An Evaluation Office Task Manager will be part of the Evaluation Team and will provide overall managerial and coordination support. A Research Assistant will compile and analyze background documentation.

## **VII. MANAGEMENT ARRANGEMENTS**

The Evaluation Office will manage the evaluation process, provide backstopping support and ensure the coordination and liaison with concerned agencies at the headquarter level as well as the country level. The Evaluation Office will be responsible for the production of the evaluation report and its presentation to the Executive Board.

An external Advisory Panel will be established at the outset of the evaluation, consisting of four to five individuals who should be leading authorities on development effectiveness, global development issues of relevance to the GCF-III and evaluation. The Advisory Panel will play an important role in providing strategic, methodological and substantive inputs into the evaluation process.

## Annex B

# DOCUMENTS CONSULTED

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## Annex D

# EVOLUTION OF GLOBAL PROGRAMME OBJECTIVES

**Table 1. Global Cooperation Framework Objectives, 1997–2008**

GCF-I (1997–2000) DP/GCF/2	GCF II (2001–2004) DP/GCF/2/Extension1	GCF–II Evaluation Recommendation	GCF–II Evaluation Management Response	GCF–III (2005–2008) DP/GP/1/Rev.1
(a) "To develop further the portfolio of UNDP interventions responding to global mandates, in particular those emanating from United Nations conferences, for adaptation by regional and country programmes and projects in their support of the commitments made by programme countries;	(a) "It will support the ability of UNDP to generate alternative and cutting-edge development thinking and to address emerging challenges presented by globalization, including marginalization of the poorest, through groundbreaking research and analysis by the Human Development Report (HDR), the Office of Development Studies (ODS), and the Bureau for Development Policy (BDP). Innovative research, such as that which contributed such key concepts to current development thinking as sustainable human development (SHD) and global public goods will be strengthened;	(a) "GCF III should continue to provide a two-way window for programme countries to influence and be influenced by global trends, and benefit from global knowledge in the pursuit of their national development priorities and the MDGs [Millennium Development Goals]. UNDP should narrow the focus on one or two practice areas with a small set of secondary practice, thematic and cross-cutting areas. Criteria for use of global resources must be clear, consistently applied and sufficiently distinct from regional or country level programming.	(a) "[Promoting a two-way window for programme country involvement in the global arena] will be a central priority of BDP [Bureau for Development Policy] in its implementation of the corporate knowledge strategy. UNDP focus is provided by the MYFF [Multi-year Funding Framework]. Within the MYFF, UNDP intends to place greater emphasis on those service lines that make the greatest contribution to achieving the MDGs and for which there is the highest demand from programme countries. Consultations with regional bureaux, regional centres and country offices on GCF programmes will be enhanced and formalized. Criteria are being developed in consultation with RBx [regional bureaux] and CO [country offices] to determine the nature and delineation of global programmes and their relationship to regional and country programmes.	(a) "To help UNDP country offices improve their effectiveness on the ground, in responding to requests from programme countries to plan, manage and deliver resources for development in pursuit of the MDGs;
(b) To provide the technical guidance needed—partly through partnerships—to respond to the demands emanating from regional and country programmes and projects in their support of the commitments made by programme countries; and	(b) It will allow, for the first time ever, the integration of UNDP global development thinking and advocacy with country-level practices by building on country-driven demand for policy and programme support as captured in the results-oriented annual report (ROAR);	(b) GCF-III should continue to be applied to the transformation of UNDP into a knowledge-sharing, globally networked agency. The definition of policy advice should be adjusted to include the provision of a range of both upstream and downstream technical assistance and professional services in the policy domain.	(b) The proposal for GCF-III will maintain [a knowledge based] focus. In practice, policy advice and policy support will cover a wide range of services, from upstream policy dialogue to more downstream technical support and backstopping. GCF-III will incorporate clearer, practical objectives aligned to MYFF priorities.	(b) To support developing countries, when requested, in developing policy frameworks that take advantage of global opportunities and resources under the priority goals of the MYFF; and
(c) To identify gaps and emerging issues for attaining SHD and to work to incorporate them into the global agenda." (paragraph 15)	(c) It will promote a state-of-the-art knowledge network by moving UNDP policy support capacity out of headquarters to the sub regional level to ensure that the best available advice can be given when and where it is most needed—at the country level." (paragraph 1)	(c) There should be continued emphasis on identifying and documenting good, innovative practices and promoting their adaptation in other countries or settings. Knowledge networks should be made available to staff in all UN organizations as well as national counterparts in partner countries. There should be a deliberate policy within UNDP to encourage external knowledge sharing."	(c) A central purpose of the knowledge management system will be to identify, store and disseminate good practices to facilitate an effective global learning exchange. Successful knowledge sharing calls for building and supporting strong, well-defined communities of practice, which generate trust among their members. A UNDP knowledge management strategy has been put in place that proposes both to strengthen UNDP's internal practice communities as well as to extend knowledge networks to in-country communities and UN system partners."	(c) To enable developing countries to benefit from interregional knowledge exchange and South-based experiences and learning under the priority goals of the MYFF and ensure that development assistance, advice, programme design and capacity-building efforts draw on global best practices and expertise." (paragraph 14)



## Annex E

# GCF-III PROGRAMME METRICS

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- Figure 4. Thematic Trust Fund Growth in Expenditure 2005-2007
- Figure 5. Total Vacancy Months for Policy Specialist Posts by Region During the GCF-III Period

**Table 1. Global Programme III Core Resource Allocations 2005-2007  
as Contained in the Programme Document (in \$ Millions)**

<b>Practice / Cross-Cutting Area</b>	<b>Policy Advisory Services Budget</b>	<b>Targeted Project Budget</b>	<b>Interregional Knowledge Transfer, Learning and Codification</b>	<b>Strategic Reserve</b>	<b>TOTAL</b>
Poverty Reduction	16.24	8.51	1.25		26.00
Gender	2.24		0.25		2.49
Democratic Governance	14.56	9.25	1.50		25.31
Energy & Environment	6.16	8.82	1.50		16.48
HIV/AIDS	1.68	4.98	1.50		8.16
Capacity Development	1.12				1.12
Strategic Reserve				5.14	5.14
<b>TOTAL</b>	<b>42.00</b>	<b>31.56</b>	<b>6.00</b>	<b>5.14</b>	<b>84.7</b>

Source: DP/GP/1/Rev.1, Annex 1, p. 17

**Table 2. Global Programme III Actual Core Resource Allocations 2005-2007 (in \$ Millions)**

Department/ Practice	2005		2006		2007	
	Global Projects	Thematic Centres	Global Projects	Thematic Centres	Global Projects	Thematic Centres
<b>Policy Support<sup>1</sup></b>						
Policy Advisory Service	14.0		14.0		14.0	
Knowledge Management	2.0		1.6		2.4	
<b>Practice Area</b>						
Poverty	1.3	1.0	1.1	1.0	3.4	1.0
Democratic Governance	1.3	1.0	1.1	1.0	1.4	1.0
Energy & Environment	1.1	1.0 <sup>2</sup>	1.1	1.0	1.1	1.0
HIV/AIDS	0.9		0.9		0.9	
Gender			0.5		0.6	
Capacity Development	0.7		0.8		0.7	
Cross Practice	2.0				2.0	
<b>SUBTOTAL</b>	<b>223.3</b>	<b>3.0</b>	<b>21.0</b>	<b>3.0</b>	<b>26.5</b>	<b>3.0</b>
<b>TOTAL</b>	<b>26.3</b>		<b>24.0</b>		<b>29.5</b>	
<b>TOTAL FOR 2005 – 2007 = 79.8</b>						

1. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

2. BDP noted that the Drylands Development Centre over-expenditure of \$2 million was charged in 2004.

Source: Based on memos provided by Bureau for Development Policy (BDP)

**Table 3. Global Programme I - III Core and Non-Core Allocations (in \$ Millions)**

Practice Area	GCF-I 1997-2000		GCF-II 2001-2004		GCF-III 2005-2007	
	Core	Non-Core	Core	Non-Core	Core	Non-Core
<b>Policy Support<sup>1</sup></b>						
Policy Advisory Service				15.0	42.0	
Knowledge Management					6.0	
<b>Practice Area</b>		8.0	57.9	100.0		190.0
Poverty	17.6				8.5	
Democratic Governance	17.6				9.3	
Energy & Environment	17.6				8.8	
HIV/AIDS					5.0	
<b>Cross Cutting</b>	17.6					
Gender	7.8					
Capacity Development						
Cross Practice						
<b>Other<sup>2</sup></b>	19.4		26.4			
Strategic Reserve	8.7				5.1	
Contingency Fund <sup>3</sup>	7.5		3.0			
<b>SUBTOTAL</b>	<b>113.8</b>	<b>8.0</b>	<b>87.3</b>	<b>115.0</b>	<b>84.7</b>	<b>190.0</b>
<b>TOTAL</b>		<b>121.8<sup>4</sup></b>		<b>202.3<sup>5</sup></b>		<b>274.7<sup>6</sup></b>

1. 'Policy Support' is a department that was created in ATLAS to enable central management of the policy advisory and knowledge management funds. However, the policy specialists and knowledge management funds are distributed across all practice areas. See Table 14 for the distribution of policy specialists by practice area and region.

2. Includes Human Development Report Office [HDRO], Office of Development Studies [ODS], Consultative Group on International Agricultural Research [CGIAR] and United Nations Sudano-Sahelian Office [UNSO] (now the Drylands Development Centre-DDC).

3. Allocations made at the discretion of the Administrator.

4. As noted in the First Global Programme Document (DP/GCF/1/Rev.1): "Figures have been rounded off; therefore, they do not add up to exactly \$114 million. As described in paragraph 53, \$114 million is the total global programme earmarking (\$126 million) less borrowing from the fifth cycle (\$12 million)."

5. As noted in the Second Global Programme Document (DP/GCF/2, November, 2000, Annex): The numbers in the document do not match the actual sums. Includes field-based policy specialists, and a carry-over of \$30 million from the first GCF (1997-2000). Does not include GCF-II extension \$20.3 million in core resources and \$38.3 million in non-core resources (DP/GCF/2/Extension1).

6. As noted in the Third Global Programme document (DP/GP/1/Rev.1) includes \$ 20.76 million in carryover from GCF-II.

**Table 4. Core and Non-Core Funding and Expenditure During 2005-2007 (in \$ Millions)**

Department/ Practice Area	Core		Non-Core <sup>1</sup>		
	Budget	Expenditure	Projected <sup>2</sup>	Income	Expenditure
<b>Policy Support<sup>3</sup></b>					
Policy Advisory Services	42.0	43.5			
Knowledge Management	6.0	4.8			
<b>Practice Area</b>			190.0		
Energy & Environment	8.8	6.9		53.1	58.8
Democratic Governance	9.3	6.4		90.8	69.3
HIV/AIDS	5.0	2.9		21.8	25.9
Poverty Reduction & MDGs	8.5	9.6		56.7	28.0
<b>Cross Cutting</b>					
Gender		1.2		6.6	5.8
Capacity Development		2.1		7.1	13.4
Cross Practice		4.6			0.04
<b>SUBTOTAL</b>	<b>79.6</b>	<b>82.0</b>	<b>190.0</b>	<b>236.1</b>	<b>201.3</b>
Strategic Reserve	5.1	5.1			
<b>Total</b>	<b>84.7</b>	<b>87.1</b>	<b>190.0</b>	<b>236.1</b>	<b>201.3</b>

1. Non-core, in this case, includes income received through 'cost-sharing,' Trust Funds and Thematic Trust Funds. It does not include income received through the Montreal Protocol (MP) and the Global Environment Facility (GEF).

2. DP/GP/1/Rev.1, p. 1.

3. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

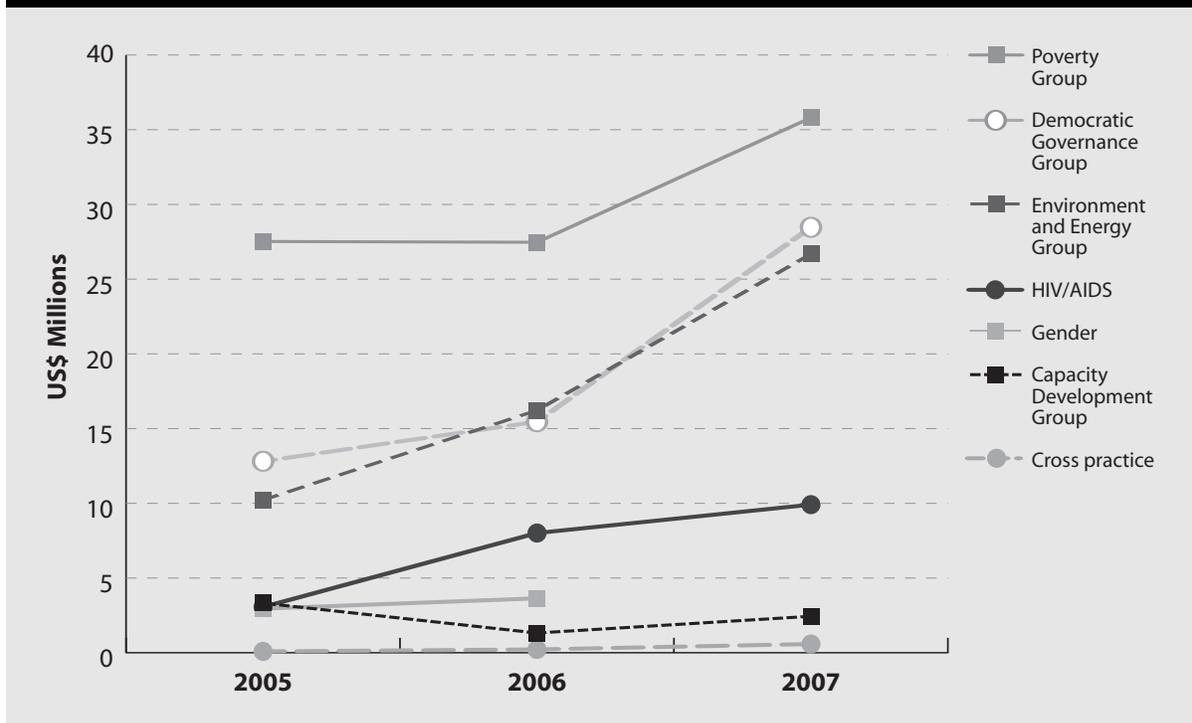
**Table 5. BDP Resource Mobilization (Income) and Expenditure 2005-2007  
(Not including the Global Environment Facility and Montreal Protocol Trust Funds, in \$ Millions)**

Practice Area	Income			TOTAL for Practice	Expenditure			TOTAL for Practice
	Cost Sharing	Trust Fund	Thematic Trust Fund		Cost Sharing	Trust Fund	Thematic Trust Fund	
Capacity Development	1.9	5.2		7.1	3	10.3		13.4
Cross Practice	0.9			0.9	0.04			0.04
Democratic Governance	13	0.3	77.6	90.8	9.4	4.4	55.5	69.3
Energy & Environment	10.8	12.4	29.9	53.1	3.9	41.6	13.3	58.8
Gender	3.8		2.8	6.6	0.4	-	5.5	5.8
HIV/AIDS	19.6		2.2	21.8	24.3	-	1.6	25.9
Poverty Reduction	8.2	37.0	11.5	56.7	1.1	18.5	8.4	28.0
<b>SUBTOTAL</b>	<b>58.1</b>	<b>54.9</b>	<b>124</b>		<b>42.1</b>	<b>74.8</b>	<b>84.3</b>	
<b>TOTAL Income</b>				<b>237.0</b>	<b>TOTAL Expenditure</b>			<b>201.3</b>
							<b>% Unexpended</b>	<b>15%</b>

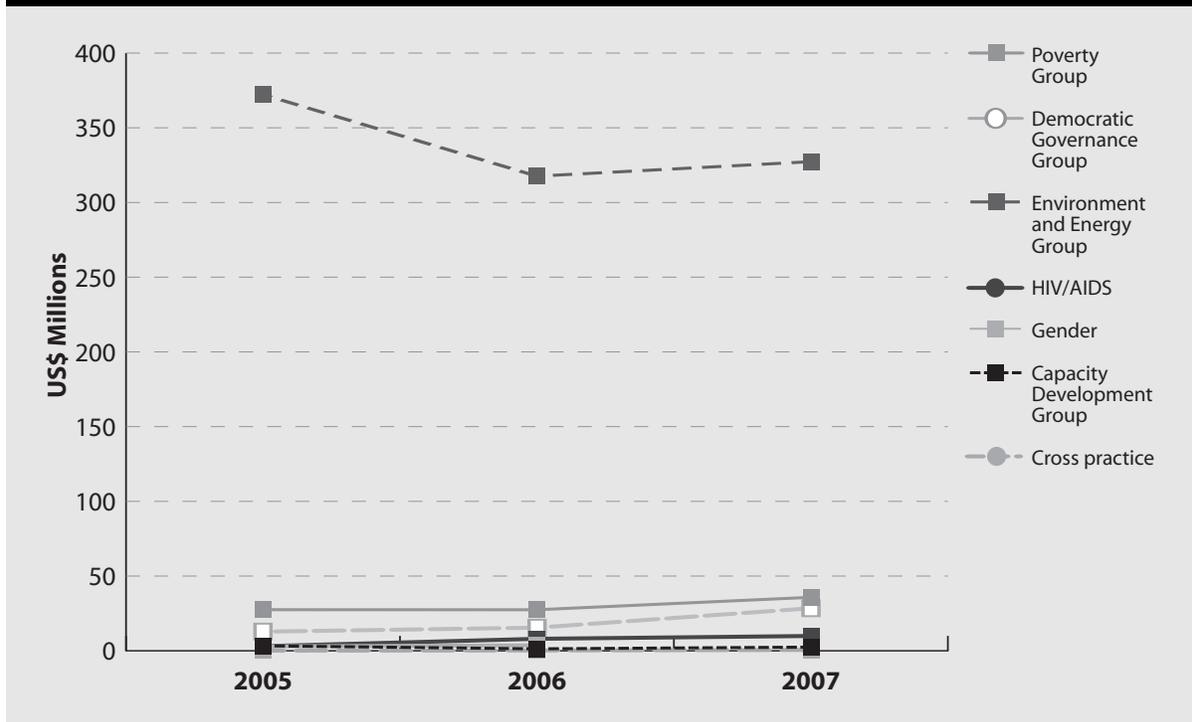
**Table 6. BDP Resource Mobilization (Income) 2005-2007  
(Including the Global Environment Facility and Montreal Protocol Trust Funds, in \$ Millions)**

Practice Area	Cost Sharing	Trust Fund	Thematic Trust Fund	TOTAL for Practice
Capacity Development	1.9	5.2		7.1
Cross Practice	0.9			0.9
Democratic Governance	13.0	0.3	77.6	90.8
Energy & Environment	10.8	976.3	30.0	1,017.1
Gender	3.8		2.8	6.6
HIV/AIDS	19.6		2.2	21.8
Poverty Reduction	8.2	37.0	11.5	56.7
<b>SUBTOTAL</b>	<b>58.1</b>	<b>1,018.8</b>	<b>124.1</b>	
<b>TOTAL</b>				<b>1,201.0</b>

**Figure 1. BDP Resource Mobilization (Income) 2005–2007  
(Not Including the Global Environment Facility and Montreal Protocol Trust Funds)**



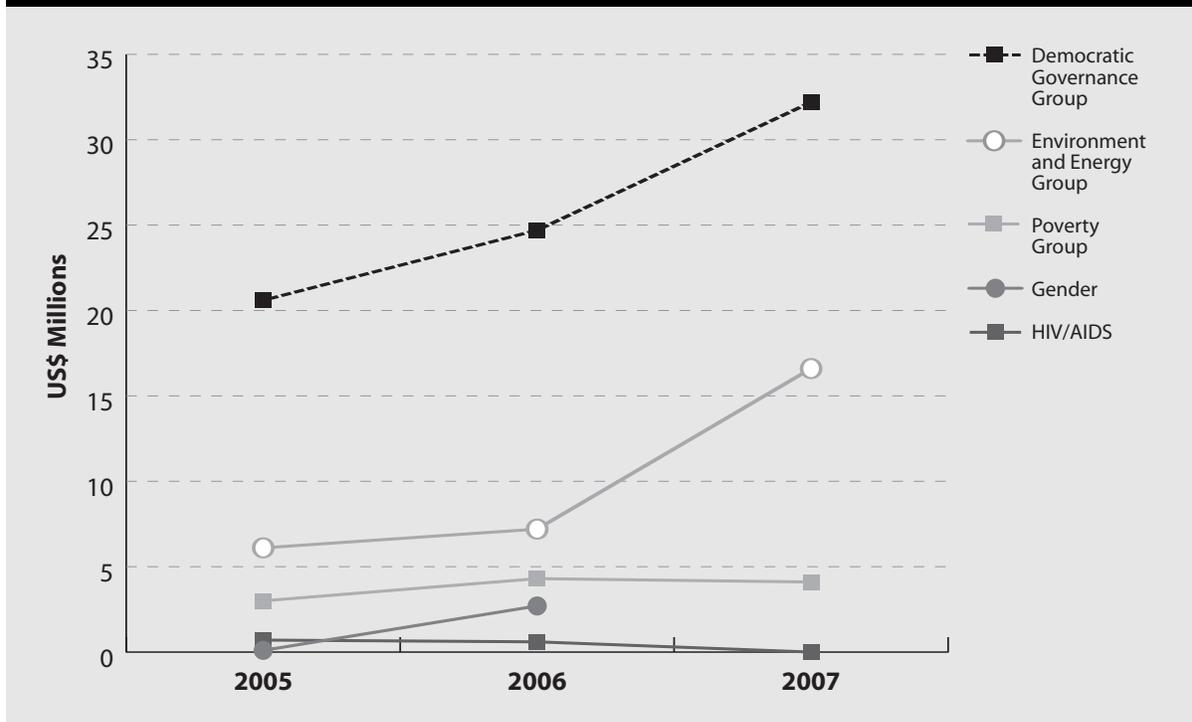
**Figure 2. BDP Resource Mobilization (Income) 2005–2007  
(Including the Global Environment Facility and Montreal Protocol Trust Funds)**



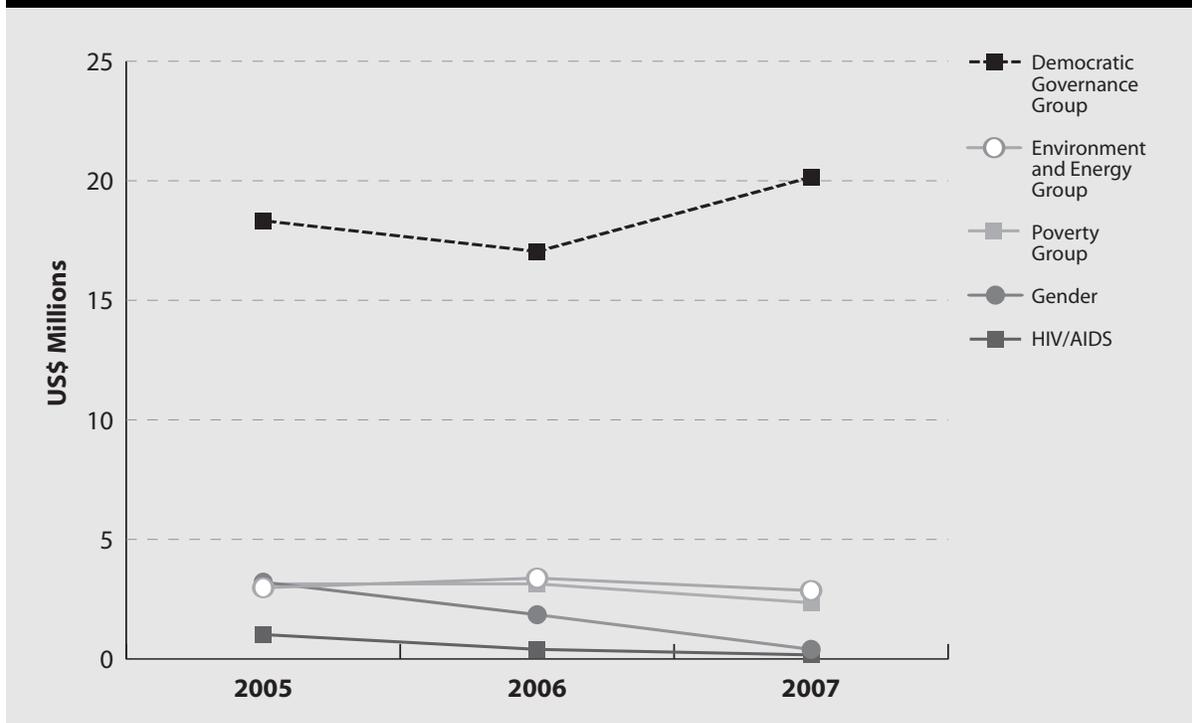
**Table 7. Thematic Trust Fund Income vs. Expenditure 2005-2007 (in \$ Millions)**

<b>Practice</b>	<b>Thematic Trust Fund (TTF)</b>	<b>TOTAL Income</b>	<b>TOTAL Expenditure</b>	<b>Percentage Unexpended</b>
Democratic Governance	TTF Democratic Governance	71.8	53.8	25%
	TTF Information Communications Technology	5.7	1.8	69%
<b>Subtotal</b>		<b>77.6</b>	<b>55.5</b>	<b>28%</b>
Energy & Environment	TTF Energy for Sustainable Development	4.3	9.2	-115%
	TTF Environment	25.7	4.1	84%
<b>Subtotal</b>		<b>30</b>	<b>13.3</b>	<b>56%</b>
HIV/AIDS	TTF HIV/AIDS	2.2	1.6	28%
<b>Subtotal</b>		<b>2.2</b>	<b>1.6</b>	<b>28%</b>
Poverty Group	TTF Poverty Reduction	11.5	8.4	27%
<b>Subtotal</b>		<b>11.5</b>	<b>8.4</b>	<b>27%</b>
Gender	TTF Gender	2.8	5.5	-94%
<b>Subtotal</b>		<b>2.8</b>	<b>5.5</b>	<b>-94%</b>
<b>TOTAL</b>		<b>124</b>	<b>84.4</b>	<b>32%</b>

**Figure 3. Thematic Trust Fund Growth in Income, 2005–2007**



**Figure 4. Thematic Trust Fund Growth in Expenditure, 2005–2007**



**Table 8. Thematic Trust Fund Details and Expenditure by Department (in \$ Millions)**

<b>PRACTICE AREA</b>	<b>TITLE/SERVICE LINE</b>	<b>TOTAL</b>
Democratic Governance (DG)	TTF DG	0.9
	TTF DG City Office/Reg Co Finance	9.7
	TTF DG Legislatures	3.6
	TTF DG Electoral Systems & Process	4.4
	TTF DG Access Justice Human Rights	18.1
	TTF DG Access to Information	4.9
	TTF DG Decent & Local Governance	7.0
	TTF DG Public Administration & Civil Service	5.2
<b>TTF Democratic Governance Subtotal</b>		<b>53.8</b>
Information & Communications Technology (ICT)	ICT	0.04
	TTF ICT City Office/Reg Finance	1.5
	TTF ICT National & Reg Development Strategies	0.1
	TTF ICT Strategy Implementation & Capacity	0.04
	TTF ICT Democratic Governance	0.1
	TTF ICT Digital Grants Intervention	0
<b>TTF Information &amp; Communications Technology Subtotal</b>		<b>1.7</b>
<b>TTF DGG + ICT Subtotal</b>		<b>55.5</b>
Energy & Environment (E&E)	TTF E&E	0.03
	TTF E&E City Office/Reg Co Finance	0.2
	TTF E&E National Devevelopment Frameworks	0.3
	TTF E&E Water Governance	0.5
	TTF E&E Envr Glo & Reg Env Chal	1.4
	TTF E&E Energy Services	0.7
	TTF E&E Land Management	0
	TTF E&E Biodiversity	0.8
	TTF E&E Chemicals	0.1
<b>TTF Environment Subtotal</b>		<b>4.1</b>
Energy for Sustainable Development (ESD)	TTF ESD	0.2
	TTF ESD City Office/Reg Co Finance	2.8
	TTF ESD National Policy Frameworks	1.9
	TTF ESD Rural Energy Service	3.0
	TTF ESD Clean Energy Technology	1.1
	TTF ESD Access Investment Finance	0.3
<b>TTF Energy for Sustainable Development Subtotal</b>		<b>9.2</b>
<b>EEG + ESD Subtotal</b>		<b>13.3</b>
Gender (GDR)	TTF GDR	0.2
	TTF GDR Engendering Policy	1.8
	TTF GDR Engendering Legal Frameworks	0.1
	TTF GDR Engendering Institutions	3.4
<b>TTF GDR Subtotal</b>		<b>5.5</b>
HIV/AIDS	TTF HIV/AIDS	0.1
	TTF HIV/AIDS City Office/ Reg Co-Fn	0.6
	TTF HIV/AIDS Adv Strengthening Leadership	0
	TTF HIV/AIDS Capacity Development Plan Meeting	1.0
	TTF HIV/AIDS Human Rights	0.02
	TTF HIV/AIDS Multi-media Technology	0
<b>TTF HIV/AIDS Subtotal</b>		<b>1.6</b>
Poverty Reduction (PRSD)	TTF PRSD	0.1
	TTF PRSD City Office/Reg Co Finance	0.5
	TTF PRSD Benchmarking & Poverty	1.7
	TTF PRSD Participatory Process	0.3
	TTF PRSD Pro Poor Policy Reforms	5.1
	TTF PRSD Piloting & Innovation	0.7
<b>TTF PRSD Subtotal</b>		<b>8.4</b>
<b>TOTAL</b>		<b>84.3</b>

**Table 9. Global Programme Targeted Projects:  
Number of Projects and Expenditure by Department**

Practice	Number of Projects	Total Expenditure <sup>1</sup>	Percentage of Total Expenditure
<b>Policy Support<sup>2</sup></b>	2	48.3	59
<b>Practice Area</b>			
Democratic Governance	32	6.4 <sup>3</sup>	8
Poverty Group	33	9.5 <sup>4</sup>	12
HIV/AIDS	5	2.9	4
Energy & Environment	18	6.9 <sup>5</sup>	8
<b>Cross Cutting</b>			
Gender	7	1.2	1
Cross Practice	14	4.6	6
Capacity Development	10	2.1	3
<b>TOTAL</b>	<b>121</b>	<b>82.0</b>	<b>100</b>

1. In \$ millions.

2. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

3. Includes \$2.9 million for the Oslo Governance Centre.

4. Includes \$2.67 million for the International Poverty Centre.

5. Includes \$3.16 million for the Drylands Development Centre.

\*Please note that numbers may not add up due to rounding.

Source: BDP provided dataset: I. Global Programme Projects 2005-2007 V1.3

**Table 10. Global Programme Targeted Project Expenditure 2005-2007 by Input Item (in \$ Millions)**

Expenditure Category	TOTAL	Percentage of Total Expenditure
Consultant	5.6	7.0
Equipment	0.3	0.3
Miscellaneous	3.0	3.7
Printing and Publications	2.3	2.9
Rent	1.9	2.4
Salary	58.5	72.8
Service Contract	3.1	3.9
Travel	5.7	7.1
<b>TOTAL<sup>1</sup></b>	<b>80.3</b>	<b>100.0</b>

1. Some projects were missing from the expenditure by input data provided by BDP. Thus, the total expenditure does not match the actual total expenditure for the Global Programme Projects (\$81.2 million).

**Table 11. Extra Budgetary Income<sup>1</sup> from Global Projects 2005-2007 (in \$ Millions)**

Department	TOTAL
Policy Support <sup>2</sup>	1.7
Democratic Governance	0.2
Capacity Development	0.04
Cross Practice	0.1
HIV/AIDS	0.04
Environment & Energy	0.2
Gender	0.04
Poverty	0.3
<b>TOTAL</b>	<b>2.6</b>

1. Extra Budgetary Income is generated from the Direct Execution (DEX) Project Modality; a 5% DEX management fee is charged against all global projects.

2. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

**Table 12. Total Core and Non Core Expenditure for the Global Programme Projects 2005-2007 (in \$ Millions)**

Practice/ Department	Project Number	Project Title	Core	Non Core	TOTAL	% Core of TOTAL Expenditure
<b>B0079 Policy Support (Directorate)</b>	11365	Policy Support Services	43.500		43.50	100%
	11408	Improving Delivery of Knowledge Services	4.030		4.030	100%
<b>B0079 Total</b>			<b>47.530</b>	<b>-</b>	<b>47.530</b>	<b>100%</b>
<b>DGG</b>	11400	Democratic Governance Practice				100%
	11437	Support to Partnerships in ICT				100%
	35768	Public Administration Reform and Anti-Corruption				100%
	35889	E-governance and Access to Information				100%
	36006	Parliamentary Development & Electoral Assistance				100%
	36214*	<i>Policy Support for Democratic Governance</i>		0.321		64%
	38223	<i>Justice and Human Rights Project</i>		0.121		30%
	40489	Decentralization, Local Governance and Urban Management Programme				100%
	41625	<i>Oslo Governance Centre Budget</i>	1.000	0.671	1.670	60%
	43381	DGG SL2.7 Parliamentary Reform & Anti-Corruption				100%
	43748	UNDP Elections and ACE Project				100%
	44248	<i>Towards a Community of Democracy</i>		0.037		75%
	49251	<i>OGC Operational Budget</i>		0.295	1.190	75%
	51089	<i>Service Line 2.1 Policy Support for Democratic Governance</i>		0.647	0.890	27%
	51127	Service Line 2.5 E-governance				100%
	51152	SL 2.3 Electoral Systems and Processes				100%
	51155	SL 2.7 Public Administration Reform	0.195		0.195	100%
	51169	SL 2.4 Justice and Human Rights				100%
	55078	<i>OGC Operational Budget</i>	1.000	0.127	1.130	88%
	55651	Comp #1: Strengthening Civic Engagement				100%
	55652	Comp #2: Effective Electoral Assistance	0.095		0.095	100%
	55653	Comp #3: Independent Media & Elections	0.095		0.095	100%
	55654	Comp #4: Pro-Poor E-Governance	0.095		0.095	100%
	55655	Comp #5: Mapping Public Administration Reform	0.175		0.175	100%
	55656	Comp #6: Federalism & Conflict Prevention	0.065		0.065	100%
	55657	Comp #7: Election Support & Conflict Prevention	0.070		0.070	100%
	55658	Comp #8: Benchmarks for Democratic Representative Institutions	0.095		0.095	100%
	55659	Comp #9: Community of Practice on Justice and Human Rights	0.095		0.095	100%
	55660	Com #10: Minorities and MDGs	0.100		0.100	100%
	55661	Comp #11: Anti-Corruption Practitioners Manual	0.075		0.075	100%
	55662	Comp #12: UN Forum on Democratic Governance	0.145		0.145	100%
	55663	<i>Comp #13: Enhancing Democratic Governance Advocacy and Communication</i>		0.073		44%
<b>DGG Total</b>			<b>6.350</b>	<b>2.290</b>	<b>8.640</b>	<b>73%</b>

\*Italics indicate that the project was co-financed with non-core funds

Table 12 (cont-d)

Practice/ Department	Project Number	Project Title	Core	Non Core	TOTAL	% Core of TOTAL Expenditure
<b>CDG</b>	11376*	<i>Public Private Partnership &amp; Urban Environment</i>		1.819	2.070	12%
	31648	RTC Finalization & Dissemination				100%
	33340	CDG Knowledge Management				100%
	34392	MDG Focused PPP Initiative				100%
	34871	<i>Mainstreaming Capacity</i>	0.085	0.447		16%
	38814	C2015 Operationalizing the MDGs				100%
	43398	Capacity Development Innovation				100%
	50520	<i>AID Effectiveness/ National Capacity</i>	0.050	0.056		89%
	50899	<i>Support to Capacity 2015 Regional Initiatives</i>		0.617	1.340	54%
	55691	<i>Capacity Development Strategies</i>	0.300	0.071		81%
<b>CDG Total</b>			<b>2.100</b>	<b>3.010</b>	<b>5.050</b>	<b>42%</b>
<b>Cross Practice</b>	42880	MDG Manual				100%
	44006	<i>Intellectual Property &amp; Access to Drugs</i>	0.820	0.023		97%
	44173	<i>Procurement Capacity Building</i>		0.038		91%
	45258	Capacity Diagnostics for Human Development				100%
	45677	Localisation of the Millennium Development Goals				100%
	46009	Facilitating Private Sector Capacity				100%
	46446	<i>HIV/AIDS and Women's Inheritance</i>		0.075		71%
	47062	Land Rights Empowerment for Democratic Governance				100%
	50520	<i>Aid Effectiveness/ National Capacity</i>		0.456	0.930	51%
	52687	Global Initiative on Gearing Macroeconomic Policies to Reverse the HIV/AIDS Epidemic				100%
	55691	Capacity Development Strategies	0.400		0.400	100%
	58283	Women's Political Participation	0.100		0.100	100%
	58284	Government Accountability	0.100		0.100	100%
	58285	Democratic Governance Assessment	0.100		0.100	100%
<b>Cross Practice Total</b>			<b>4.520</b>	<b>0.590</b>	<b>5.110</b>	<b>88%</b>
<b>HIV/AIDS</b>	11442	HIV/AIDS Leadership Capacity And Expertise Building				100%
	46453	HIV/AIDS Building Capacity for An Intensified Response				100%
	50687	<i>HIV/AIDS 2006/7 Arab States</i>		1.830	1.830	0%
	50691	<i>HIV/AIDS 2006/7 Headquarters</i>	1.060	2.800	3.860	27%
	50895	HIV/AIDS 2006/7 GCF Funding	0.855		0.850	100%
<b>HIV/AIDS Total</b>			<b>2.930</b>	<b>4.630</b>	<b>7.560</b>	<b>38%</b>

\*Italics indicate that the project was co-financed with non-core funds

Table 12 (cont-d)

Practice/ Department	Project Number	Project Title	Core	Non Core	TOTAL	% Core of TOTAL Expenditure
<b>EEG</b>	11383	Sustainable Energy Global Programme				100%
	11398	Technical Advisory Group for Environment	0.095		0.095	100%
	11416*	<i>Poverty and Environment Initiative</i>		1.940	1.940	7%
	11431	<i>Environment Global Programme</i>	0.880	0.637	1.520	58%
	42416	Dryland Development Centre Management	3.160		3.160	100%
	44773	Dryland Adjustments for Record				100%
	46582	<i>MDG Carbon Facility</i>	0.015	1.010	1.025	1%
	46738	<i>Water Governance Facility</i>		0.476	0.855	44%
	47423	<i>GLO/SGP/OP3</i>		10.760	10.810	0%
	50584	<i>EEG Knowledge Management</i>		0.043		76%
	50586	Framework and Strategy for Sustainable Development				100%
	50588	Effective Water Governance				100%
	50589	Access to Energy Services				100%
	50590	Biodiversity	0.040		0.040	100%
	50591	Sound Management of Chemicals				100%
	50593	CLIMATE CHANGE				100%
	50773	<i>UNDP Equator Initiative 2006</i>		1.110	1.310	15%
	56240	<i>GCF Environment and Energy Group</i>		0.079	1.070	93%
<b>EEG Total</b>			<b>6.910</b>	<b>16.060</b>	<b>22.830</b>	<b>30%</b>
<b>Gender</b>	11395	Gender Mainstreaming	0.240		0.240	100%
	36955	Gender Knowledge Product Development				100%
	50729	Gender Mainstreaming	0.030		0.030	100%
	53167	Support to the Implementation of the Gender Action Plan				100%
	55167	<i>Developing the UNDP Gender Equality</i>		0.647		10%
	57463	Gender Team CPR/EE Implementation	0.065		0.065	100%
	57465	<i>Gender Team CD Implementation</i>		0.036		92%
<b>Gender Total</b>			<b>1.220</b>	<b>0.680</b>	<b>1.900</b>	<b>64%</b>

\*Italics indicate that the project was co-financed with non-core funds

Table 12 (cont-d)

Practice/ Department	Project Number	Project Title	Core	Non Core	TOTAL	% Core of TOTAL Expenditure
Poverty & MDGs	11363*	<i>Trade and Sustainable Human Development</i>	0.090	0.017	0.107	84%
	11381	Globalization Trade Liberalization & Sustainable Human Development	0.081		0.081	100%
	11396	Promoting Social Policy Dialogue	0.120		0.120	100%
	11414	Djibouti Integrated Framework	0.006		0.006	100%
	11417	<i>UNDP Support to WSIS</i>	0.081	0.093	0.174	47%
	11433	Support to Poverty Reduction	0.103		0.103	100%
	11440	Policy Advice for Economic Alternatives	0.025		0.025	100%
	36346	Integrated Framework Support Project	0.243		0.243	100%
	36642	Operationalizing Human Rights	0.0004		0.0004	100%
	36954	Towards Debt Sustainability	0.025		0.025	100%
	38031	Strengthening Developing Country Competitiveness	1.030		1.030	100%
	38347	<i>Policy Tools to support ICT for Development</i>	0.0008	0.391	0.392	0%
	39163	<i>Making Infrastructure Work</i>	0.100	0.177	0.271	37%
	39189	GLO/04/P01 Pro-Poor Growth and Policies	0.001		0.001	100%
	39394	Promoting Employment for the Poor	0.102		0.102	100%
	39594	Integrated Approaches to MDGs	0.055		0.055	100%
	46066	<i>International Poverty Centre Brasilia</i>	2.670	0.584	3.250	82%
	46587	Monetization of KST Chief	0.084		0.084	100%
	47557	MDG Support	0.071		0.071	100%
	50047	MDG-based Poverty Reduction	0.425		0.425	100%
	50898	Engaging Government & Civil Society	0.251		0.251	100%
	51147	National Development Strategies	0.025		0.025	100%
	51606	Fiscal Space	0.086		0.086	100%
	52597	Workshop on Systemic Commodity	0.050		0.050	100%
	54273	<i>MDG Support</i>	2.500	0.465	2.960	84%
	55666	Market, the State and the Dynamic Economy	0.200		0.200	100%
	55921	Civil Society's Role in Poverty	0.100		0.100	100%
	56217	Operationalizing Fiscal Space	0.160		0.160	100%
	56566	Legal Empowerment of the Poor	0.279		0.279	100%
	56582	Use of ICT to Support the Achievements of the MDGs	0.069		0.069	100%
	57535	PG Intellectual Property, Trade and Biodiversity	0.075		0.075	100%
	57638	External Drivers of Development	0.200		0.200	100%
58407	SPPR Cluster Support	0.255		0.255	100%	
<b>Poverty &amp; MDGs Total</b>			<b>9.560</b>	<b>1.730</b>	<b>11.280</b>	<b>85%</b>
<b>GRAND TOTAL</b>			<b>81.120</b>	<b>28.990</b>	<b>109.900</b>	<b>74%</b>

\**Italics indicate* that the project was co-financed with non-core funds

Note: DGG indicated Democratic Governance Group; CDG, Capital Development Group; EEG, Energy and Environment Group; MDG, Millennium Development Goal.

Source: BDP provided datasets: 1. Global Programme Projects 2005-2007 VI.3 & IV. BDP project list all source of funding. 2005-2006 expenditure data; 2007 budget data.

**Table 13. Global Programme Funded Staff by Funding Source**

Department	Global Programme Staff <sup>1</sup>		Global Programme Policy Advisors <sup>2</sup>		Extra Budgetary <sup>3</sup>	Total
	Field	New York	Field	New York	New York	
Directorate		1				1
Programme Support Unit		1			4	5
Human Resources					1	1
Knowledge Services Team		11				11
SURF	8					8
<b>Practice Areas</b>						
Democratic Governance	6 <sup>4</sup>	1	19	8	1	35
Energy & Environment	5 <sup>5</sup>	1	8	5	1	20
Poverty Reduction	6 <sup>6</sup>	22 <sup>7</sup>	19	6		53
HIV/AIDS		1	2	1		4
Cross Cutting	4	2				6
Capacity Development	4	2			1	7
Gender			4	1		5
<b>SUBTOTAL</b>	<b>33</b>	<b>42</b>	<b>52</b>	<b>21</b>	<b>8</b>	<b>156</b>
<b>Subtotal Field = 84</b>						
<b>Subtotal New York = 52</b>						
<b>TOTAL STAFF FUNDED BY GLOBAL PROGRAMME = 156</b>						

1. Referred to as "Glo Non 75" by BDP; funding from the global projects.

2. Referred to as "Glo 75" by BDP; funding from the policy advisory project 11365.

3. Extra Budgetary Income generated from the 5% Direct Execution fee charged to the global projects.

4. Includes 6 staff at Oslo Governance Centre.

5. Includes 4 staff at the Drylands Development Centre.

6. Includes 4 staff at the International Poverty Centre.

7. Includes 21 staff in the MDG section.

**Table 14. Number of Planned Policy Specialists by Region and Practice Area**

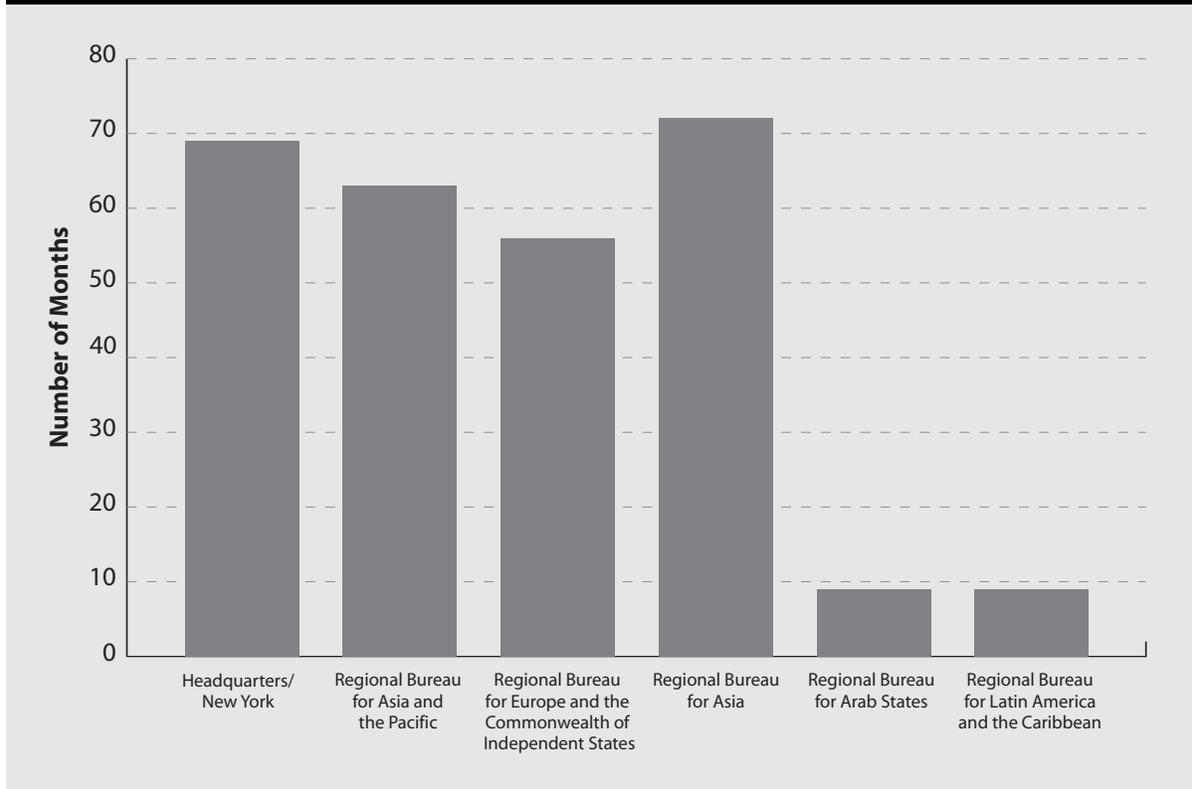
Practice Areas	HQ	RBA	RBAP	RBAS	RBEC	RBLAC	TOTAL
Capacity Development	2	0	0	0	0	0	2
Democratic Governance	8	6	3	2	3	5	27
Environment & Energy	5	3	2	1	0	2	13
Gender	1	2	1	1	0	0	5
HIV/AIDS	1	1	1	0	0	0	3
Poverty Group	8	7	4	2	3	1	25
<b>TOTAL</b>	<b>25</b>	<b>19</b>	<b>11</b>	<b>6</b>	<b>6</b>	<b>8</b>	<b>75</b>

HQ indicates Headquarters; RBA, Regional Bureau for Africa; RBAP, Regional Bureau for Asia & the Pacific; RBAS, Regional Bureau for Arab States; RBEC, Regional Bureau for Europe and the Commonwealth of Independent States; RBLAC, Regional Bureau for Latin America and the Caribbean.

**Table 15. Policy Specialist Post Vacancy Months**

Region	Number of Months	Number of Posts
Headquarters/New York	69	6
Regional Bureau for Asia & the Pacific	63	5
Regional Bureau for Europe and the Commonwealth of Independent States	56	3
Regional Bureau for Africa	72	5
Regional Bureau for Arab States	9	1
Regional Bureau for Latin America and the Caribbean	9	1
<b>TOTAL</b>	<b>278</b>	<b>21</b>

**Figure 5. Total Vacancy Months for Policy Specialist Posts by Region During the GCF-III Period (2005–2007)**





# ANALYSIS OF TARGETED SURVEYS

This annex contains the summary results of the surveys of the policy advisors/specialists and of Resident Representatives. It is organized as follows:

- Summary of the Survey of Policy Advisors/Specialists
- Summary of the Survey of Resident Representatives
- Survey Questions and Responses: Policy Advisors/Specialists
- Survey Questions and Responses: Resident Representatives

## SUMMARY OF THE SURVEY OF POLICY ADVISORS/SPECIALISTS

### INTRODUCTION

#### Purpose

The GCF-III funds “a global network of 75 policy specialists—50 of whom are based in the field in Subregional Resource Facilities (SURFs) and regional service centres (RSCs) and 25 at headquarters—covering the 24 service lines under MYFF [Multi-Year Funding Framework].”<sup>1</sup> A survey was undertaken to obtain the viewpoints of the Policy Advisors on the following issues: 1) General characteristics, 2) Reporting and accountability, 3) Nature of the services provided, and 4) Views on the GCF-IV. The questionnaire contained 63 questions and was deployed through the internet-based Zoomerang service. This summary report explores the question: “Are the experiences of headquarter (HQ) and field-based Policy Advisors different?”

#### Response Rate

The survey was sent to 70 current and former Policy Advisors out of whom 36 (51 percent) responded. Two reminders were sent. There was fairly even regional and practice area distribution (especially between Headquarters-based and field-based Policy Advisors). However, there were no respondents from the Capacity Development or HIV/AIDS groups, leaving gaps of data for these two practice areas. Potential biases may have arisen because respondents may be more familiar with the global programme than those who did not respond. Although the response rate was not optimal, the results can be generalized to the population of Policy Advisors as there was good regional distribution.

### SUMMARY OF FINDINGS

#### General Characteristics of Respondents

Approximately 70 percent of respondents had been a Policy Advisor during the GCF-III period—and almost half of all respondents had been a Policy Advisor for even longer. The majority of respondents are at the L5 position level (56 percent, n=20/36), however, regional differences exist. Headquarters-based Policy Advisors were more likely to be a L5 or higher position than field-based Policy Advisors. 69 percent of all respondents are male, while 31 percent are female. However, 45 percent of Headquarters-based respondents are female, while only 26 percent of field-based respondents are female. In general, respondents at Headquarters and in the field are satisfied with their job: 94 percent would renew their contract. Professional experience rated higher than personal experience: respondents enjoy the

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1. The MYFF development drivers provide the principles by which to frame the qualitative contribution of UNDP programming efforts at all levels.

intellectual stimulation but the management arrangements and burdensome reporting requirements challenge work-life balance.

### **Reporting and Accountability**

Field-based Policy Advisors are three times more likely than Headquarters-based Policy Advisors to report “fair” or “poor” clarity of their reporting relationships. All Headquarters-based respondents report to the BDP Practice leader, while the field-based Policy Advisors gave a variety of responses from BDP Practice leader to RSC leader or SURF chief. However, when asked “Who should be your supervisor?”, 47 percent of respondents from the field noted that they think the practice leader should be their direct supervisor. The majority (75 percent) of all respondents (both Headquarters and field) claim the country office (CO) (thus the National Government) is their main client.

### **Nature of Services Provided**

Almost half of all field-based respondents spend 16 weeks or more on mission, while only one Headquarters-based respondent fit into this category. Field-based respondents spend more time supporting CO national counterparts than Headquarters-based Policy Advisors: 42 percent of field-based respondents spend “most of the time” supporting CO counterparts and no Headquarters-based Policy Advisors responded similarly.

About half of all respondents are involved with the GCF-III-funded global projects. However, there is wide variation between Headquarters and the field: 91 percent of Headquarters-based Policy Advisors are involved with global projects compared with only 38 percent of field-based Policy Advisors. Approximately 30 percent of respondents rated the quality and effectiveness of global projects as “excellent” and 25 percent responded that the global projects are “fair”.

However, knowledge products are highly regarded by the respondents, with the quality ranking higher than the utility: 91 percent of all

respondents rated the quality of knowledge products as either “excellent” or “good” while 72 percent rated the utility as either “excellent” or “good”, while the “fair” and “poor” categories were dominated by field-based Policy Advisor respondents. Practice-level analysis demonstrates that Policy Advisors tend to be more active in their respective practice area knowledge network than any of the other networks. However, the majority of Policy Advisors rated involvement in their own knowledge network as only “somewhat active”. The vast majority (71 percent) of respondents rate the usefulness of the knowledge networks as “excellent” or “good”.

### **Wider Views and Views on the GCF-IV**

On the whole, 60 percent of respondents rated the quality and effectiveness of the GCF-III as “excellent” or “good” and 85 percent responded that the GCF-III “certainly” or “somewhat” positioned UNDP as a knowledge-based organization and major upstream policy advisor on global issues. The main theme throughout the commentary was the unsatisfactory management arrangements. Ranging from lack of leadership to frequent institutional change, Policy Advisors at both Headquarters and in the field see management issues as the main challenge and constraint affecting the success of the Policy Advisors’ work. The field-based Policy Advisors were very vocal about the time constraints they are faced with while trying to meet the demands of the country offices and satisfy regional and global requirements and the lack of support between the Headquarters and the field.

When asked, “What are the major impacts of your work?”, Headquarters-based Policy Advisors focused on the impact of their work on the global level: positioning UNDP as a key player within their respective field (trade, rule of law, environment, gender, etc.). On the other hand, field-based Policy Advisors focused on the impact of their work at the local level: positioning UNDP as a trusted player at the local and regional level by building capacity and/or increasing knowledge of the national government via the CO.

## CONCLUSIONS

The survey analysis demonstrated that there are differences (although not tested to be statistically significant) between the Headquarters-based and field-based Policy Advisors. The differences center on the management arrangements and the nature of services provided. Although both Headquarters and field-based Policy Advisors claim the CO (and, by implication, the programme country government) to be their main client—the field-based Policy Advisors report more time spent providing direct CO support than the Headquarters-based Policy Advisors. Additionally, field-based Policy Advisors report the impact of their work to be at the CO level, while the Headquarters-based Policy Advisors report the impact of their work to be at a more global or institutional level. Although no differences between the global and field-based Policy Advisors are stipulated in the programme document,<sup>2</sup> one may conclude that the role of the Policy Advisor varies between Headquarters and the field. However, although not the case in every practice area or in every region, by and large, the field-based Policy Advisors do not obtain the level of support they would wish to receive from Headquarters.

## SUMMARY OF THE SURVEY OF RESIDENT REPRESENTATIVES

### INTRODUCTION

#### Purpose

The survey was designed to gauge the performance of the GCF-III from the perspective of Resident Representatives and Country Directors. An important objective of the survey was to understand the responsiveness of the GCF-III to country office demand, as generated through the GCF-III modalities of delivery.

#### Response Rate

The survey was sent to 146 Resident Representatives (RRs)/Resident Coordinators (RCs) and Country

Directors (CDs) from 119 countries and 2 regional centres. A total of 33 responses were received representing a fairly low (23 percent) response rate. However, there is fairly good regional representation—with the Regional Bureau for Arab States (RBAS) and Regional Bureau Africa (RBA) somewhat under-represented. The low number of respondents per region does not allow for a meaningful regional analysis, and generalizations to the wider RR/RC/CD population must be drawn with caution. An additional limitation is self-selection bias: i. e. respondents may be more aware of the GCF-III than non-respondents. Additionally, as it is not possible to determine which countries responded, some may have been involved with the evaluation through the country missions and are thus more knowledgeable about the GCF-III.

### SUMMARY OF FINDINGS

#### Objectives, Principles and Rationale of the Current Global Programme

When viewed as a whole, the majority (77 percent) of respondents stated that the GCF-III, “to some” or “to a small extent”, reached its objectives, principles and rationale. The majority of respondents (62 percent) stated that the GCF-III only “to a small extent” has developed and promoted innovative approaches in addressing development challenges that were applied in their country. Similarly, 50 percent (n=16) of respondents stated that the GCF-III, only “to a small extent”, increased opportunities for South-South cooperation and facilitated the exchange of South-South expertise.

These results indicate that either the respondents are not aware of the achievements of the GCF-III (“don’t know” was not an option) or that they feel that the GCF-III has not reached its objectives, principles and rationale as stipulated in the GCF-III programme document. A common theme was the difficulty attributing results directly to the GCF-III. However, as one respondent noted, the fact that one cannot

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2. Global Programme Document Section VI, p. 16.

identify results specific to the GCF-III may demonstrate that it has been fully streamlined, which is a positive trend. However, this also poses challenges in identifying accountability and assessing achievements.

### **The GCF-III Modalities of Delivery**

**Performance of Policy Advisors.** Overall, the GCF-III Policy Advisory services were reported as not in high demand: 58 percent responded that the services are either “not very important” or “not important”. However, when asked how important providing policy advice was to the work of the CO over the GCF-III period, 58 percent responded either “very important” or “somewhat important”. Conversely, comparative research referrals, mutual support initiatives, research and analysis, and resource mobilization ranked low in demand, which may potentially demonstrate the demand for very specific services instead of the broad range made available to the CO. Between 61-67 percent of respondents demand policy advisory services from the Environment and Energy Group (EEG), Democratic Governance Group (DGG), and Poverty/Millennium Development Goal (MDG) Group and between 41-47 percent of respondents demand policy advisory services from Gender, HIV/AIDS and the Capacity Development Group (CDG).

**Global Projects.** About half of the respondents reported that they are familiar, “to some extent”, with the global projects. However, the majority responded that the global projects only “to a small extent” made a direct contribution to country development results. The global projects did not draw upon the country experiences of the majority of respondents: approximately 72 percent of respondents’ countries were not involved in the global projects as a case study and 77 percent responded that there has never been a global project pilot initiative in their country. However, at least one respondent from each region was represented for those projects where the CO was involved as a case study or pilot initiative. Although a few RR/RC/CD’s reported that the projects draw upon their country experience, it

may be concluded that the global projects are not, “to a great extent”, reaching or drawing from the country level.

**Knowledge Management and Knowledge Products.** The majority (74 percent) either “strongly agrees” or “agrees” that the global programme knowledge networks and communities of practice have been important mechanisms for knowledge sharing. In particular, the knowledge networks are regarded highly: 79 percent of respondents either strongly agree or agree that the networks have been important mechanisms for the exchange and sharing of knowledge. On the other hand, many stated that the knowledge products are not responding to the needs at the country level as indicated by the split response between the categories. The thematic centres (Oslo Governance Centre [OGC], International Poverty Centre [IPC] and Drylands Development Centre [DDC]) knowledge products received the lowest scores in terms of usefulness.

**The GCF-III Governance and Management.** The respondents were split almost 50/50 regarding whether their respective RSC/SURF meets the demands of the country offices in a cost-effective manner through the provision of services and support of the GCF-III-funded policy advisors. The majority (90 percent) of respondents would like to have a range of internal and external options in acquiring Policy Advisor services and support (n=30/33 fell in the “agree” or “strongly agree” categories). Additionally, 68 percent of respondents “disagree” or “strongly disagree” that the allocation and management of policy advisor resources is a good reflection of demand. Around 62 percent of respondents rated the overall performance of the RSC/SURF Policy Advisors as “acceptable” or “poor”. Approximately 62 percent of respondents either “disagreed” or “strongly disagreed” that the current matrix management system between BDP and the regional bureaux is effective and the commentary received in this section stressed the perceived ineffectiveness of the matrix management system. Regarding BDP management of the GCF-III, respondents did not

believe that the GCF-III has been open, transparent and accountable (65 percent, n=19/29 disagreed that it was transparent). However, respondents agree that the GCF-III should be centrally managed by BDP (65 percent). Additionally, the vast majority (84 percent) of respondents agree that BDP should continue to lead and manage the UNDP knowledge management function.

**The GCF-III IV Formulation.** The majority believe that the GCF-III should continue to support: positioning UNDP as a global leader in development policy, UNDP-wide practice coherence, UNDP regional centres, development innovation, development policy research and development and backstopping support to the COs. However, respondents were split almost 50/50 regarding whether to support UNDP-wide organizational change and staffing support to BDP. The majority of respondents “agree” or “strongly agree” that the GCF-IV should continue regional and global knowledge networks and develop corporate and country-specific knowledge products. The general comments received on the suggested direction of the GCF-IV were varied. Some respondents suggested working in areas of UNDP comparative advantage, highlighting priority thematic areas such as climate change and poverty reduction, while others focused on operational mechanisms, such as the need for direct country office funding and support.

## CONCLUSION

Based on the survey results, respondents of this survey felt the GCF-III had not achieved the objective of responding to country-level demand. The survey illustrates the lack of ability of the GCF-III to leverage country office experience and the generally poor knowledge or clarity regarding the GCF-III activities. Knowledge management emerged as one of the more successful areas of the GCF-III, particularly the knowledge networks, and as a priority area for the GCF-IV. In general, the respondents stated that the current objectives and principles should remain. However improvements in the operationalization of the global programme are necessary.

## SURVEY QUESTIONS AND RESPONSES: POLICY ADVISORS/SPECIALISTS

Note that numbers may not add up due to rounding.

### GENERAL

1. Location		
Bangkok RSC	5	14%
Beirut SURF	6	17%
Bratislava RSC	3	9%
Colombo RSC	3	9%
Dakar RSC	2	6%
Johannesburg RSC	2	6%
New York	11	31%
Panama SURF	3	9%
Port of Spain SURF	0	0%
<b>Total</b>	<b>35</b>	<b>100%</b>

2. Practice Area		
Poverty/MDG	13	36%
Governance	13	36%
Environment & Energy	7	19%
HIV/AIDS	0	0%
Gender	3	8%
Capacity development	0	0%
Other, please specify	0	0%
<b>Total</b>	<b>36</b>	<b>100%</b>

3. Position Level		
L3	0	0%
L4	11	31%
L5	20	56%
L6	3	8%
Other, please specify	2	6%
<b>Total</b>	<b>36</b>	<b>100%</b>

4. How long have you been, or were you, a Policy Advisor?		
< 1yrs	3	8%
1 to 2 yrs	2	6%
2 to 3 yrs	6	17%
3 to 4 yrs	8	22%
> 5 yrs	17	47%
<b>Total</b>	<b>36</b>	<b>100%</b>

5. Sex		
Male	24	69%
Female	11	31%
<b>Total</b>	<b>35</b>	<b>100%</b>

6. Age		
Below 30	0	0%
30-39	8	22%
40-49	13	36%
50 and above	15	42%
<b>Total</b>	<b>36</b>	<b>100%</b>

7. Family		
With Family	28	78%
Without Family	8	22%
<b>Total</b>	<b>36</b>	<b>100%</b>

8. Would you accept an offer to extend or renew your contract?		
Yes	33	94%
No	2	6%
<b>Total</b>	<b>35</b>	<b>100%</b>

9. Overall, how would you rate your own professional experience as a Policy Advisor (i.e. in terms of developing and applying your professional expertise)?		
Excellent	17	47%
Good	15	42%
Fair	4	11%
Poor	0	0%
<b>Total</b>	<b>36</b>	<b>100%</b>
<b>10. If you have any additional comments on the question above, please provide them here.</b>		
18 Responses		

11. Overall, how would you rate your 'personal' experience working as a Policy Advisor (i.e. in terms of developing new relationships, enjoying the work, general learning experience, work-life balance)?		
Excellent	7	19%
Good	19	53%
Fair	8	22%
Poor	2	6%
<b>Total</b>	<b>36</b>	<b>100%</b>
<b>12. If you have any additional comments on the question above, please provide them here.</b>		
20 Responses		

13. In your role as a Policy Advisor, how would you rate, in general terms, your contribution to or impact on:				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Excellent	Good	Fair	Poor
BDP	10	17	8	1
	28%	47%	22%	3%
Regional Service Centre or SURF	13	14	8	0
	37%	40%	23%	0%
Country Offices	13	14	8	1
	36%	39%	22%	3%
Corporate UNDP	7	14	14	1
	19%	39%	39%	3%
National Governments	8	17	7	4
	22%	47%	19%	11%
<b>14. If you have any additional comments on the question above, please provide them here.</b>				
16 Responses				

<b>15. How important do you consider the following skills to be for the work that you do?</b>				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>Very Important</b>	<b>Important</b>	<b>Somewhat Important</b>	<b>Not Important</b>
Specialist or Technical Skills in Your Practice Area	27	8	1	0
	75%	22%	3%	0%
Communication (verbal)	19	17	0	0
	53%	47%	0%	0%
Communication (written)	24	11	1	0
	67%	31%	3%	0%
Ability to Work in Teams	17	15	4	0
	47%	42%	11%	0%
Adaptability	20	15	1	0
	56%	42%	3%	0%
Flexibility	17	17	2	0
	47%	47%	6%	0%
Pro-active, responsive	22	14	0	0
	61%	39%	0%	0%
Networking	20	11	4	0
	57%	31%	11%	0%
Team Management	6	22	7	0
	17%	63%	20%	0%
Programme Management	7	18	9	1
	20%	51%	26%	3%
<b>16. If you have any additional comments on the question above, please provide them here.</b>				
6 Responses				

<b>17. Are you interested in a long-term career in UNDP?</b>		
Yes	30	83%
No	6	17%
<b>Total</b>	<b>36</b>	<b>100%</b>
<b>18. If 'Yes', are you interested in moving out of the Policy Advisor position?</b>		
Yes	17	61%
No	11	39%
<b>Total</b>	<b>28</b>	<b>100%</b>

<b>19. Overall, how would you rate your satisfaction with your job?</b>		
Very satisfied	16	46%
Somewhat satisfied	16	46%
Not very satisfied	3	9%
Not satisfied	0	6%
<b>Total</b>	<b>35</b>	<b>0%</b>
<b>20. If you have any additional comments on the question above, please provide them here.</b>		
7 Responses		

## REPORTING AND ACCOUNTABILITY

21. Who is your immediate supervisor?		
RSC Director	8	22%
SURF Chief	4	11%
BDP Practice Director	15	42%
Regional Bureau Director	0	0%
Other, please specify	9	25%
<b>Total</b>	<b>36</b>	<b>100%</b>

22. Who do you think should be your immediate supervisor?
29 Responses

25. Who do you consider to be your major client?		
Country Office	23	64%
National Government of countries served	5	14%
Corporate UNDP	1	3%
BDP	0	0%
RSC	0	0%
Regional Bureau	0	0%
Other, please specify	7	19%
<b>Total</b>	<b>36</b>	<b>100%</b>

23. How would you rate the clarity of your reporting relationships?		
Excellent	9	26%
Good	18	51%
Fair	3	9%
Poor	5	14%
<b>Total</b>	<b>35</b>	<b>100%</b>

24. If you have any additional comments on the question above, please provide them here.
15 Responses

## NATURE OF THE SERVICES THAT YOU PROVIDE

26. What percentage of your time do you work in teams as opposed to on your own										
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	>90
Team	3	3	10	5	2	3	6	4	0	0
	8%	8%	28%	14%	6%	8%	17%	11%	0%	0%

27. For the time that you spend in teams, how much of your time do you spend on:					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	All of the time	Most of the time	Half of the time	Some of the time	None of the time
Your Practice Teams	3	10	10	13	0
	8%	28%	28%	36%	0%
Cross-practice Teams	0	3	2	29	2
	0%	8%	6%	81%	6%
Other Types of Teams (e.g. country office)	1	7	12	15	0
	3%	20%	34%	43%	0%

<b>28. How much of your time do you spend supporting:</b>					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>All of the time</b>	<b>Most of the time</b>	<b>Half of the time</b>	<b>Some of the time</b>	<b>None of the time</b>
Country Office National Counterparts	1	11	6	14	4
	3%	31%	17%	39%	11%
Internal Country Office Staff and Processes	2	5	4	16	7
	6%	15%	12%	47%	21%
Regional Service Centres/SURFs	1	3	4	25	0
	3%	9%	12%	76%	0%
BDP	1	3	6	24	0
	3%	9%	18%	71%	0%
Regional Bureau	1	3	4	24	2
	3%	9%	12%	71%	6%
Corporate UNDP	2	5	3	19	6
	6%	14%	9%	54%	17%
<b>29. If you have any additional comments on the question above, please provide them here.</b>					
9 Responses					

<b>30. How much of your time do you spend on the following services?</b>					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>All of the time</b>	<b>Most of the time</b>	<b>Half of the time</b>	<b>Some of the time</b>	<b>None of the time</b>
Policy Advice	3	16	8	9	0
	8%	44%	22%	25%	0%
Referral Services	0	3	4	26	3
	0%	8%	11%	72%	8%
Technical Support Services	1	8	3	22	1
	3%	23%	9%	63%	3%
Programme and Project Development	0	6	6	24	0
	0%	17%	17%	67%	0%
Support to UN Coordination	0	3	4	24	5
	0%	8%	11%	67%	14%
Knowledge Management	0	5	10	21	0
	0%	14%	28%	58%	0%
Monitoring and Reporting	0	5	1	29	1
	0%	14%	3%	81%	3%
Training and Capacity Building	0	6	6	22	1
	0%	17%	17%	63%	3%
Research and Analysis	0	6	7	22	0
	0%	17%	20%	63%	0%
<b>31. If you have any additional comments on the question above, please provide them here.</b>					
8 Responses					

**32. On average, how many hours over and above the regular work week (37.5 hrs) do you work?**

0	0	0%
<5	1	3%
5-10	11	31%
11-15	11	31%
16-20	8	23%
>20	4	11%
<b>Total</b>	<b>35</b>	<b>100%</b>

**33. If you have any additional comments on the question above, please provide them here.**

11 Responses

**34. Over the past year, approximately how many weeks did you spend on mission?**

0	0	0%
<5	5	14%
5-10	8	23%
11-15	10	29%
16-20	5	14%
>20	7	20%
<b>Total</b>	<b>35</b>	<b>100%</b>

**35. If you have any additional comments on the question above, please provide them here.**

6 Responses

**36. Ideally, what percentage of your time should you spend on mission as opposed to in your duty station?**

Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<10	11-20	21-30	31-40	41-50	51-60	61-70	71-80	81-90	> 90%
Missions	1	4	11	10	5	3	1	1	0	0
	3%	11%	31%	28%	14%	8%	3%	3%	0%	0%

**37. If you have any additional comments on the question above, please provide them here.**

7 Responses

**38. Which are the main countries that you support (missions and desk services) in priority order?**

31 Responses

**39. How many countries do you support (missions and desk services) per year?**

35 Responses

**40. In your opinion, what is the optimum number of countries that you should support (missions and desk services) per year?**

32 Responses

<b>41. Are you involved in the implementation of activities funded by one of the (GCF-III) global projects?</b>		
Yes	20	56%
No	16	44%
<b>Total</b>	<b>36</b>	<b>100%</b>

<b>44. Are you involved in the implementation of activities funded by a Thematic Trust Fund?</b>		
Yes	23	66%
No	12	34%
<b>Total</b>	<b>35</b>	<b>100%</b>

<b>42. How do you rate the quality and effectiveness of the global projects in your practice area?</b>		
Excellent	10	31%
Good	12	38%
Fair	8	25%
Poor	2	6%
<b>Total</b>	<b>32</b>	<b>100%</b>

<b>45. How do you rate the quality and effectiveness of the TTF funded activities in your practice area?</b>		
Excellent	12	38%
Good	13	41%
Fair	5	16%
Poor	2	6%
<b>Total</b>	<b>32</b>	<b>100%</b>

**43. If you have any additional comments on the question above, please provide them here.**  
11 Responses

**46. If you have any additional comments on the question above, please provide them here.**  
13 Responses

**47. Which are the most important 1-3 knowledge products you have contributed to?**  
33 Responses

<b>48. How do you rate the quality and utility of the knowledge products in your practice area?</b>				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>Excellent</b>	<b>Good</b>	<b>Fair</b>	<b>Poor</b>
Quality	12	21	3	0
	33%	58%	8%	0%
Utility	8	18	8	2
	22%	50%	22%	6%

**49. If you have any additional comments on the question above, please provide them here.**  
10 Responses

<b>50. How would you rate your level of activity in the following knowledge networks and practice communities (i.e. in terms of reading and responding to the e-mails)? (Main Practice and Cross-cutting Area Networks)</b>				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>Active</b>	<b>Somewhat active</b>	<b>Not very active</b>	<b>Not active</b>
Democratic Governance Practice Network (DGP Net)	6	6	14	7
	18%	18%	42%	21%
Poverty Reduction Practice Network (PR Net)	3	16	8	6
	9%	48%	24%	18%
Energy and Environment Practice Network (EE Net)	3	3	7	19
	9%	9%	22%	59%
HIV/AIDS Practice Network	0	2	5	24
	0%	6%	16%	77%
Capacity Development Network (Capacity Net)	1	5	11	14
	3%	16%	35%	45%
Gender Equality Network (Gender Net)	2	8	10	11
	6%	26%	32%	35%
Prevention and Recovery Practice Network (CPRPNet)	3	3	11	16
	9%	9%	33%	48%
<b>51. If you have any additional comments on the question above, please provide them here.</b>				
5 Responses				

<b>52. Other Networks</b>				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>Active</b>	<b>Somewhat active</b>	<b>Not very active</b>	<b>Not active</b>
Evaluation Network (EvalNet)	1	3	5	21
	3%	10%	17%	70%
Management Practice Network (MPN)	2	2	10	17
	6%	6%	32%	55%
Millenium Development Goals Network (MDG-net)	3	9	7	11
	10%	30%	23%	37%
Human Rights Network (HuriTALK)	3	4	2	20
	10%	14%	7%	69%
Decentralization, local governance and urban/rural development (DLGUD)	3	9	11	10
	9%	27%	33%	30%
HDR Statistics Network	2	3	4	20
	7%	10%	14%	69%
Information and Communications Technology for Development Network (ICTD Net)	1	1	5	20
	4%	4%	19%	74%
Small Enterprise and Micro-Finance Network (SEMFNet)	2	2	2	24
	7%	7%	7%	80%
<b>53. If you have any additional comments on the question above, please provide them here.</b>				
6 Responses				

<b>54. How would you rate the usefulness of these networks?</b>		
Excellent	7	20%
Good	18	51%
Fair	9	26%
Poor	1	3%
<b>Total</b>	<b>35</b>	<b>100%</b>

<b>55. What percentage of your time do you spend accessing/inputting to these networks?</b>		
<10	24	67%
11-20	11	31%
21-30	1	3%
31-40	0	0%
>40	0	0%
<b>Total</b>	<b>36</b>	<b>100%</b>

## WIDER ISSUES

**56. Describe one activity or support service that you consider to have been highly successful, and why (please indicate where we might obtain further information)?**

34 Responses

**57. What do you consider to be the major 'impacts' of your work?**

34 Responses

**58. What are the main constraints affecting the success of your work?**

34 Responses

**59. How do you rate the quality and effectiveness of the Third Global Cooperation Framework (2005-07) as a whole?**

Excellent	6	18%
Good	14	42%
Fair	13	39%
Poor	0	0%
<b>Total</b>	<b>33</b>	<b>100%</b>

**43. If you have any additional comments on the question above, please provide them here.**

11 Responses

**61. Has the GCF-III sufficiently contributed to positioning UNDP as a knowledge-based organization and major upstream policy advisor on global issues?**

Yes, certainly	14	41%
Yes, somewhat	15	44%
No, not much	4	12%
No, not at all	1	3%
<b>Total</b>	<b>34</b>	<b>100%</b>

**62. If you have any additional comments on the question above, please provide them here.**

8 Responses

**63. Are there any other comments, suggestions or advice that you would like to provide on the design of a Fourth Global Cooperation Framework (GCF-IV) and/or the role of the Policy Advisor in the GCF-IV?**

16 Responses

## SURVEY QUESTIONS AND RESPONSES: RESIDENT REPRESENTATIVES/COUNTRY DIRECTORS

### VIEWS ON OVERALL RELEVANCE OF THE GLOBAL PROGRAMME

1. Location of country office (CO)		
Africa	9	26%
Arab States	4	12%
Asia and the Pacific	7	21%
Europe and the Commonwealth of Independent States	6	18%
Latin America and the Caribbean	8	24%
<b>Total</b>	<b>34</b>	<b>100%</b>

2. This question relates to the objectives, principles and rationale of the current global programme				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	To a great extent	To some extent	To a small extent	Not at all
The global programme supported my country in achieving the Millennium Development Goals (MDGs).	2	12	16	4
	6%	35%	47%	12%
The Global Programme ensured that in my country, development assistance, advice, programme design and capacity-building efforts drew on global best practices and expertise.	2	16	10	5
	6%	48%	30%	15%
The global programme ensured that gender perspectives were reflected and integrated through projects and practice areas.	4	8	12	8
	12%	25%	38%	25%
The global programme codified experience into knowledge products (such as practice notes and 'how-to' guides) that were used by UNDP and its partners in identifying policy options in my country.	6	14	8	5
	18%	42%	24%	15%
The global programme has developed and promoted innovative approaches in addressing development challenges that were applied in my country.	1	9	20	2
	3%	28%	62%	6%
The global programme increased opportunities for South-South cooperation and facilitated the exchange of South-South expertise.	1	8	16	7
	3%	25%	50%	22%
The global programme supported strategic partnerships to expand access to the global knowledge base that helped identify policy options relevant to my country.	1	9	18	4
	3%	28%	56%	12%
The global programme contributed to transforming UNDP into a globally networked, knowledge-based organization, connecting countries to knowledge, experience, technology and resources.	6	11	12	4
	18%	33%	36%	12%
The global programme responded to the national development priorities in my country.	0	14	12	7
	0%	42%	36%	21%
The global programme has been important to UNDP's work at the global level.	7	17	8	0
	22%	53%	25%	0%
The global programme has helped position UNDP as a global leader in development policy thinking.	2	15	10	4
	6%	48%	32%	13%
<b>3. If you have any additional comments on the question above, please provide them here.</b>				
9 Responses				

## VIEWS ON THE PERFORMANCE OF GCF-III FUNDED POLICY ADVISORS

<b>4. How important were the following types of services provided by the BDP GCF-funded Policy Advisors to the work of the CO over the period 2005-2007?</b>				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>Very Important</b>	<b>Somewhat Important</b>	<b>Not Very Important</b>	<b>Not Important</b>
Providing Policy Advice	6	14	8	6
	18%	41%	24%	18%
Providing Technical Expertise & CO Backstopping	11	7	11	5
	32%	21%	32%	15%
Referrals (experts)	4	18	7	5
	12%	53%	21%	15%
Referrals (comparative research)	0	11	14	9
	0%	32%	41%	26%
Mutual Support Initiatives	0	15	11	8
	0%	44%	32%	24%
Research and Analysis	1	12	11	9
	3%	36%	33%	27%
Building CO Capacity (training etc.)	5	4	17	7
	15%	12%	52%	21%
Resource Mobilization	1	4	13	16
	3%	12%	38%	47%
<b>5. If you have any additional comments on the question above, please provide them here.</b>				
6 Responses				

<b>6. How important was the availability of BDP GCF-funded Policy Advisors to the work of the CO in the following BDP Practice and Cross-Practice Areas over the period 2005-2007?</b>				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>Very Important</b>	<b>Somewhat Important</b>	<b>Not Very Important</b>	<b>Not Important</b>
Poverty and the MDGs	5	17	6	6
	15%	50%	18%	18%
Energy and Environment	8	15	7	4
	24%	44%	21%	12%
Democratic Governance	7	14	8	5
	21%	41%	24%	15%
HIV/AIDS	3	11	12	7
	9%	33%	36%	21%
Capacity Development	7	7	11	9
	21%	21%	32%	26%
Gender	4	12	8	10
	12%	35%	24%	29%
<b>7. If you have any additional comments on the question above, please provide them here.</b>				
4 Responses				

## VIEWS ON THE PERFORMANCE OF GCF-III FUNDED POLICY ADVISORS

<b>8. Approximately \$32 million of core funds was budgeted for 'targeted global projects' over the period 2005–2006.</b>				
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>To a great extent</b>	<b>To some extent</b>	<b>To a small extent</b>	<b>Not at all</b>
I am familiar with global projects.	2	17	12	3
	6%	50%	35%	9%
Global projects have made a direct contribution to the achievement of development results in my country.	2	4	18	10
	6%	12%	53%	29%
<b>9. If you have any additional comments on the question above, please provide them here.</b>				
1 Responses				

<b>10. To what extent did global projects draw upon country experiences?</b>		
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>Yes</b>	<b>No</b>
Global projects have used case studies from my country.	10	23
	30%	70%
Global projects have piloted approaches or initiatives in my country.	8	24
	25%	75%

## KNOWLEDGE MANAGEMENT AND GCF-FUNDED KNOWLEDGE PRODUCTS

<b>11. The global programme funds and supports interregional knowledge transfer through virtual knowledge networks and production of knowledge products, primarily by BDP</b>					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>Strongly Agree</b>	<b>Agree</b>	<b>Disagree</b>	<b>Strongly Disagree</b>	<b>Don't Know</b>
The global programme enhanced knowledge sharing through the communities of practice at the country, regional and global levels.	4	24	3	1	2
	12%	71%	9%	3%	6%
The communities of practice enabled practitioners from UNDP, the United Nations and programme countries to come together and define how specific UNDP priorities can be made directly relevant to specific national and regional realities.	4	17	8	2	3
	12%	50%	24%	6%	9%
The knowledge networks have been important mechanisms for the exchange and sharing of knowledge and information.	6	21	4	0	3
	18%	62%	12%	0%	9%
Knowledge products supported by the global programme responded to requests and needs from national counterparts.	3	10	13	3	5
	9%	29%	38%	9%	15%
The development of knowledge products has been based on real country experiences.	4	15	8	1	6
	12%	44%	24%	3%	18%
My CO was consulted in the development of some of the BDP produced knowledge products.	3	10	14	4	3
	9%	29%	41%	12%	9%
BDP knowledge products are practical and readily adaptable to meeting needs within my country.	1	14	10	4	4
	3%	42%	30%	12%	12%
<b>12. If you have any additional comments on the question above, please provide them here.</b>					
4 Responses					

**13. Generally, how useful does your office find the various products produced by BDP and the Thematic Centers?**

Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Very Useful	Somewhat Useful	Marginally Useful	Not Useful	Have Not Seen
Policy Series – including practice notes and policy briefs/notes	3 9%	17 50%	9 26%	3 9%	2 6%
Practitioner Series – including practice tools for COs and “how-to” guides or manuals	5 15%	16 47%	7 21%	2 6%	4 12%
Research Series – includes case studies, analytical reports, discussion papers and intelligence briefs on emerging issues	2 6%	14 41%	11 32%	4 12%	3 9%
Knowledge Management Series – includes consolidated replies from networks and e-discussion summaries	6 18%	17 50%	9 26%	2 6%	0 0%
Knowledge Management Series – includes compilations of comparative experiences, good practices and lessons learned	6 18%	17 50%	6 18%	3 9%	2 6%
Websites and Workspaces	3 9%	15 44%	8 24%	5 15%	3 9%
Oslo Governance Centre (applied research and analytical work)	1 3%	13 38%	10 29%	6 18%	4 12%
Brasilia Poverty Center (applied research and analytical work)	1 3%	8 24%	10 30%	4 12%	10 30%
Nairobi Drylands Development Centre (applied research and analytical work)	1 3%	3 9%	7 21%	5 15%	18 53%

**14. If you have any additional comments on the question above, please provide them here.**

1 Responses

**15. Which BDP knowledge products do you consider to have been most useful in the work of your office?**

16 Responses

## GCF GOVERNANCE AND MANAGEMENT

<b>16. This question touches upon selected aspects of the management of the RSC/SURF.</b>					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	<b>Strongly Agree</b>	<b>Agree</b>	<b>Disagree</b>	<b>Strongly Disagree</b>	<b>Don't Know</b>
Generally, the RSC/SURF is a cost-effective mechanism for meeting the programme demands of my country office.	4	12	11	6	1
	12%	35%	32%	18%	3%
The provision of services and support of the GCF-funded Policy Advisors responds well to the priority demands from the COs.	3	13	11	7	0
	9%	38%	32%	21%	0%
GCF-funded Policy Advisor services are a cost-effective means to meeting CO demands.	4	12	12	5	1
	12%	35%	35%	15%	3%
My CO would prefer to have a range of internal and external options in acquiring Policy Advisor services and support.	16	15	3	0	0
	47%	44%	9%	0%	0%
The current system of matrix management between the regional Bureaux and BDP is effective.	0	10	10	10	3
	0%	30%	30%	30%	9%
The allocation and management of GCF-funded Policy Advisor resources responds to the priorities and demands of the country offices.	2	8	15	7	2
	6%	24%	44%	21%	6%
The RSC/SURF Board is an effective means of management oversight and direction.	1	16	9	5	3
	3%	47%	26%	15%	9%
<b>17. If you have any additional comments on the question above, please provide them here.</b>					
5 Responses					

**18. As the main client of the SURF/RSC GCF-funded Policy Advisors, how would you rate general performance on...**

Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Very Good	Good	Acceptable	Poor	Does Not Apply
Delivery	3 9%	11 32%	10 29%	7 21%	3 9%
Timeliness	1 3%	8 24%	7 21%	13 39%	4 12%
Quality of Work	5 15%	13 38%	8 24%	5 15%	3 9%
Quantity of Work	1 3%	9 26%	12 35%	8 24%	4 12%
Responsiveness	3 9%	12 35%	13 38%	4 12%	2 6%
Client Relationships	1 3%	11 32%	14 41%	4 12%	4 12%
Continuity of Support	4 12%	5 15%	15 44%	7 21%	3 9%
Degree to which GCF-funded services complemented regional programme support modalities	0 0%	5 16%	15 47%	7 22%	5 16%

**19. If you have any additional comments on the question above, please provide them here.**

3 Responses

**20. This question touches upon selected aspects of BDP management of the Global Programme.**

Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Strongly Agree	Agree	Disagree	Strongly Disagree	Does Not Apply
My country office and government counterparts were consulted in the design of the current global programme.	0 0%	5 15%	14 42%	10 30%	4 12%
My country office and government counterparts should be consulted in the design of the next global programme (GCF-IV).	12 35%	16 47%	4 12%	1 3%	1 3%
The management of the global programme by BDP has been open, transparent and accountable.	1 3%	9 27%	14 42%	5 15%	4 12%
The global programme should continue to be centrally managed by BDP.	3 9%	16 47%	7 21%	3 9%	5 15%
The majority of core GCF resources should fund BDP posts in HQ [Headquarters] and the regions (i.e. Policy Advisors and other specialists).	4 12%	13 38%	12 35%	5 15%	0 0%
BDP should continue to lead and manage the UNDP-wide Knowledge Management function.	7 21%	22 65%	4 12%	1 3%	0 0%

**21. If you have any additional comments on the question above, please provide them here.**

8 Responses

## SUGGESTIONS ON THE DESIGN AND PRIORITIES FOR GCF-IV

<b>22. What are your general suggestions for the priorities and focus of GCF-IV over the period 2009 - 2011?</b>
14 Responses

<b>23. In the area of knowledge management, the GCF-IV should be used to ...</b>					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Strongly Agree	Agree	Disagree	Strongly Disagree	Does Not Apply
Strengthen Communities of Practice	10	19	4	0	1
	29%	56%	12%	0%	3%
Strengthen Global Knowledge Networks	6	24	4	0	0
	18%	71%	12%	0%	0%
Support Regional Knowledge Networks	9	21	4	0	0
	26%	62%	12%	0%	0%
Develop Corporate-level Knowledge Products	17	13	2	2	0
	50%	38%	6%	6%	0%
Develop Country-specific Knowledge Products	10	15	5	2	0
	31%	47%	16%	6%	0%
<b>24. If you have any additional comments on the question above, please provide them here.</b>					
4 Responses					

<b>25. GCF-IV should continue to support ...</b>					
Top number is the count of respondents selecting the option. Bottom number is the percentage of the total respondents selecting the option.	Strongly Agree	Agree	Disagree	Strongly Disagree	Does Not Apply
Efforts to position UNDP as global leader in development policy thinking	22	9	3	0	0
	65%	26%	9%	0%	0%
UNDP-wide Organizational Change	3	13	12	5	1
	9%	38%	35%	15%	3%
UNDP-wide Practice Coherence	8	23	2	0	1
	24%	68%	6%	0%	3%
UNDP Regional Centres	10	12	6	5	1
	29%	35%	18%	15%	3%
Development Innovation	15	13	3	1	1
	45%	39%	9%	3%	3%
Development Policy Research and Development	13	14	3	2	1
	39%	42%	9%	6%	3%
Back-stopping Support to the COs	25	6	2	1	0
	74%	18%	6%	3%	0%
Staffing Support to BDP	6	9	10	7	2
	18%	26%	29%	21%	6%
<b>26. If you have any additional comments on the question above, please provide them here.</b>					
3 Responses					



## Annex G

# ANALYSIS OF GLOBAL PROJECTS

Italics indicate that the project was randomly selected for the 'substantive analysis' in addition to the project document 'quality scan'.

DEMOCRATIC GOVERNANCE GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
36214	<i>Policy Support for Democratic Governance</i>	0.582			0.582
43381	<i>DGG SL2.7 PAR &amp; AC</i>	0.187			0.187
55651	<i>Comp #1: Strengthening Civil Engagement</i>			0.127	0.127
55652	<i>Comp #2: Effective Electoral Assistance</i>			0.095	0.095
55659	<i>Comp #9: Community of Practice</i>			0.095	0.095
55657	<i>Comp #7: Election Support</i>			0.07	0.07
51127	<i>Service Line 2.5 E-governance</i>		0.029		0.029
40489	<i>Decentralization, Local Governance</i>	0.0003			0.0003

CAPACITY DEVELOPMENT GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
50899	<i>Support to Capacity 2015 Region</i>		0.223	0.500	0.723
11376	<i>PPPUE</i>	0.258		0.007	0.265
34871	<i>Mainstreaming Capacity</i>	0.009	0.076		0.085

HIV/AIDS GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
46453	<i>HIV/AIDS Building Capacity</i>	0.911			0.911
11442	<i>HIV/AIDS Leadership Capacity</i>	0.103			0.103

ENVIRONMENT AND ENERGY GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
56240	<i>GCF Environment and Energy Group</i>			0.993	0.993
50773	<i>UNDP Equator Initiative 2006</i>		0.199		0.199
11416	<i>Poverty and Environment Initiative</i>	0.132			0.132
50593	<i>Climate Change</i>		0.097		0.097
50590	<i>Biodiversity</i>		0.038		0.038

GENDER GROUP					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
57465	<i>Gender Team CD Implementation</i>			0.412	0.412
11395	Gender Mainstreaming	0.240			0.240
57463	<i>Gender Team CPR/EE Implementation</i>			0.065	0.065

POVERTY REDUCTION & MDGS					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
54273	<i>MDG Support</i>			2.5	2.5
58407	<i>SPPR Cluster Support</i>			0.255	0.255
57638	External Drivers of Development			0.200	0.200
11433	Support to Poverty Reduction	0.056	0.047		0.103
57535	PG-Intellectual Property, Trade			0.075	0.075
52597	<i>Workshop on Systemic Commodity</i>		0.049		0.049
11440	<i>Policy Advice for Economic Alternatives; Campaign for Achieving MDGs</i>	0.025	-0.038		-0.013

CROSS PRACTICE					
Project Number	Project Title	Expenditure in \$ Million			
		2005	2006	2007	TOTAL
44006	<i>IP &amp; Access to Drugs Capacity</i>	0.273	0.247	0.300	0.820
50520	<i>Aid Effectiveness/ National Capacity</i>		0.274	0.200	0.474
45677	Localization of the Millennium Development Goals		0.054	0.200	0.254
52687	<i>Global Initiative on Gearing Macroeconomic Policies to Reverse the HIV/AIDS Epidemic</i>		0.132	0.058	0.190
58284	Government Accountability			0.100	0.100

## 1. INTRODUCTION

This report is an analysis of a sample of global projects from the third global cooperation framework (GCF-III) 2005-2007 as part of the evaluation of the overall GCF-III. The analysis is in two parts. The first part titled, 'Document Scan of 33 Global Projects' is an analysis of the project documentation of 33 randomly selected projects from the perspective of their conformity with UNDP administrative requirements such as whether the products were signed and whether

they had proper monitoring and evaluation. The second part titled, 'Substantive Assessment of 21 Global Projects' is an analysis of 21 randomly selected projects as a sub-set of the 33 projects for their conformity with selected broad themes such as their linkage with other service lines, focus on outcomes, integration of gender and level of innovation.

The GCF-III has three components: country level policy and programme support through a global network of policy specialists; targeted global

projects and strategic partnerships addressing key development issues affecting countries in multiple regions; and a system of interregional knowledge creation, transfer and codification. The projects reviewed in this report comprise the second component but they also contribute to the third component, which is dedicated toward making UNDP a knowledge institution.

The methodology used was to examine project documentation supplied by BDP in order to determine whether it met criteria developed by the evaluation in a standard template. Some criteria were ranked with a 'yes', 'no' or 'somewhat' while others were ranked 'low', 'medium' or 'high'.

## 2. THE GCF-III GLOBAL PROJECT PORTFOLIO OVERVIEW

There are 121 projects in the GCF-III portfolio (excluding the policy advisory and knowledge services projects). Global project expenditure of \$33.8 million constitutes 41 percent of the total the GCF-III expenditure of approximately \$81.9

million. At 12 percent of total expenditure, the Poverty Group (PG) is the largest in the GCF-III project portfolio. The Energy and Environment Group (EEG) and Democratic Governance Group (DGG) each make up approximately 8 percent of the total GCF expenditure, followed by Cross-Practice Initiatives (6 percent), HIV/AIDS (4 percent), Capacity Development Group (CDG) (3 percent) and Gender (1 percent).

The distribution of expenditure was based on the global programme document based on country demand as outlined in the multi-year funding framework (MYFF). However, in 2006 the annual actual practice allocations were distributed based on the following 2005 global project performance criteria: absolute resource mobilization in 2005; absolute non-core delivery in 2005; implementation of non-core resources; and the ratio of core to non-core.

Individual project approval was based on the following 2004 criteria: have a clear development

**Table 1. Global Programme Targeted Projects: Number of Projects and Expenditure by Theme**

Practice	Number of Projects	Total Expenditure <sup>1</sup>	% of Total Expenditure
Policy Support <sup>2</sup>	2	48.25	59%
Practice Area			
Democratic Governance	32	6.41 <sup>3</sup>	8%
Poverty Group	33	9.54 <sup>4</sup>	12%
HIV/AIDS	5	2.93	4%
Energy and Environment	18	6.915	8%
Cross Cutting			
Gender	7	1.22	1%
Cross Practice	14	4.58	6%
Capacity Development	10	2.12	3%
<b>TOTAL</b>	<b>121</b>	<b>81.96</b>	<b>100%</b>

1. In \$ millions.

2. The Policy Support Department was created in ATLAS to allow for central management of the policy advisory and knowledge management funds.

3. Includes \$2.9 Million for the Oslo Governance Centre.

4. Includes \$2.67 Million for the International Poverty Centre.

5. Includes \$3.16 Million for the Drylands Development Centre.

\* Please note that numbers may not add up due to rounding.

Source: BDP provided dataset: I. Global Programme Projects 2005-2007 V1.3

impact in terms of Millennium Development Goals (MDGs); enhance UNDP visibility; promote new or strengthen existing partnerships; create opportunity for resource mobilization; and contribute to knowledge work.

There is a general correlation between the amount of expenditure and the number of projects in the practice portfolio with some exceptions. For example, HIV/AIDS has higher expenditures than CDG, but HIV/AIDS implemented fewer projects. The same holds for EEG and DGG. EEG has higher expenditures than DGG, but EEG had about half the number of projects of DGG. Although expenditures in the DGG and EEG practices remained fairly constant between 2006 and 2007, the number of projects in DGG more than doubled, while in EEG the number of projects more than halved. This is mainly attributable to EEG moving all previous individual service line projects under one ‘umbrella’ project titled ‘GCF Environment and Energy Group’, while DGG maintained the individual service line project approach.

### 3. DOCUMENT QUALITY SCAN OF 33 GLOBAL PROJECTS

#### 3.1 INTRODUCTION

Thirty-three projects were selected for the document quality scan (see Table 2 for a breakdown by practice), which represent 27 percent of the total

number of projects and 31 percent of the total expenditures in the portfolio. Distribution over the years of the GCF-III period was fairly equal with 12 projects implemented in 2005, 13 in 2006 and 18 in 2007 (some projects span multiple years). The sample is statistically valid and representative and was randomly chosen.

#### 3.2 PROJECT COVERAGE AND TYPOLOGY

Most projects have a global focus and some projects also focus regionally. Nine projects have a country-level focus. Most often, there is no specification of the region or country of focus. The project document is probably left open so as to leave room to manoeuvre during implementation.

Most GCF-III projects are oriented towards the preparation of knowledge products and other means for sharing knowledge such as workshops, knowledge networks and participation in conferences. Several projects seek to study and develop emerging or novel ideas that will help to position UNDP globally. A few projects actually pilot initiatives at the country level, such as the 50520 Aid Effectiveness Project and the 11416 Poverty and Environment Initiative.

Table 4 shows by practice area and by project the range of project coverage (global, regional, country) and the project typology (staffing, research, knowledge creation/codification, knowledge sharing and pilot projects) for the 33 projects analyzed.

<b>Practice</b>	<b>TOTAL Practice Portfolio</b>	<b>TOTAL Project Analysis</b>	<b>Percentage of TOTAL Practice Portfolio</b>
DGG	32	8	25%
CDG	10	3	30%
HIV/AIDS	5	2	40%
EEG	19	5	26%
Gender	7	3	43%
PG	34	7	20%
Cross Practice	14	5	36%
<b>TOTAL</b>	<b>121</b>	<b>33</b>	<b>27%</b>

**Table 3. Global Project Expenditures by Practice**

Practice	TOTAL PORTFOLIO (in \$)	Value of Projects Selected for Analysis (in \$)	Percentage of TOTAL Portfolio
DGG	6,408,910	1,196,028	19%
CDG	2,116,609	1,075,354	51%
HIV/AIDS	2,932,292	1,015,561	35%
EEG	6,914,095	1,383,576	20%
Gender	1,226,616	718,073	59%
PG	9,631,128	3,170,043	33%
Cross Practice	4,583,144	1,840,603	40%
<b>TOTAL</b>	<b>33,812,794</b>	<b>10,399,238</b>	<b>31%</b>

### 3.3 BASIC STRUCTURE, PROCESS AND KEY CONTENTS

The projects under review were assessed against the UNDP and BDP operational procedures for the project pipeline.<sup>1</sup> Some of the requirements were looked at in more depth than others. This section includes a discussion on:

- Structure of project document—were the required sections included?
- Was the project document signed?
- Were Project Appraisal Committee meeting notes submitted?
- Was the Direct Execution modality cleared through resources clearance documentation?

Overall, the majority of projects (54 percent; n=18/33) reviewed followed the UNDP requirements for the structure of the project document (prodoc). However, three types of problems were identified with the structure of project documents resulting in 10 projects categorized as ‘somewhat’ following the UNDP structure.

The project document is from a previous GCF period and a budget or project revision was **not submitted**:

- DGG 40489: the prodoc is from 2004

- HIV/AIDS 11442: the prodoc is from 2004
- Gender 11395: the prodoc is from 2001-2003
- Cross practice 44006: the prodoc is from 2003-4004; a budget revision for 2005 was submitted, but no revisions were submitted for 2006 and 2007

The project document is from a previous global programme period and a budget revision was **submitted**. However, the budget revision does not explicitly describe the intended outputs/activities for the project year:

- DGG 36214: the prodoc is from 2004
- CDG 11376: the prodoc is from 1995

The project document was submitted for the correct global programme period, however there are **missing sections/documents**:

- Cross practice 52687: there is no cover page with budget and signature; no monitoring and evaluation section; workplan is missing
- Cross practice 45677: there is no budget or project revision for 2007 (the expenditures show that no expenditures were made in 2005, but were made in 2006 and 2007)
- Gender 57463 & 57465: the results and resources framework is missing

1. ‘BDP Operational Procedures: Project Life Cycle’, available online at <http://content.undp.org/go/bdp/operations>.

**Table 4. Project Coverage and Typology**

Practice	Project Number & Title	Project Coverage				Project Typology				
		Global	Region	Country	UNDP Internal	Staffing	Research	Knowledge Creation/Codification	Knowledge Sharing	Pilot Projects
<b>Totals</b>	<b>33</b>	<b>24</b>	<b>9</b>	<b>9</b>	<b>3</b>	<b>4</b>	<b>9</b>	<b>23</b>	<b>20</b>	<b>6</b>
<b>Cross Practice</b>	50520 Aid Effectiveness			X				X	X	
	52687 Macroeconomic Policies	X						X	X	
	58284 Strengthening Government Accountability	X					X			
	45677 Localization of MDGs	X		X			X			X
	44006 IP and Access to Drugs	X						X	X	
<b>Energy and Environment</b>	11416 Poverty Environment	X	X	X			X	X	X	
	50773 Equator Initiative	X						X	X	
	56240 EEG Global Programme	X					X	X	X	
	50590 Biodiversity	X						X		X
	50593 Climate Change	X					X			X
<b>Poverty Reduction &amp; MDGs</b>	11440 Policy Advice			X				X	X	
	58407 SPPR	X				X				
	57638 External Drivers	X						X		X
	57535 Intellectual Property	X	X					X		
	54273 MDG Support	X	X							
	52597 Workshop on Systemic Commodities	X				X	X			
	11433 Support to Poverty Reduction	X						X	X	
<b>Democratic Governance</b>	36214 Policy support for DGG		X					X	X	
	43381 PAR and Anti-corruption			X				X	X	
	55651 Civic Engagement	X						X	X	
	55657 Election Support Conflict	X						X		
	55659 COP [Communities of Practice] on Justice and Human Rights	X						X	X	
	55652 Effective Electoral Assistance				X		X	X		
	51127 E-Governance	X	X				X		X	
	40489 Decentralization Local Governance	X	X				X	X	X	X
<b>HIV/AIDS</b>	46453 Building Capacity	X		X				X	X	
	11442 Leadership Capacity			X					X	
<b>Capacity Development</b>	34871 Mainstreaming Capacity				X					
	11376 PPUE		X	X				X	X	X
	50899 Support to Capacity 2015	X	X			X		X		
<b>Gender</b>	11395 Gender Mainstreaming	X	X	X				X	X	
	57463 Gender Team Conflict Prevention	X						X	X	
	57465 Gender Team CD Implementation				X	X			X	

Importantly four projects (12 percent) did not follow the UNDP requirements, meaning that there was **no project document**:

- DGG 43381: only a project proposal is on file
- CDG 34871: three documents were submitted but none of them are the official prodoc outlining the use of GCF funds
- Poverty 58407: no prodoc was provided as this project was used for staffing
- Poverty 11433: the prodoc provided contains only the signature page and the agreement between UNOPS and UNDP from 2003

The vast majority of project documents were signed (72 percent; n=24/33); 78 percent (n=26/33) had the proper Project Appraisal Committee documentation, and 60 percent (n=20/33) had the proper Direct Execution documentation. The HIV/AIDS group is the only practice area that complied with all three requirements. The EEG project documents were all signed and Project Appraisal Committee compliant. However, all other practice areas had at least one project that was not in compliance with all three of these operational procedures.

The results and resources framework is an integral component of the project document, as this is where the logical framework of the project is described. The outcome, outcome indicators and outputs should be mentioned so that the reader can understand the flow and logic of the project. Approximately 75 percent (n=25/33) of project documents reviewed contained a results and resources framework. Seven projects, four of which did not have project documents, failed to include this essential component.

When looking at the results and resources framework in more detail, 12 (33 percent) project documents (including those without prodocs) did not include outcomes and 15 project documents (48 percent) did not include outcome indicators. In some cases, the results and resources framework refers the reader to the GCF-III official programme document. Upon looking up

the global programme outcomes and outcome indicators, they may not be particularly relevant to the project proposal at hand. Regardless, the reader should not have to go searching for this critical information. Finally, only those projects without prodocs did not include outputs.

Although a requirement, hardly any project documents (88 percent; n=29/33) contained a section on the risks associated with the project. The four projects that did contain a risk assessment are as follows:

- CDG project 11376 Public Private Partnerships for the Urban Environment
- Poverty Group 57638 External Drivers of Development
- Poverty Group 54273 MDG Support
- Cross Practice 50520 Aid Effectiveness for Reducing Poverty and Achieving the MDGs

In terms of the partnership arrangements, their rationale was generally explained well (63 percent, n=21, received a high score). However, in many cases the rationale was quite weak because it relied on the reader having knowledge about the partner and the partner's expertise in the area of the proposed project.

Several project documents did well in most procedural aspects. The PG Project 54273 MDG Support is an example of a project document that complied with all operational procedures except for the outcome indicators. The EEG Project 56240 EEG Global Programme is a project that submitted a quality project revision document. Thus, the project document for 2006 is used as the overall structure and rationale behind the 2007 project, while the project revision document details the new outcomes, outputs, and budget plan for the extension of the project into 2007.

### 3.4 PROJECT MANAGEMENT ARRANGEMENTS

The vast majority of project documents (81 percent; n=27/33) detail the line of accountability for the project management. The Project Appraisal

Committee members are generally identified in the Project Appraisal Committee minutes, not in the actual project document. Approximately 70 percent (n=23) of project documents identified the Project Appraisal Committee members. Although a requirement, only 10 projects (30 percent) identified members of a project steering board. A couple examples of where the project steering board is identified include the Gender Project 57463: Gender Team Conflict Prevention and Recovery and Environmental Energy Implementation, and the Capacity Development Group Project 50899: Support to Capacity 2015 Regional Teams.

Typically, the manager is identified (72 percent; n=24/33) but is not mentioned by name but rather by title in the accountability section. Only 33 percent (n=11/33) included a description of the staff working on the project, usually in the work plan/budget section. Although the project document does not need to name an individual, it is important to be clear who will be accountable for the various outputs within the project.

### 3.5 MONITORING, EVALUATION AND REPORTING

This section of the quality scan brought attention to the lack of connection between what is planned and what happens in reality. Approximately 79 percent (n=26/33) of projects contain a section detailing the monitoring, evaluation and reporting of the project. However, only nine projects complied with what was planned.

The following projects were ranked high in terms of the reporting on file:

- Democratic Governance Umbrella Project for 2007 (containing 55651, 55652, 55657, and 55659)
- Poverty Group Project 52597 Workshop on Systemic Commodities
- Gender 57463 Gender Team CPR/EE implementation and 57465 Gender Team Capacity Development Implementation
- Cross Practice 50520 Aid Effectiveness

- Environment and Energy 50773 Equator Initiative

Although quarterly reporting was part of the global programme reporting requirements, very few projects (only in the DGG and CDG practice areas) provided at least one quarterly report. Although requested, no documentation was provided from BDP regarding the change in reporting requirements. However, beginning in 2006 the monthly practice progress meetings with senior BDP management replaced the quarterly reporting requirement.

In summary, a total of 19 Annual Project Reports (APR) were received for the 33 projects. DGG, CDG, HIV, EEG and Gender practice areas all had one project without an APR, while two projects in the cross-practice area were missing APRs. The PG had only one project that submitted the required APR in the format followed by other groups (Project 52597 Workshop on Systemic Commodities). Several 'pilot project reports', 'donor reports' and a 'lessons learned report' were submitted for Project 11433 Support to Poverty Reduction. However, the required APR format was not followed. No other annual reports were received for the poverty group projects under review.

Evaluations were planned by 12 projects, but none were received. However, 48 percent (n=16/33) make no mention of a project evaluation. The DGG project documents refer to the DGG retreat and the GCF-III evaluation as the evaluation for DGG projects.

## 4. SUBSTANTIVE ASSESSMENT OF 21 GLOBAL PROJECTS

### 4.1 INTRODUCTION

Twenty-one global projects were randomly selected as a subset of the 33 projects selected for substantive assessment. A tabulation of the results of the 21 projects analyzed is contained in Annex G.2.

Table 5 shows the number of projects selected by practice area. These projects represent approximately 17 percent of the entire portfolio.

Given the small number of projects analyzed in each practice (only two each in CDG, HIV/AIDS and Gender) it is not reliable to draw conclusions by practice area. Rather, the analysis and conclusions in this section relate to all 21 projects. The analysis is based on a reading of all documentation furnished for each project.

Documentation was uneven, ranging from the Poverty Project 58407 SPPR Cluster Support Project, where no information was available; to eight projects where no APRs were available; to half the projects with acceptable levels of documentation. Where documentation was incomplete, it limited the nature, scope and quality of the assessment. Nonetheless, a consistent and clear picture emerges from the 21 projects reviewed.

The projects were analyzed and assessed according to the template shown in Table 6.

#### 4.2 OVERVIEW

The picture that emerges is the serious effort to break new ground either by acquiring new knowledge, assembling existing knowledge and know-how for dissemination or by piloting something new, as was done in the Poverty Group's Commodities Workshop project.

All projects are in line with both the GCF-III and the MYFF priorities.

Fourteen of the projects are focused on building capacity. Most of these projects are building internal UNDP capacity with the intent that this new capacity will assist developing countries. Whether and how much this new internal UNDP capacity is applied directly to developing countries is not clear from the documentation. Much of the global project effort appears to be supply-driven as opposed to demand-driven and project budgets are mainly focused on staff salaries or international consultants and their daily subsistence allowances.

The project documents are almost all focused on outputs and activity with little indication of outcome. Hardly any prodocs have outcome indicators that could be used to measure the success of the project. This raises the question of where these efforts are leading. Eight of the projects reviewed do not have an APR so it is not clear what the project accomplished.

With the exception of Capacity Development, many of the development themes are not covered in the project documents and are therefore rated low, i.e. in Human Development, 9 projects rated low; Gender, 12; South-South Cooperation, 15; and National Ownership, 11.

The following sections treat each of the criteria under the analysis of this assessment separately.

**Table 5. Projects Selected for Substantive Assessment**

Practice	TOTAL Portfolio	TOTAL Substantive Analysis	Percentage of TOTAL Portfolio
DGG	32	5	16%
CDG	10	2	200%
HIV/AIDS	5	2	40%
EEG	19	3	10%
Gender	7	2	29%
PG	34	4	12%
Cross Practice	14	3	21%
<b>TOTAL</b>	<b>121</b>	<b>21</b>	<b>17%</b>

**Table 6. Template and Criteria for Substantive Assessment of 21 Selected Projects**

Features Assessed	Ranking Criteria
(i) Quality of the project logic (High/Medium/Low, plus brief assessment) and (ii) Evidence of flexibility during execution, for example in the adaptation of the project logic (Yes/No, plus brief assessment)	<ul style="list-style-type: none"> <li>■ 'High': The project logic should be convincingly described, using some form of log-frame, logic model or theory of change diagram.</li> <li>■ Assessment: Bullet points (or checklist) very concisely indicating main reasons for the assessment.</li> </ul>
Project clearly aligned with GCF objectives and principles (Yes/No, plus brief assessment)	<ul style="list-style-type: none"> <li>■ Assessment: Bullet points (or checklist) very concisely indicating main reasons for the assessment.</li> </ul>
Prodoc Language	<ul style="list-style-type: none"> <li>■ 'High': Clear, concise, complete.</li> <li>■ 'Medium': Missing one of: clear, concise or complete.</li> <li>■ 'Low': Unclear, rambling and missing information or explanation.</li> </ul>
Project clearly aligned with MYFF / practice area framework (Yes/No, plus brief assessment)	<ul style="list-style-type: none"> <li>■ Assessment: Bullet points (or checklist) very concisely indicating main reasons for the assessment.</li> </ul>
Evidence of a focus on outcomes / RBM in project reports (Yes/No)	<ul style="list-style-type: none"> <li>■ Assessment: Bullet points (or checklist) very concisely indicating main reasons for the assessment.</li> </ul>
Progress self-assessment noted in Annual Project Report (Yes/No)	(i) Indicate whether the Annual Project Report shows the use of any form of self-assessment. (ii) If yes, note whether it is 'Positive' or 'Negative'.
Evidence that the following principles have been (i) thoughtfully integrated into the design; (ii) addressed in the progress and/or project closure reports (High/Medium/Low/Not applicable, plus brief assessment in each case) <ul style="list-style-type: none"> <li>■ Human development</li> <li>■ Gender</li> <li>■ Capacity development</li> <li>■ South-South sharing and cooperation</li> <li>■ National ownership (assess its relevance given the project context)</li> </ul>	Need to determine first whether UNDP/BDP has an official conceptualization of integration / guidance for each of these areas. If so, these should be used to guide the assessment. <ul style="list-style-type: none"> <li>■ Assessment: Bullet points (or checklist) very concisely indicating main criteria / reasons for the assessment.</li> </ul>
Level of innovation (High/Medium/Low, plus brief assessment)	Innovative projects are characterized as: <ul style="list-style-type: none"> <li>■ Addressing an issue the resolution of which may lead to substantial advance toward an MDG(s).</li> <li>■ Recognized as a critical issue by the government and other donors or partners.</li> <li>■ An initiative never before attempted in UNDP, either in the problems addressed or the approach taken.</li> <li>■ Potentially risky and unlikely to be undertaken elsewhere in UNDP.</li> <li>■ Carrying out the innovation help to position UNDP as the key MDG player.</li> </ul> Assessment: Bullet points (or checklist) indicating main reasons for the assessment.

#### 4.2.1 Project logic

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
High	8	1	1	2	1		2	1
Medium	7	3				2	1	1
Low	5	1	1		2			1
Not Rated	1						1	

Eight projects had a strong or high logic. The project logic is not always apparent either because it cannot be related to the larger global programme effort or because it is an umbrella project that attempts to bring together disparate efforts under the practice umbrella, as in the EEG umbrella project. Thus this ranking may over-estimate the number of 'medium' and 'low' projects. The most common flaw in project logic is the disconnect between the Situation Analysis and the actual project outputs. This is because of the difference in scale between the global picture in the situation analysis and the micro-level effort of project outputs. Of note are the two HIV/AIDS projects, which rank high.

There is a tendency for project documents to attempt to be 'all things', i.e. to mainstream gender, support the MDGs, build capacity and link with other practices. When such small and experimental projects attempt such a reach, they sometimes lose their internal logic.

The project not rated is 58407 SPPR Cluster Support for which no documentation was furnished. This project will be shown as 'not rated' throughout the report.

Project Appraisal Committee discussions were sometimes substantive but the final prodocs do not appear to have taken such Project Appraisal Committee comments into account.

#### 4.2.2 Flexibility demonstrated in project implementation

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
No APR	8	2	1	2	1		1	1
Yes	7	1	1		2		1	2
No	5	2				2	1	
Not Rated	1						1	

For the eight projects without APRs it was not possible to determine flexibility in implementation. One would expect to see flexibility in implementation of these projects because of their innovative and pilot nature. The seven projects demonstrating flexibility in implementation took the form of project extensions and injections of additional funding or redeploying undisbursed funds, as in DGG Project 43381 Strengthening Political Parties & Citizen Audit and EEG Project 50590 Energy & Environment Global Programme. There was no evidence of redesign of the project during implementation probably because most are one-year efforts, which offers little time to make changes. The focus is on completing the project and disbursing funds.

### 4.2.3 Project document language

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
High	9	3	1	2	1		2	
Medium	4					2		2
Low	7	2	1		2		1	1
Not Rated	1						1	

Nine project documents demonstrated clear and concise language. This is probably a good result given that the projects are innovative and the little time available to over-stretched Headquarters staff for writing up the document. Where language is not clear, it is a function of an overdose of acronyms, overly wordy sentences that obscure rather than shed light, and lack of logic in sentence flow. Projects 11420 Policy Advice for Economic Alternatives and 40489 Decentralized Governance for Development are examples of poor language. Almost all prodocs would benefit from an editor.

### 4.2.4 GCF and MYFF alignment

All projects reviewed were aligned both with the GCF-III and the MYFF.

### 4.2.5 Linkage with other service lines

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
Yes	13	2	1	2	3	2		3
No	7	3	1				3	
Not Rated	1						1	

Thirteen projects showed linkages with other service lines. The most common linkages were with the CDG and the PG at five each. Two projects (34871 Mainstreaming Capacity & 57463 & 65 Implementation of Corporate Gender Plan) linked up with all service lines. Other linkages with other parts of UNDP were with Democratic Governance Community of Practice, Bureau for Crisis Prevention and Recovery, Bureau for Resources and Strategic Partnerships and the Evaluation Office. The overall picture is a genuine effort to make linkages among service lines wherever logical/possible.

### 4.2.6 Focus on outcomes

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
Yes	2						1	1
No	18	5	2	2	3	2	2	2
Not Rated	1						1	

Lack of a focus on outcomes is the weakest dimension in almost all projects reviewed. It may be unrealistic to expect outcomes from such small one-year initiatives. However, UNDP expects these projects to contribute to its transformation to a knowledge institution, so one would expect some kind of result from the effort. The lack of focus on outcomes is evident from a number of perspectives, starting with the project document. Outcome statements in the results and resources framework are sometimes missing and when there, are either at the output level or are dauntingly vast, e.g. 55651 Public Administration Reform and Anti-Corruption outcome statement “Government develops greater capacity to deliver public goods and services, to regulate markets and to achieve the MDGs, effective economic governance and crisis prevention and recovery.” There are rarely outcome indicators in the prodocs that can be used to assess project impact.

The second window where one would look for outcome is in the APRs or the annual reports for the practice area. APRs and Annual Reports tend to describe activities or outputs rather than outcomes.

#### 4.2.7 Progress self assessment

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
No APR	8	1	1	2	1		2	1
Yes	7	2	1		1		1	2
No	6	2			1	2	1	

The APR and/or the Annual Practice Report contains information on project progress. The general APR picture is not encouraging. APRs were not available for 8 of 21 projects reviewed and, where available, they are poorly done for the most part. Often the last section of the report where outcome, output, challenges and lessons learned are addressed is not completed. Even if the APR is completed, it is a subjective statement and therefore tends to be generous in its accomplishments.

The APRs appear to be more of a publicity instrument at a general level. In conclusion, global project progress is patchy, subjective and not particularly informative.

#### 4.2.8 Ranking of development themes

The chart on the following page ranks the themes of capacity development, human development, gender, South-South cooperation and national ownership in the 21 projects reviewed.

Human Development, Gender, Capacity Development, South-South Imprint and National Ownership were reviewed in each project for their imprint. Most themes ranked low with the exception of Capacity Development, which ranked high in 14 of the projects. This is logical since most projects, no matter which service line they belong to, are focused on developing capacity either inside UNDP or with developing countries.

The other development themes are almost all the same in terms of ranking, with only a few projects ranking high (between 4 to 6 projects), fewer projects ranking medium (2 to 5 projects) and most ranking low (between 9 to 15 projects).

Two interpretations can be made for the low rankings of Human Development, Gender, South-South and National Ownership. One interpretation is that the project in question is not dealing with these

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
<b>CAPACITY DEVELOPMENT</b>								
High	14	2	2	2	3	2	1	2
Medium	2	1					1	
Low	4	2					1	1
Not Rated	1						1	
<b>HUMAN DEVELOPMENT</b>								
High	6		1	1			2	2
Medium	5				2	2	1	
Low	9	5	1	1	1			1
Not Rated	1						1	
<b>GENDER</b>								
High	4		1			2	1	
Medium	4			2	1			1
Low	12	5	1		2		2	2
Not Rated	1						1	
<b>SOUTH-SOUTH COOPERATION</b>								
High	5			2			1	2
Medium								
Low	15	5	2		3	2	2	
Not Rated	1						1	1
<b>NATIONAL OWNERSHIP</b>								
High	5		1		1		2	1
Medium	4			2	1			1
Low	11	5	1		1	2	1	1
Not Rated	1						1	

development themes and there is no need to pretend that it is, particularly given the relatively small budgets and the one-year limit on implementation. The other interpretation is that projects tend to be designed in a silo and do not incorporate these important development themes. The answer may be a blend of the two.

#### 4.2.9 Level of innovation

Rating	Total	DGG	CDG	HIV/AIDS	EEG	Gender	Poverty	Cross-practice
High	8		1	2	1		2	2
Medium	7	4			2		1	
Low	5	1	1			2		1
Not Rated	1						1	

Innovation is an important quality for global projects that are attempting to transform UNDP into a knowledge institution. The ratings are positive in that 75 percent of projects reviewed were either ‘high’ or ‘medium’ in terms of their level of innovation. The ‘high’ ranking for innovation is not evenly spread among the service lines, i.e. DGG 0; CDG 1; HIV/AIDS 2; EEG 1; PG 2; and Cross Practice 2. This would seem to indicate different capacities/level of commitment to innovation across the service lines.

## 5. CONCLUSION

This assessment of a selection of global projects shows both strengths and weaknesses that are described below.

### 5.1 STRENGTHS

- Almost all projects are global or regional in reach, as is the intention of the programme.
- The projects are relatively small and generally completed in a single year, which is consistent with the intention of an innovative and pilot programme.
- All projects are aligned both with the GCF and the MYFF and therefore in line with corporate strategy.
- There is a serious effort to break new ground either by acquiring new knowledge, assembling existing knowledge and know-how for dissemination or by piloting something entirely new such as was done in the Commodities Workshop.
- Partnerships are integral to 63 percent of projects examined had a clear partnership strategy consistent with corporate policy.
- 81 percent of the project documents described the position or person responsible for the project.

### 5.2 WEAKNESSES

- The most serious weakness of these projects is that they appear to be supply driven. There is little indication in project documents of substantiated demand for these projects from developing countries or at least from UNDP country offices.
- There is a lack of attention to outcomes and outcome indicators in most projects. Without outcome indicators, it becomes difficult if not impossible to judge whether a project achieved anything of note.
- There is no evidence of follow-up to determine what impact or effect the projects have had. It is timely to conduct such an assessment.
- Only 54 percent of projects examined met all UNDP prodoc requirements and four projects (12 percent) had no prodoc at all. Whether this is different from TRAC project statistics could not be determined.
- 88 percent of projects examined did not have the required risk assessment section in the prodoc.
- While 79 percent of prodocs had a monitoring and evaluation plan only 27 percent complied with this plan in actual implementation. Only 57 percent (n=19) projects had an APR, and many APRs are only partially completed.

### 5.3 OBSERVATIONS

- The assessment shows more similarity in assessments than difference across the service lines with the exception of the two HIV/AIDS projects, which rank high in most categories, i.e. project documentation, capacity development, South-South cooperation, innovative, national ownership and prodoc logic and language.
- Most projects are oriented towards the production of knowledge products.
- The most common service line linkage is with Capacity Development, where 14 of 21 projects ranked high in this regard.
- Many projects deal with internal UNDP capacity development more than direct capacity development of developing partner countries. Whether this is justified or positive could not be determined.

## Annex G.1

# SUMMARY RESULTS FOR QUALITY SCAN OF 33 PROJECTS

Structure	High	Medium	Low	Total
DGG	5	2	1	8
HIV	0	2	0	2
CDG	1	1	1	3
PG	5	0	2	7
Gender	0	3	0	3
Cross	3	2	0	5
EEG	5	0	0	5
<b>Total</b>	<b>19</b>	<b>10</b>	<b>4</b>	<b>33</b>

Direct Execution	Yes	No	Unclear	Total
DGG	6	2		8
HIV	2	0		2
CDG	0	3		3
PG	5	2		7
Gender	2	1		3
Cross	2	3		5
EEG	3	1	1	5
<b>Total</b>	<b>20</b>	<b>12</b>	<b>1</b>	<b>33</b>

Signed Prodoc	Yes	No	Total
DGG	6	2	8
HIV	2	0	2
CDG	2	1	3
PG	5	2	7
Gender	2	1	3
Cross	2	3	5
EEG	5	0	5
<b>Total</b>	<b>24</b>	<b>9</b>	<b>33</b>

Results Framework	High	Medium	Low	Total
DGG	8	0	0	8
HIV	1	1	0	2
CDG	1	0	2	3
PG	5	0	2	7
Gender	1	0	2	3
Cross	5	0	0	5
EEG	4	0	1	5
<b>Total</b>	<b>25</b>	<b>1</b>	<b>7</b>	<b>33</b>

Project Appraisal Committee	Yes	No	Total
DGG	6	2	8
HIV	2	0	2
CDG	2	1	3
PG	5	2	7
Gender	2	1	3
Cross	4	1	5
EEG	5	0	5
<b>Total</b>	<b>26</b>	<b>7</b>	<b>33</b>

Expected Outcome	High	Medium	Low	Total
DGG	5	0	3	8
HIV	2	0	0	2
CDG	2	0	1	3
PG	5	0	2	7
Gender	0	0	3	3
Cross	4	0	1	5
EEG	3	0	2	5
<b>Total</b>	<b>21</b>	<b>0</b>	<b>12</b>	<b>33</b>

Note: CDG indicates Capacity Development Group; Cross, cross practice; DGG, Democratic Governance Group; EEG, Energy and Environment Group; and PG, Poverty Group.

Outcome Indicator	High	Medium	Low	Total
DGG	0	1	7	8
HIV	2	0	0	2
CDG	2	0	1	3
PG	5	0	2	7
Gender	0	0	3	3
Cross	3	0	2	5
EEG	3	1	1	5
<b>Total</b>	<b>15</b>	<b>2</b>	<b>16</b>	<b>33</b>

Output	High	Medium	Low	Total
DGG	8	0	0	8
HIV	1	0	1	2
CDG	2	0	1	3
PG	5	0	2	7
Gender	3	0	0	3
Cross	5	0	0	5
EEG	5	0	0	5
<b>Total</b>	<b>29</b>	<b>0</b>	<b>4</b>	<b>33</b>

Risk Assessment	Yes	No	Total
DGG	0	8	8
HIV	0	2	2
CDG	1	2	3
PG	2	5	7
Gender	0	3	3
Cross	1	4	5
EEG	0	5	5
<b>Total</b>	<b>4</b>	<b>29</b>	<b>33</b>

Partnerships Clear	High	Medium	Low	Total
DGG	6	1	1	8
HIV	2	0	0	2
CDG	1	1	1	3
PG	3	0	4	7
Gender	3	0	0	3
Cross	3	1	1	5
EEG	3	1	1	5
<b>Total</b>	<b>21</b>	<b>4</b>	<b>8</b>	<b>33</b>

Partnership Rationale Clear	High	Medium	Low	Total
DGG	6	1	1	8
HIV	2	0	0	2
CDG	1	1	1	3
PG	3	1	3	7
Gender	1	0	2	3
Cross	4	0	1	5
EEG	4	1	0	5
<b>Total</b>	<b>21</b>	<b>4</b>	<b>8</b>	<b>33</b>

Accountability	High	Medium	Low	Total
DGG	7	0	1	8
HIV	2	0	0	2
CDG	2	0	1	3
PG	4	0	3	7
Gender	3	0	0	3
Cross	4	0	1	5
EEG	5	0	0	5
<b>Total</b>	<b>27</b>	<b>0</b>	<b>6</b>	<b>33</b>

Project Appraisal Committee Members Identified	Yes/High	Somewhat/Medium	No/Low	Total
DGG	7	0	1	8
HIV	1	0	1	2
CDG	2	0	1	3
PG	3	1	3	7
Gender	2	0	1	3
Cross	4	0	1	5
EEG	4	1	0	5
<b>Total</b>	<b>23</b>	<b>2</b>	<b>8</b>	<b>33</b>

Note: CDG indicates Capacity Development Group; Cross, cross practice; DGG, Democratic Governance Group; EEG, Energy and Environment Group; and PG, Poverty Group.

Steering Committee Members Identified	Yes/High	Somewhat/Medium	No/Low	Total
DGG	4	0	4	8
HIV	0	0	2	2
CDG	2	0	1	3
PG	1	0	6	7
Gender	1	0	2	3
Cross	1	1	3	5
EEG	1	0	4	5
<b>Total</b>	<b>10</b>	<b>1</b>	<b>22</b>	<b>33</b>

Reports Available as Required	Yes/High	Somewhat/Medium	No/Low	Total
DGG	4	4	0	8
HIV	0	1	1	2
CDG	0	2	1	3
PG	1	1	5	7
Gender	2	0	1	3
Cross	1	2	2	5
EEG	1	2	2	5
<b>Total</b>	<b>9</b>	<b>12</b>	<b>12</b>	<b>33</b>

Manager Identified	Yes/High	Somewhat/Medium	No/Low	Total
DGG	7	0	1	8
HIV	2	0	0	2
CDG	2	0	1	3
PG	4	1	2	7
Gender	1	0	2	3
Cross	4	1	0	5
EEG	4	0	1	5
<b>Total</b>	<b>24</b>	<b>2</b>	<b>7</b>	<b>33</b>

Evaluation Planned	Yes/High	Somewhat/Medium	No/Low	Total
DGG	7	0	1	8
HIV	1	0	1	2
CDG	2	0	1	3
PG	0	2	5	7
Gender	0	0	3	3
Cross	1	1	3	5
EEG	1	1	3	5
<b>Total</b>	<b>12</b>	<b>4</b>	<b>17</b>	<b>33</b>

Staff Identified	Yes/High	Somewhat/Medium	No/Low	Total
DGG	4	1	3	8
HIV	0	1	1	2
CDG	0	1	2	3
PG	3	1	3	7
Gender	0	0	3	3
Cross	2	0	3	5
EEG	2	3	0	5
<b>Total</b>	<b>11</b>	<b>7</b>	<b>15</b>	<b>33</b>

Evaluation Completed	Yes/High	Somewhat/Medium	No/Low	Total
DGG	0	3	5	8
HIV	0	0	2	2
CDG	0	0	3	3
PG	0	0	7	7
Gender	0	0	3	3
Cross	0	0	5	5
EEG	0	0	5	5
<b>Total</b>	<b>0</b>	<b>3</b>	<b>30</b>	<b>33</b>

Monitoring & Evaluation Clear	Yes/High	Somewhat/Medium	No/Low	Total
DGG	7	0	1	8
HIV	1	0	1	2
CDG	2	0	1	3
PG	5	0	2	7
Gender	2	0	1	3
Cross	4	1	0	5
EEG	5	0	0	5
<b>Total</b>	<b>26</b>	<b>1</b>	<b>6</b>	<b>33</b>

Note: CDG indicates Capacity Development Group; Cross, cross practice; DGG, Democratic Governance Group; EEG, Energy and Environment Group; and PG, Poverty Group.

## Annex G.2

# SUMMARY RESULTS FOR SUBSTANTIVE ASSESSMENT OF 21 PROJECTS

Project #	Group	Title	Project Logic	Flexibility Implementation	Prodoc Language	GCF Alignment
36214	DGG	Policy Support for Democratic Governance	Medium	No	Low	Yes
43381	DGG	DGG Strengthening for PA & AC	Medium	No APR but DGG report	High	Yes
55651	DGG	Strengthen Political Parties & Citizen Audit	High	Yes	High	Yes
55657	DGG	Election Support & Conflict Prevention	Medium	APR Incomplete	High	Yes
40489	DGG	Decentralized Governance for Development	Low	No APR	Low	Yes
50899	CDG	Capacity 2015	High	Yes	High	Yes
34871	CDG	Mainstreaming Capacity	Low	No APR	Low	Yes
46453	HIV/AIDS	Building Capacity for HIV/AIDS	High	No APR	High	Yes
11442	HIV/AIDS	HIV/AIDS Leadership Capacity Building	High	No APR	High	Yes
56240	EEG	Environment & Energy Global Programme	Low	Yes	Low	Yes
11416	EEG	Poverty & Environment Initiative	High	No APR	High	Yes
50590	EEG	Energy & Environment Global Programme	Low	Yes	Low	Yes
57463&65	Gender	Implementation of corporate Gender Plan	Medium	No	Medium	Yes
54273	Poverty	MDG Support	High	No APR	High	Yes
58407	Poverty	SPPR Cluster Support	No documentation was available for this project			
52597	Poverty	Commodities Workshop Project	High	Yes	High	Yes
11440	Poverty	Policy Advice for Economic Alternatives	Medium	No	Low	Yes
44006	Cross Practice	Trade, Trips & Access to HIV/AIDS Medicine	Medium	Yes	Medium	Yes
50520	Cross Practice	Aid Effectiveness for Reducing Poverty	High	Yes	Medium	Yes
52687	Cross Practice	Macro Economic Policy against HIV/AIDS	Low	No APR	Low	Yes
<b>TALLY FOR 21 PROJECTS</b>			8 High	9 No APR	9 High	20 Yes
5 DGG	3 EEG	2 Gender	7 Medium	4 No	4 Medium	
2 CDG	4 Poverty	3 Cross Practice	5 Low	7 Yes	7 Low	
2 HIV/AIDS						

	MYFF Alignment	Other Service Lines Linkage	Focus on Outcomes	Progress Self Assessment	Human Development	Gender	Capacity Development	South-South Imprint	National Ownership	Level of Innovation
	Yes	No	No	No APR	Low	Low	High	Low	Low	Medium
	Yes	Yes DGCOP	No	Yes	Low	Low	High	Low	Low	Medium
	Yes	No	No	Yes	Low	Low	Low	Low	Low	Medium
	Yes	Yes BCPR	No	No	Low	Low	Low	Low	Low	Medium
	Yes	No	No	No APR	Low	Low	Medium	Low	Low	Low
	Yes	No	No	Yes	High	High	High	Low	High	High
	Yes	Yes indirectly with all	No	No APR	Low	Low	High	Low	Low	Low
	Yes	Yes CD	No	No APR	Low	Medium	High	High	Medium	High
	Yes	Yes CD	No	No APR	High	Medium	High	High	Medium	High
	Yes	Yes CD & MDGs	No	Yes	Low	Low	High	Low	Low	Medium
	Yes	Yes CD & MDGs	No	No APR	Medium	Medium	High	Low	Medium	Medium
	Yes	Yes CD & MDGs	No	No	Medium	Low	High	Low	High	High
	Yes	Yes all service lines	No	No	Medium	High	High	Low	Low	Low
	Yes	No	No	No APR	High	High	High	Low	High	High
	Yes	No	Yes	Yes	High	Low	Low	High	High	High
	Yes	No	No	No	Medium	Low	Medium	Low	Low	Medium
	Yes	Yes Poverty	Yes	Yes	High	Medium	High	High	High	High
	Yes	Yes BCPR, BRSP, EO, RBs	No	Yes	High	Low	High	Low	Medium	High
	Yes	Yes Poverty	No	No APR	Low	Low	Low	High	Low	Low
	20 Yes	13 Yes	2 Yes	9 No APR	6 High	4 High	14 High	5 High	5 High	8 High
		7 No	18 No	7 Yes	5 Medium	4 Medium	2 Medium	15 Low	4 Medium	7 Medium
				5 No	9 Low	12 Low	4 Low		11 Low	5 Low