DRAFT

Joint meeting of the Executive Boards of
UNDP/UNFPA and UNICEF, with the participation of WFP
Friday, 26 January 2001

PROGRESS WITH THE USE OF COMMON COUNTRY ASSESSMENT INDICATOR FRAMEWORKS

1.   This report has been prepared in response to Economic and Social Council resolution E/2000/27 of 28 July 2000, relating to basic indicators for the integrated and coordinated implementation and follow-up to major United Nations conferences and summits at all Levels. Operative paragraph 7 requests "the Executive Boards of the United Nations Funds and Programmes, with the support of the Statistics Division of the United Nations, to review as a matter of urgency the Common Country Assessment indicator frameworks and report thereon to the Economic and Social Council at its substantive session of 2001".

2.   This paper also serves as an input to the review that forms an integral part of the evaluation of the impact of the Common Country Assessment(CCA)/ United Nations Development Assistance Framework (UNDAF), which the General Assembly decided to conduct (A/Res/53/192 of 15 December 1998) as part of the 2001 triennial comprehensive policy review of operational activities for development (TCPR). Further, it will provide an input to the 2001 work plan of the United Nations Development Group (UNDG) in implementing the United Nations Millennium Declaration, which highlights cross-sectoral issues and crosscutting themes on development and peace and security, per General Assembly resolution A/Res/55/162 of 14 December 2000.

3.   This paper is divided into four sections. Section A provides an overview and background of the role of indicators in the CCA; section B reviews the development, application and use of CCA indicator frameworks in countries that have completed CCAs; section C examines the role of CCA indicator frameworks for assessing and strengthening national capacities; and section D concludes by considering some of the lessons learned and future challenges in the further development and use of CCA indicator frameworks.

4.   The analysis in this paper is based on several sources of information, including: (a) a field inquiry addressed to United Nations country teams in the 37 countries that started and completed a CCA between April 1999 - the time when the CCA guidelines were issued - and October 2000[*]; (b) a review of the indicator frameworks contained in a sample of completed CCAs; and (c) evidence of the use of CCA indicator frameworks contained in the 1999 annual reports of resident coordinators.

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[*] An impressive total of 36 United Nations country teams responded to the questionnaire that was sent out as part of the field inquiry on the processes relating to the preparation and use of CCA indicator frameworks (annex I). Of these 36 countries, some were in the midst of a complex humanitarian crisis or recently recovering from one.

A. Role of indicators in the CCA

5.   The CCA has become an established, evidence-based process for reviewing and analysing a country's development situation with a focus on people, especially the poor. The process, led by United Nations country teams and national authorities, now increasingly involves civil society, other development partners and the private sector (Box 1). The CCA provides an opportunity for the United Nations system to work with Governments to develop coherent programmes and to identify key development issues, and in some situations disaster prevention, mitigation and recovery methods, as a basis for advocacy and policy dialogue. The CCA helps identify issues to be addressed in the UNDAF - a document which requires government agreement and which outlines the United Nations system's strategy for supporting a country's national development priorities. By the end of 2000, some 63 countries had already completed a CCA and a further 50 countries are in the process of formulating one (annex II).

Box 1: Teamwork, ownership and consultation: keys to success of Nepal's CCA

The ability of the United Nations country team to make the commitment to work as a team played a large part in the success of the CCA in Nepal. Inter-agency theme groups worked together in the preparation process, bringing a sense of ownership at all levels and among all agencies. The process also resulted in a realization that the United Nations contribution to addressing the development challenges of Nepal will be effective only if all agencies work together on priority issues.

The final drafts of the CCA were subject to a series of consultative meetings with the Government, donors and civil society. These consultations, which were major events involving hundreds of people both in Kathmandu and the field, helped to highlight United Nations coordination as a real and dynamic process, and showed that reform was a serious attempt to ensure that United Nations agencies in Nepal worked together on common priorities.

The preparation of the CCA in Nepal has led to a number of immediate, positive results. Among these are the adoption of a human rights approach as the focus of United Nations agency work in Nepal; the planning and scheduling of the CCA and UNDAF as key components of the agencies' country programme preparation process; and the adoption of the CCA in the assessment and analysis of the country's situation. Breaking down barriers among United Nations agencies and building a strong team with a clear commitment to work together on well-defined priorities is at the heart of reform at the country level.

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6.   The CCA and UNDAF guidelines, issued in April 1999, help guide the preparatory processes, including the assessment and analysis work. A feature of the guidelines is the considerable flexibility given to United Nations country teams, both in deciding how the process will be carried out and in ensuring that the CCA/UNDAF respond to national development priorities.The global United Nations conferences and summits held in the 1990s and the United Nations conventions set a number of interconnected and mutually reinforcing goals, targets and obligations for progressively eradicating poverty and hunger and for improving the quality of life of all individuals (mostly to be achieved by 2015), and for realizing their rights. A focus on national priorities, conference/summit goals and convention obligations within the context of the CCA is consistent with a rights-based approach to development. A rights-based approach to the assessment and analysis of the development situation provides a comprehensive picture of the needs for development assistance in a given country. This approach is people-centred and participatory, it promotes empowerment and accountability, and it is based on, in addition to national priorities and needs, the objectives and obligations set by universally accepted

human rights norms and standards. The CCA guidelines contain an indicator framework that helps countries examine progress made towards achieving major conference goals and convention obligations (annex III).

7.   The primary purposes of the CCA indicator framework are: (a) to focus on national and international development goals; (b) to provide a quantitative focus for measuring results in achieving the major development goals and objectives of United Nations conferences, summits and conventions; (c) to flag key development issues covered by United Nations agency mandates; and (c) to help identify data gaps and constraints in the capacity of national statistical systems. The CCA indicator framework is not intended to serve on its own as a comprehensive description of a country's development situation. This requires a broader information base, including research on deprivation, discrimination, coping mechanisms and vulnerability.

8.   The categories included in the CCA indicator framework have been designed to capture the many dimensions of poverty, that is, the centrality of its human, institutional and social dimensions, in addition to income-poverty (annex III). In this way, the CCA helps to draw attention to the need for policy and programme interventions, not merely to target income-poverty, but also to complement actions to directly support increased access to, and improved outcomes in, nutrition and health (including reproductive health and education), and to support the realization of human rights. The CCA indicator framework includes, *inter alia,* a special focus on gender, with the inclusion of indicators to measure progress towards women's empowerment and equality in the social, economic and political spheres. Gender is also mainstreamed within other indicators by disaggregating all data by sex. Other crosscutting issues, including food security, environmental sustainability, population, HIV/AIDS, and the promotion and protection of children's rights, are included in the CCA indicator framework.

9.   The process of developing the CCA indicator framework involved wide consultation and was led by an Inter-Agency Working Group of UNDG members, incorporating suggestions and reviews of a draft list of indicators by United Nations specialized agencies, regional commissions and United Nations country offices. National experiences with the CCAs from the 18 UNDAF pilot countries were also taken into account.

10.   Several criteria were used for selecting the indicators contained in the CCA indicator framework: first, the indicators should provide relevant and robust measures of progress towards the major goals and objectives of United Nations conferences, summits and conventions; second, the indicators should not impose an additional burden on the workload of countries (which limited the number of suggested indicators); third, the indicators should be constructed from existing and well-established data sources, be quantifiable and capable of consistency of measurement over time; and fourth, the indicator framework should build on other global indicator lists related to conference follow-up. These lists include a Minimum National Social Data Set agreed among Governments; the list established by the Administrative Committee on Coordination Task Force on Basic Social Services for All; and those relating to seven key international development goals of the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD), the World Bank, the International Monetary Fund (IMF) and the United Nations. The indicators in these lists are essentially subsets of the CCA indicator framework. The CCA list includes a larger number of indicators because it relates to a broader set of goals drawn from a larger number of United Nations conferences, summits and conventions.

11.   The list of indicators contained in the CCA indicator framework is neither exclusive nor prescriptive, and some of the indicators may not be applicable to a specific country setting. The framework is adapted by United Nations country

teams, in consultation with local counterparts, to take into account additional indicators relating to national development priorities, where these are not reflected in the CCA list, and to assess vulnerabilities at the subnational level (for example, in terms of access to basic social services and food insecurity). By these means, each country develops its own CCA indicator framework which becomes part of a broader information base to assess the national development situation.

12.   In summing up the early experiences with the use of the CCA indicator framework, the synthesis report on the 1999 resident coordinator annual reports, prepared by the UNDG Office in August 2000, noted, "Country teams agree that the CCA indicator framework has facilitated or will facilitate conference follow-up in pursuit of national development priorities. In Trinidad and Tobago, the CCA was used as the basis for preparing the mid-term review of the World Summit for Social Development. In Nepal, the CCA indicators will be used by an inter-agency task force to monitor the follow-up to the global conferences. In Lebanon, as an integral part of the CCA, a comprehensive monitoring framework for global conferences was further developed." In using the CCA indicator framework, several countries, including Ghana, Haiti, the Lao People's Democratic Republic, Lebanon, Namibia, Nepal and Rwanda, have established their own benchmarks for monitoring national development priorities and conference follow-up, identifying data gaps and data management needs.

B.   Development, application and use of CCA indicator frameworks in countries

13.   This section summarizes the results of the field inquiry as they relate to (a) selection of country-specific indicators; (b) extent of national involvement in the process; (c) sources of information and collection mechanisms; (d) establishment of databases; (e) use of indicators in a CCA document; (f) linkages with national planning and Poverty Reduction Strategy Papers (PRSPs), and (g) partnerships. The quality and detail of the responses from the United Nations country teams varied and for this reason the analysis below is not given in table format.

Selection of country-specific indicators

14.   The process of selecting country-specific indicators varies considerably from one country to another. In general, indicators are selected through inter-agency task forces or theme groups, which usually consist of United Nations staff members, national experts and/or government officials. These groups propose a final list of indicators, taking into account the suggested indicators contained in the CCA guidelines (Box 2). The availability of data is frequently a factor in determining which indicators are chosen. Thus the lack of data on nontraditional indicators, such as crime prevention and drug control, environment, and civil and political rights, means that relatively few countries that have undertaken a CCA have included indicators in these areas.

Box 2: Indicator selection for China's CCA

The United Nations country team in China undertook its first CCA between April 1999 and July 2000. It was a truly collaborative exercise that included contributions from such key partners as bilateral donors, non-governmental organizations (NGOs), the IMF and the World Bank. The country team worked in close cooperation with the Government, which established a "mirror team" of counterpart ministries of the various United Nations organizations. Altogether, 11 inter-agency theme groups and task forces were established, corresponding to key policy concerns in the areas of poverty alleviation, food security and agriculture, gender, basic education, environment and energy, industrial

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restructuring and regional development, social protection, HIV/AIDS, disaster management, rule of law and health.

In order to select baseline indicators for the assessments and analysis, each theme group/task force was requested to define indicators that best reflected the reform and development situations in the specific substantive area. The indicators suggested by each group were subsequently combined and discussed at a joint meeting of representatives of all thematic groups - from both the United Nations country team and the Government's mirror team. A total of 92 indicators were chosen for analysis, reflecting national priorities and international goals.

Data collection was divided among the theme groups and task forces: most hired local experts to help with the compilation of the indicators and the topic-specific analysis. The data for the indicators were obtained from published sources, especially reports of the National Bureau of Statistics. The China CCA exercise succeeded in making the link between the lack of information and proposals for statistical capacity-building. For example, because of a lack sex-disaggregated data, United Nations agencies working in the Gender Theme Group are currently sponsoring activities to encourage the production of sex-disaggregated statistics. Further, the country team is taking measures to make the database established through this CCA process accessible both within and outside the United Nations system, and is seeking sustainable mechanisms to maintain the database.

15.   A typical example of the selection process is the case of Ghana, where the CCA indicators were selected by six theme groups comprising government agencies, the United Nations system, civil society and donors, as well as expert consultants. The six groups focused on particular aspects of human development, namely, access to health; education; food security and nutrition; income and employment; water and sanitation; and protection and political participation. A more novel example is the case of Barbados, where the Sub-Regional Common Assessment (SRCA) was updated and compiled by the Sir Arthur Lewis Institute of Social and Economic Research of the University of the West Indies, following reviews by the United Nations development system in the Eastern Caribbean and consultants assigned to develop the SRCA from existing data in official national, regional and international reports.

16.   In general, evidence from the field inquiry shows that United Nations country teams, in cooperation with Governments, developed and used country-specific indicators (Box 3). Several country teams noted that the CCA indicators should be further developed by UNDG on the basis of lessons learned in the field. Some countries made specific references to human rights and governance indicators, particularly the lack of data for making meaningful assessments and analyses.

Box 3: Ethiopia's indicator framework spotlights food insecurity

The United Nations country team in Ethiopia selected indicators for the CCA on the basis of major thematic areas that best portrayed national developmental priorities. These areas include population; education; health; employment; agriculture and environment; gender and the empowerment of women; governance and participation; refugees and returnee issues; and crosscutting developmental challenges like the HIV/AID pandemic.

Most data were collected and compiled from official government publications. Gaps were filled from other sources after consultations with line

ministries, the University of Addis Ababa, the private sector, NGOs and other development partners, regarding data consistency and timeliness. Government experts, especially those from the Central Statistical Authority and attached to the CCA Technical Committee, facilitated this process. The Ethiopian CCA illustrates how the use of additional indicators not contained in the core CCA framework helps facilitate country specific analysis: "Ethiopia's land area of about 1.1 million square kilometres suffers from severe degradation due to deforestation by farmers and grazing (about 0.2 per cent per year). As a result, it is estimated that every year 1.5 to 2 billion tons of topsoil are washed away by erosion. This, coupled with diminishing average farm size and decrease in farm income, inevitably leads to food insecurity. Agricultural land statistics show that 45 per cent of total land area is arable, but only 13 per cent of the potential is currently used for annual crops. Only 3 per cent of the potential irrigable land is currently being irrigated. Coupled with the decline in production of cereals over the last half a century, food insecurity in Ethiopia, both chronic and transitory, is still being exacerbated by recurrent drought effects."

Extent of national involvement in the process

17.   Most of the 36 countries responding to the field inquiry reported having initiated a consultation process with the Government in the selection and compilation of indicators used in the CCA. Where consultations occurred, these were generally with the national statistical offices and other line ministries. For example, the country team in Swaziland reported discussions with some line ministries, particularly on indicators where there were differences in indicator values from different sources. In such cases, the central statistical office made the ultimate judgement in determining what figure should be used.

18.   In cases where consultations with the Government occurred only after a first draft of the CCA had been completed, the selection of indicators was made primarily by United Nations agencies, although often in consultation with national experts. Some 29 of the 36 responding countries reported using national experts.

19.   Some countries noted that there is a need to develop indicators in an even more participatory process. For example, in the response from Mauritius, it is noted that, at the country level, statistics collected by the Government are public sector biased and may underestimate the private sector activity rate.

Sources of information and collection mechanisms

20.   A wide range of data sources is drawn upon in the elaboration of a CCA indicator framework. Nineteen countries reported using primarily national sources, such as official annual reports from ministries, national censuses and surveys, and databases from national statistics institutions. In the main, these countries stated that international sources were also consulted or used to enable regional and international comparisons, or when national data were not available. The remaining 17 countries stated that both national and international sources were used, without prioritization.

21.   Fifteen of the 36 countries reported that the role of the national statistical system was central to the CCA process, with the Government involved in the selection and validation of indicators. In the Gambia, the Central Statistical Department was contracted to generate the CCA database, which was later validated at a national workshop. In most countries, national sectoral experts were either fully consulted or directly involved in the compilation of the CCA indicators. In Guyana, national experts played a role in assessing the quality of the available data for the selected indicators.

22.   A lesser degree of involvement by the national statistical system was reported in some countries, such as in Armenia and Sri Lanka, where the responses made reference to early consultations with the Government about the indicators. In only a few cases, the national statistical system played a limited role, providing data to the United Nations country team through a questionnaire. It was reported that in Swaziland, United Nations staff members compiled the CCA information by calculating figures from statistical tables supplied by the Central Statistical Office.

23.   Some responses from United Nations country teams in countries that have experienced complex humanitarian crises, such as Burundi, Ethiopia and Rwanda, noted that crisis and post-crisis situations present many difficulties for obtaining meaningful data for assessments and analysis, especially at subnational levels, and hence there is much greater reliance on international sources (Box 4). Crisis situations often lead to the collapse, or near collapse, of national statistical systems. And crisis situations underscore the need for strengthening data collection and analysis capacity at subnational levels, since many humanitarian crises are at local levels.

Box 4:   Crisis erodes capacity to collect data in Burundi

The Burundi country team launched its second CCA in 1998 with a meeting of heads of agencies, during which key themes and problems facing the country were identified and ranked in order of their importance. The major thematic areas that emerged were the pursuit of peace, the promotion of human rights and the strengthening of civil society; access to basic services; and the crisis facing the rural sector. The country team established theme groups to carry out the substantive assessment and analysis of the national development situation.

The theme groups were charged with identifying indicators that best demonstrated trends in each of the selected thematic areas. Predominantly national sources were used to compile the various indicators used in the CCA. The database of the Burundian Institute for Statistics and Economic Study was a major source of information. Other sources included: the database on people affected by the crisis, maintained by the Ministry for the Reinstallation of Returnees and Displaced Persons, and line ministry databases. A strong link was taking place between the CCA and a national round-table process that was ongoing at the time. Documentation prepared by the Government for this process was used extensively in the preparation of the CCA.

The CCA indicator framework allowed United Nations agencies in Burundi to identify missing and incomplete data, a problem prevalent in the country, where the earlier complex humanitarian crisis had severely eroded the capacity of ministries and institutes to collect data. Some key development indicators had to be excluded from the CCA, as there was insufficient data to render any analysis meaningful. Nevertheless, the exercise served to highlight areas where United Nations or bilateral assistance can help to rebuild the national statistical system.

Establishment of databases

24.   Seventeen countries have established an indicator database for national development priorities and conference follow-up, and a further nine are planning to do so. In most cases, the CCA database has been established and maintained by individual United Nations agencies or by inter-agency teams. In four cases, Ethiopia, the Gambia, Guyana and Kyrgyzstan, the database is maintained by the Central Statistics Department or another government agency. In India, the inter-agency working group in charge of the CCA database included United Nations

agencies, representatives of the Government, NGOs, and a consultant firm that was hired to prepare the CCA database.

25.   All countries reported that their CCA databases were kept as separate databases. A number of countries, including Algeria, Bolivia, the Gambia, Ghana, Guatemala and the Lao People's Democratic Republic, mentioned the need for the CCA database to become an integral part of the government database.

26.   While United Nations country teams recognized the need for updating and maintaining the CCA indicator database as and when data become available, their ability to do so was limited due to resource constraints and lack of expertise. Several United Nations country teams underlined the importance of supporting government efforts to establish up-to-date databases that can be used for monitoring conference follow-up by all interested users.

Use of indicators in CCA documents

27.   Evidence from the field inquiry suggests that indicators contained in the CCA were used for several interrelated purposes, including most frequently as a basis for the country assessment and analysis, to carry out situational analyses, and to identify key areas for policy and development. The Colombia country team noted that the indicators included in the CCA were an instrument of dialogue and served as a basis for commitment to support national efforts to overcome problems identified. In the Lao People's Democratic Republic, indicators provided the basis for discussions and analysis of key policy issues and were used to give weight to assessment and to identify progress towards national and international conference goals. Another use of the indicator framework was as a tool for joint programming among all United Nations agencies, as reported by India and Trinidad and Tobago, for example.

Linkages with national planning and PRSP

28.   Eleven of the 36 countries reported that the CCA exercise was related to other ongoing national policy processes and frameworks, such as five-year national development plans, and a further 7 explicitly mentioned linkages with the PRSP process, including using some of the CCA indicators and related analysis as inputs. In Thailand, for example, the National Economic and Social Development Board reported the usefulness of the CCA for the mid-term evaluation of the Eighth National Economic and Social Development Plan. In Ghana, the CCA provided useful background information for the Comprehensive Development Framework (CDF). The CCA findings also supported the PRSP process. The CCA will be a useful input to the national medium-term development plan, Vision 2020 Second Step. In Haiti, the Ministry of Plan elaborated a Haitian poverty map, building on the information collected in the CCA process, which was subsequently used in the PRSP process.

Partnerships

29.   Many countries indicated that consultations between the United Nations country teams and government officials during the preparation of the CCA were extremely productive. In Ghana, in particular, an important linkage had been the participation in the process of groups constituted, and led by, government agencies, in close collaboration with donors and the increasing participation of civil society and private sector representatives. In Burundi, the establishment of common indicators has the potential to improve inter-agency synergies. In Trinidad and Tobago, it is felt that more collaboration between United Nations agencies nationally and internationally could help to discourage agency-specific data collection activities that focus merely on meeting the needs of agency mandates, while disregarding the need for integration and collaboration. Several countries reported that data exchange mechanisms at country level, between the

United Nations system, government agencies and other partners, need strengthening.

C. Role of the CCA indicator framework for strengthening national capacity

30.   Capacity-building is an integral feature of a CCA. The CCA guidelines note that most indicators in a CCA indicator framework can be constructed from existing, well-established sources. Country data are used where available and of reasonable quality. When national data are not available, a CCA identifies the data gaps and considers the need for human and institutional capacity-building of national statistical systems. In fact, in the field inquiry, approximately one third of the countries explicitly mentioned that the national data collection/analysis situation was weak and needed strengthening urgently. They mentioned the importance of supporting government efforts to improve the national statistics system.

31.   In some countries, the lack of data from a recent population and housing census or large-scale survey posed serious problems when attempting to construct the population-based indicators required in a CCA. Such data are crucial for national and local policies, plans and development frameworks. Without such data, decision-making is based on outdated and unreliable statistics, which can lead to serious policy and resource allocation distortions. Conducting population censuses and large-scale surveys is an expensive endeavour, often requiring external technical and financial resources.

32.   Several countries, including the Lao People's Democratic Republic and Mauritius, noted a lack of sex-disaggregated statistics and gender-based indicators for measuring progress towards gender equality, equity and women's empowerment. Others, such as Costa Rica and Kazakhstan, noted that they are developing gender specific indicators (Box 5). In Ghana, in order to apply a human rights-based approach in conducting the CCA, there was need for dissaggregated data by sex, geographical location, area and any identifiable grouping relevant to the exercise.

Box 5: Compiling sex-disaggregated indicators in Kazakhstan

CCAs require sex-disaggregated data to measure progress towards the global conference goals of gender equality and women's empowerment. In many countries, sex disaggregated information is frequently not available, or available for only a limited number of variables. Yet such data are essential to encourage national and local leaders to advocate the need to address gender inequalities through gender-sensitive policies and programmes. This was recognized by the authorities in Kazakhstan, a country where data are sparse.

At the start of the preparation of the CCA/UNDAF in Kazakhstan, the United Nations country team provided technical assistance to the Agency for Statistics to help compile a publication on "Women and Men of Kazakhstan", the first set of sex-disaggregated statistics ever published by the Agency. This investment in national capacity-building in data collection and compilation has been extremely fruitful, as it has enabled Kazakhstan to identify a number of social and economic areas where there are wide disparities between men and women.

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33.   Several countries, including Burundi, Ghana, the Lao People's Democratic Republic, Sao Tome and Principe, Sri Lanka and Viet Nam, described the types of data gaps encountered in trying to compile their CCAs. A major problem reported was the lack of data to construct indicators on accessibility, including availability, affordability, quality and level of utilization of public goods and services, as well as on political and civil rights, one exception being Colombia (Box 6). Another problem mentioned by Bolivia, *inter alia*, is the

inconsistency in the methodologies used to derive the "same" indicator over time. Despite the difficulties encountered, only nine countries reported the use of proxy indicators to bridge data gaps and/or make subjective estimates, although in one case it was cautioned that it is not good practice for United Nations agencies to make and use estimates unless they were sanctioned by the Government.

Box 6: Indicator selection using a rights-based framework in Colombia

In Colombia, the CCA was prepared between mid-1998 and March 1999 - a period of significant social and political instability, national elections and government transition. A rights-based framework was used to assess and analyse the country's situation. Dividing the CCA into three areas -- the right to life, civil and political rights, and economic, social and cultural rights -- the United Nations country team, in collaboration with national experts, made an assessment of the development situation in each of the areas. Working through thematic groups, a selection of indicators was made using this framework to help measure development progress and challenges in the realization of the various rights.

Each agency, in accordance with its mandate and its knowledge base, facilitated appropriate indicators for the implementation of the CCA process. The continuous interchange and feedback of information among United Nations agencies, national authorities, NGOs and the private sector made possible the selection of adequate indicators to coordinate and construct a common vision and promotion of cooperation for Colombia. United Nations system projects have generated indicators used by the Government and academia. Government entities received technical cooperation from United Nations sectoral agencies, which have provided, with constant feedback, the basis of a strong database of information.

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34.   National capacity for compiling a comprehensive CCA indicator framework is severely constrained in many countries. Thus in the field inquiry, 18 country teams reported that there existed programmes or projects to strengthen national statistical capacity, or that there were concrete plans to do so within the UNDAF.

D.   Lessons learned and future challenges

35.   The increased demand for indicators to measure development progress has heightened national and international awareness of the need to build sustainable statistical capacity for timely and relevant statistics for policies and programmes. The ability to provide timely indicators requires several data collection instruments which should be part of a sequenced information strategy managed by the national statistical office. Experience to date with the CCA shows that many countries have statistical capacity constraints in putting together a national indicator framework. Additional donor resources and technical assistance, including within the context of the CCA/UNDAF, are required to strengthen institutional and human resource capacities of national statistical systems.

36.   Experience suggests that, in many countries, CCA indicator frameworks are ad hoc in nature, with no established mechanisms for follow-up and sustainability. One way to ensure sustainability is to develop and routinely maintain databases of indicators for conference follow-up within national statistical systems, and to have these serve the needs of national and international users. Annual reports of resident coordinators are another vehicle that can be used to support international monitoring.

37.   Compiling the indicator base for CCAs has played an instrumental role in forging partnerships between United Nations agencies and Governments. Data collection is costly and often long term, and countries generally have very limited resources to develop and strengthen statistical capacity. It is a challenge for all development partners, including civil society and the private sector, to work in a coordinated way to support national efforts to develop statistical capacity to produce, analyse and use indicators for policy and programming purposes. In this context, the United Nations regional commissions can play a key role in supporting countries, especially given their comparative advantages at the regional level. The use of common indicators in the context of results-based management programming by the United Nations system necessitates promoting and strengthening partnerships for supporting national data collection efforts.

38.   The CCA indicator framework can change over time in response to need and new development priorities, as reflected in the national plans, conference plus-5 and plus-10 reviews, and especially in the United Nations Millennium Declaration. For example, one of the goals stated in the Declaration is to achieve, by 2020, a significant improvement in the lives of at least 100 million slum dwellers - as proposed in the Cities Without Slums initiative. New indicators are needed to measure progress towards meeting this goal and to be included in CCA indicator frameworks when appropriate. This is also the case with respect to indicators measuring the provision of special assistance to children orphaned by HIV/AIDS and to social security and safety nets.

39.   In the development and specification of new indicators, it is important to build on lessons learned and good practices, including greater country- and regional-level participation and collaboration in the indicator selection process, as well as greater coordination among agencies within countries, to reconcile differences in the data used in constructing various indicators. Experience suggests that increased collaboration among United Nations agencies has also helped to facilitate better coordination among national agencies. In future, there is also a need to further develop standard definitions and methodologies for indicators for conference follow-up, especially in nontraditional statistical areas.

40.   The CCA indicator framework has been in use for less than two years. The analysis and observations made in this report are based on experiences to date, in a sample of countries. In-depth analysis of a larger number of countries, including the involvement of national and international experts, is required in order to provide a more comprehensive evaluation of the strengths and weaknesses of using CCA indicator frameworks. This could well form part of the evaluation of the CCA/UNDAF process being undertaken as part of the 2001 TCPR.

Annex I

United Nations country teams responding to UNDG field inquiry on
CCA indicator frameworks

Region	Responding country teams
Africa	Burundi, Chad, Ethiopia, Ghana, the Gambia, Lesotho, Mauritius, Namibia, Rwanda, Sao Tome and Principe, South Africa, Swaziland
Asia and Pacific	Bangladesh, China, India, Lao People's Democratic Republic, Nepal, Sri Lanka, Thailand and Viet Nam
Latin America and Caribbean	Barbados, Bolivia, Chile, Colombia, Costa Rica, Guatemala, Guyana, Haiti, Honduras, Panama, Trinidad and Tobago
Arab States	Algeria
Europe and CIS	Armenia, Kazakhstan, Kyrgyzstan, Latvia

Annex II

Countries that have completed a CCA or where a CCA is in progress
(as of 31 December 2000) [*]

Region	Status of CCA	Country	Number
Africa	Completed	Benin, Burundi, Cameroon, Chad, Equatorial Guinea, Ethiopia, Gabon, the Gambia, Ghana, Kenya, Lesotho, Liberia, Madagascar, Mali, Mauritius, Mozambique, Namibia, Niger, Rwanda, Sao Tome and Principe, Senegal, South Africa, Swaziland, Togo, Zambia, Zimbabwe	26
	In progress	Angola, Burkina Faso, Cape Verde, Central African Republic, Comoros, Côte d'Ivoire, Democratic Republic of the Congo, Eritrea, Guinea, Guinea-Bissau, Malawi, Mauritania, Nigeria, Uganda, United Republic of Tanzania	15
Asia and the Pacific	Completed	Bangladesh, Bhutan, Cambodia, China, East Timor, India, Nepal, Thailand, Viet Nam	9
	In progress	Fiji, Indonesia, Islamic Republic of Iran, Kiribati, Lao People's Democratic Republic, Malaysia, Maldives, Mongolia, Myanmar, Pakistan, Papua New Guinea, Solomon Islands, Sri Lanka	13
Latin America and the Caribbean	Completed	Argentina, Barbados, Bolivia, Brazil, Chile, Colombia, Costa Rica, Dominican Republic, Guatemala, Guyana, Honduras, Nicaragua, Panama, Peru, Suriname, Trinidad and Tobago, Uruguay	17
	In progress	Cuba, El Salvador, Haiti, Jamaica, Mexico, Venezuela	6
Arab States	Completed	Algeria, Lebanon, Morocco, Sudan, Syrian Arab Republic	5
	In progress	Egypt, Jordan, Saudi Arabia, Tunisia, Yemen	5
Europe and CIS	Completed	Armenia, Kazakhstan, Kyrgyzstan, Latvia, Moldova, Romania	6
	In progress	Azerbaijan, Belarus, Bosnia, Bulgaria, Georgia, Kosovo (Federal Republic of Yugoslavia), Poland, Russia, Turkey, Turkmenistan, Uzbekistan	11
All regions	Completed		63
	In progress		50

[*] CCAs are mandatory for all UNDAF roll-out countries and voluntary for all others.

Annex III

CCA indicator framework

Conference goal	Target	Indicators (disaggregated by sex)
Income-poverty		
Reduced income- poverty levels	Proportion in extreme poverty in 1990 reduced by half by 2015 (WSSD + 5)	• Poverty headcount ratio (% of population below national poverty line, and % of population existing on less than $1 dollar a day) • Poverty gap ratio • Poorest fifth's share of national consumption
Food security and nutrition		
Improved child nutrition	Severe/moderate malnutrition among children under 5 reduced to half of 1990 level by 2000 (WSSD/FWCW/WSC/WFS)	• % of children under age 5 suffering from malnutrition
Increased food security	Reduce number of chronically undernourished by half by 2015 (WFS)	• % of population below minimum level of dietary energy consumption (caloric intake in context of food balance sheet) • % of household income spent on food for the poorest quintile
Health and mortality		
Improved health care	Universal accessibility of primary health care (ICPD/WSSD/FWCW)	• % population with access to primary health care services
Reduction in levels of HIV/AIDS	Universal access to reproductive health services and information by 2015 (ICPD)	• Estimated HIV adult prevalence rate • HIV prevalence in pregnant women under 25 who receive antenatal care in capital cities/major urban areas
Reduced infant mortality	Reduction of IMR by one third of 1990 level and below 35 per 1,000 by 2015 (ICPD/WSSD/FWCW/WSC)	• Infant mortality rate
Reduced child mortality	Under-five mortality rate reduced by two thirds of 1990 level by 2015 (ICPD/WSC)	• Under-five mortality rate
Reproductive health		
Improved maternal health and reduced maternal mortality	Reduction by half of 1990 levels by year 2000 and a further half by 2015 (ICPD/WSSD/FWCW/WSC)	• Maternal mortality ratio • % of births attended by skilled health personnel
Increased access to family planning	Universal access to safe/reliable contraceptive methods (ICPD)	• Contraceptive prevalence rate

EFA – World Conference on Education for All, Jomtiem, 1990
FWCW- Fourth World Conference on Women, Beijing, 1995
GAD – General Assembly Twentieth Special Session on the World Drug Problem, New York 1998
HABITAT II – Second United Nations Conference on Human Settlements, Istanbul, 1996
ICPD – International Conference on Population and Development, Cairo, 1994
UNCED – United Nations Conference on Environment and Development, Rio de Janeiro, 1992
UNCPCTO – Ninth Congress on the Prevention of Crime and Treatment of Offenders, Cairo, 1995
WCHR – World Conference on Human Rights, Vienna, 1993
WFS – World Food Summit, Rome, 1996
WSC – World Summit for Children, 1990, New York
WSSD – World Summit for Social Development, Copenhagen, 1995

Child health and welfare		
Improved child health	Universal immunization against measles (WSC)	• % of 1-year-old children immunized against measles
Reduced child labour	Elimination of child labour (WSSD)	• % of children < age 15 who are working
Education		
Increased access to basic education	Universal access, and completion of primary education by 2015 (EFA/FWCW/WSC/ICPD)	• Net primary enrolment or attendance ratio • % of pupils starting grade 1 who reach grade 5
Increased literacy	Adult illiteracy reduced by half 1990 level by 2000 (EFA/WSSD/FWCW)	• Adult literacy rate • Literacy rate of 15- 24-year-olds
Gender equality and women's empowerment		
Gender equality in education	Eliminate disparity in primary and secondary education by 2005 (ICPD/WSSD/FWCW)	• Ratio of girls to boys in secondary education
Gender equality in employment	Eliminate discriminatory practices in employment (FWCW)	• Females share (%) of paid employment in non-agricultural activities
Women's political empowerment	Equitable access to political institutions (FWCW)	• % of seats held by women in national government, including parliament
Employment and sustainable livelihood		
Creation of full employment	Universal access to paid employment (WSSD)	• Employment to population of working age ratio • Unemployment rate • Informal sector employment as % of total employment
Housing and basic household amenities and facilities		
Adequate shelter for all	Provision of sufficient living space and avoidance of overcrowding (HABITAT II)	• No. of persons per room, or average floor area per person
Improved access to safe drinking water	Universal access to safe drinking water; full coverage of drinking water supply (by 2025) (FWCW/WSSD/UNCED)	• % of population with (sustainable) access to safe drinking water
Environment		
Improved environment	Clean and healthy environment and reversal of current trends in loss of environmental resources (UNCED)	• Carbon dioxide emissions (per capita) • Biodiversity: land area protected • GDP per unit of energy use • Arable land per capita • % change in km2 of forest land in past 10 years • % of population relying on traditional fuels for energy use
Drug control and crime prevention		
Improved drug control	Measurable results in reducing cultivation, manufacture, trafficking and abuse of illicit drugs by 2008 (GAD)	• Area under illegal cultivation of coca, opium poppy and cannabis • Seizures of illicit drugs • Prevalence of drug abuse
Improved crime prevention	Eliminate/significantly reduce violence and crime (UNCPCTO)	• No. of crimes per 100,000 inhabitants

Conference and convention indicators and governance and civil and political rights		
International legal commitments for human rights		
Universal ratification of international human rights instruments	Acceding to all international human rights instruments and avoiding the resort to reservations, as far as possible	• Status of ratification of, reservations to and reporting obligations under international human rights instruments • Status of follow-up to concluding observations of UN human rights treaty bodies
Democracy and participation		
Strengthened democratic institutions and popular participation	Free and fair elections and democratic government (WCHR)	• Periodicity of free and fair elections • Recognition in law of the right to freedom of expression, association and assembly
Administration of justice		
Fair administration of justice	Effective legislative framework, law enforcement, prosecutions, legal profession, and fair trials in conformity with international standards (WCHR)	• Recognition in law of guarantees for independent and impartial judiciary and fair trial
Improved framework of remedies	Existence of legal remedies in conformity with international standards	• Recognition in law of the right to seek judicial remedies against state agencies/officials
Security of person		
Liberty and security of person	Elimination of gross violations of human rights affecting security of person, including torture and cruel, inhuman or degrading treatment or punishment; summary and arbitrary execution; disappearances, and slavery (WCHR)	• Recognition in law of the prohibition of gross violations of human rights affecting the security of person

Contextual indicators	
Demographics	• Population size [d] • Total fertility rate • Life expectancy at birth
Economy	• GNP per capita (US$ and purchasing power parity) • External debt (US$) as % of GNP • Decade growth rate of GNP per capita (US$) • Gross domestic savings as % of GDP • Share of exports in GDP • Share of Foreign Direct Investment (FDI) inflows in GDP • % of public expenditure on social services

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