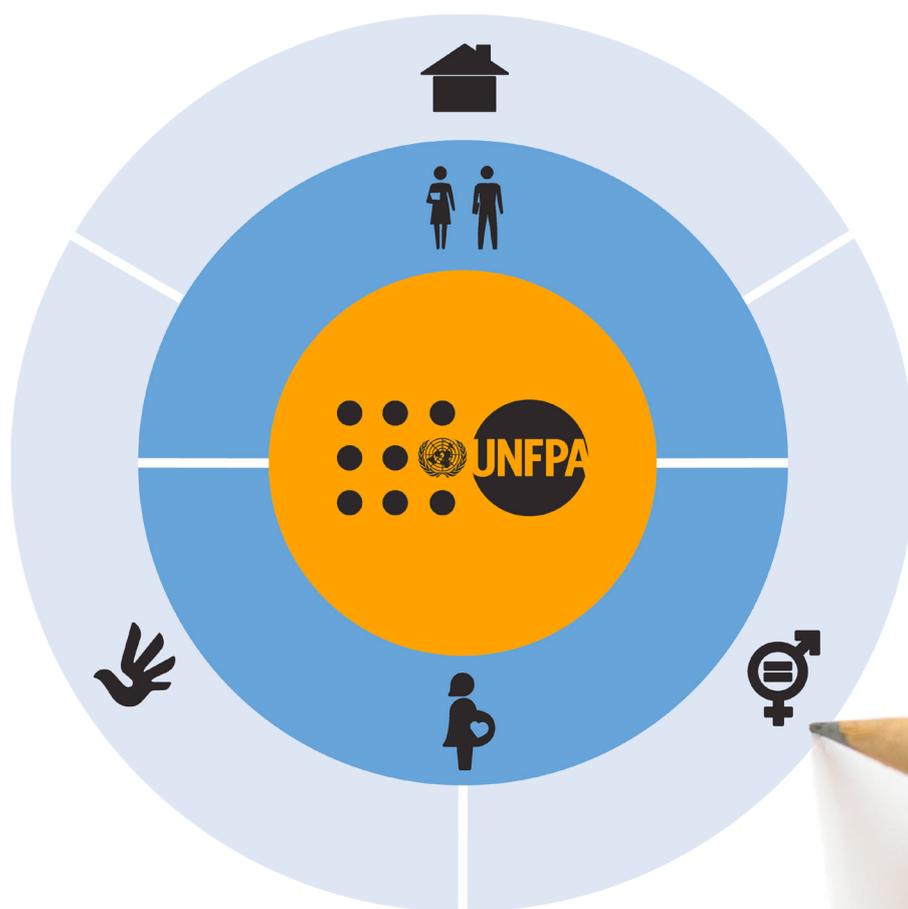# Evaluation of the architecture supporting the operationalisation of the UNFPA strategic plan 2014-2017

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ABBREVIATIONS AND ACRONYMS

CPAP	Country Programme Action Plan
CPD	Country Programme Document
CO	Country office
DAO	Delivery as one
DESA	Department for Economic and Social Affairs
DOCO	Development Operations Coordination Office
DRF	Development results framework
GRI	Global and regional interventions
HFCB	Humanitarian and Fragile Contexts Branch
HR	Human Resources
HRR	Humanitarian Response Reserve
ICPD	International Conference on Population and Development
IRF	Integrated Results Framework
MDG	Millennium development goal
MoE	Modes of engagement
MRF	Management results framework
MTR	Mid-term review
NCFAS	Non-core Funds Allocation System
NCFMU	Non-core Funds Management Unit
ODA	Official Development Assistance
OMP	Office Management Plan
PD	Programme Division
PRC	Programme Review Committee
QCPR	Quadrennial Comprehensive Policy Review
RAS	Resource allocation system
RDS	Resource distribution system
RO	Regional office
SDG	Sustainable development goal
SoPs	Standard Operating Procedures
SRH	Sexual and Reproductive Health
ToC	Theory of Change
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNEG	United Nations Evaluation Group
UNDP	United Nations Development Programme
UNFPA	United Nations Population Fund
UNICEF	United Nations Children's Fund
WFP	World Food Programme
WHS	World Humanitarian Summit
WHO	World Health Organization

ANNEX 1: TERMS OF REFERENCE

1. INTRODUCTION

1.   Evaluation at UNFPA serves three main purposes: (i) demonstrate accountability to stakeholders on performance in achieving development results and on invested resources; (ii) support evidence-based decision-making; (iii) contribute key lessons learned to the existing knowledge base on how to accelerate implementation of the Programme of Action of the 1994 International Conference on Population and Development.[1]

2.   The Evaluation Office will conduct an independent evaluation of the architecture supporting operationalisation of the UNFPA Strategic Plan 2014-2017 as part of its quadrennial budgeted evaluation plan, 2016-2019.

3.   In the original plan approved by the UNFPA executive board in 2015[2] the evaluation was to focus on the UNFPA global and regional interventions[3] but subsequent discussions with management made clear the difficulty (if not the impossibility) of assessing the relevance and performance of the global and regional interventions in isolation from the other elements underpinning the operationalisation of the strategic plan. The proposed change in scope was presented to an informal with the Executive Board in June 2016 and will be included in a revised Evaluation Office work plan to be presented to the Executive Board at the first regular session in January 2017.

4.   The evaluation will commence in September 2016 and the final report will be presented to the UNFPA Executive Board at the annual session in June 2017. The evaluation will be undertaken by the Evaluation Office with the support of an external team of experts to ensure that an independent and credible exercise is conducted. This terms of reference was prepared by the evaluation co-team leaders based on a document review and initial consultations with internal and external stakeholders. It aims to provide key information about the context and background of the architecture supporting the UNFPA Strategic Plan 2014-2017, the preliminary scope of the evaluation, the methodological approach and the expected deliverables. The evaluation team will conduct the evaluation in conformity with the terms of reference, under the overall guidance from the Evaluation Office and an evaluation reference group.[4]

2. RATIONALE, PURPOSE AND USERS OF THE EVALUATION

5.   The forthcoming Strategic Plan 2018-2021 will guide the organization for four years and is being developed in a context that is quite different from the one that existed when the ongoing plan was designed in 2012 and 2013. For example, the recent adoption of the SDGs and the start of the 2030 development agenda, the changing resource environment experienced by UNFPA and the increasing

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[1] Revised UNFPA Evaluation Policy (DP/FPA/2013/5) April 2013
[2] DP/FPA/2015/12
[3] Institutional evaluation of the strategic framework for UNFPA global and regional interventions
[4] These management arrangements are described in more detail in section 8

demand for humanitarian support. At the same time, the ongoing Strategic Plan introduced a number of innovations that need to be independently assessed.[5]

6.   The primary purpose of the evaluation is therefore to feed into the preparation of the new UNFPA Strategic Plan with independent evaluative evidence and lessons learned, specifically related to the elements of the architecture supporting the operationalisation of the strategic plan that are included in the scope of the evaluation. Given the original focus of the evaluation, special efforts will be made to examine the role of the global and regional intervention framework. The evaluation will be one among several sources of information that will feed into the development of the strategic plan. It will focus on macro-level issues within the defined scope and provide recommendations at the same level.

7.   This is the first independent evaluation of the supporting architecture of a UNFPA strategic plan. Although it is expected that the exercise will generate important findings, lessons and recommendations that will be of use to a variety of stakeholders, the primary users will be the UNFPA Staff preparing the new Strategic Plan and the Member States in their decisions on the developing the supporting architecture for the new Strategic Plan 2018 to 2021.

8.   A secondary purpose is to learn from the design and implementation of the UNFPA Business Model and specifically the element of guiding the type of work undertaken by the context in which it is undertaken. This was an important innovation and will have lessons that can be used by other United Nations entities. The main users will be the units responsible for strategic planning in other United Nations entities as well as the Member States who will collaborate on the design of strategic plans and ultimately approve them.

3. THE UNFPA STRATEGIC PLAN 2014-2017

9.   **UNFPA and the Strategic Plan.** The 2014-2017 Strategic Plan[6] was developed after a comprehensive review of the Fund's work[7], which enabled the introduction of a series of mutually reinforcing changes aimed at bringing coherence to the efforts to strengthen UNFPA. This included translating the vision set in the bull's eye into the concrete results it seeks to achieve; a business model to better positioned the fund to achieve these results in a changing world and lastly, directing the Fund's resources to the same strategic priorities. The 2015 annual report of the Executive Director examined the immediate implementation of the programme and in 2015 work started on the mid-term review of the plan that was presented to the Executive Board at the annual session in June 2016.[8]

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[5] The different context as well as the innovations are described in more detail in section 3
[6] Report of the Executive Director - UNFPA Strategic Plan 2014-2017 (DP/FPA/2013/12)
[7] Report of the Executive Director for 2012: Cumulative analysis of progress in implementation of the UNFPA strategic plan, 2008-2013 (DP/FPA/2013/3)
[8] Integrated midterm review and progress report on the implementation of the UNFPA Strategic Plan 2014-2017 (DP/FPA/2016/2)

10.   **The architecture supporting the operationalisation of the Strategic Plan.** The Strategic Plan 2014-2017 set out three inter-related elements of the architecture that was designed to support its operationalisation: (a) the integrated results framework; (b) the business model, and; (c) the funding arrangements. These are described in more detail below.

11.   ***Integrated Results Framework***: the integrated results framework was developed in close collaboration with the other funds and programmes, particularly UNDP, UNICEF, UN-Women and WFP based on the guidance from the QCPR. UNFPA has accountability for results across all levels (impact, outcome, and output), although attribution varies considerably between the impact level – which require the collective action of many stakeholders – and the output level, where the direct control of UNFPA is strongest. Although the outputs are formulated as changes in national capacity (reflecting the importance of capacity development in the QCPR), the changes captured at this level are a direct result of the work of UNFPA. Theories of change for each outcome show the contributions that UNFPA should be making (based on a series of assumptions that may or may not hold).

12.   The results framework contains indicators that capture upstream work, to ensure that the Fund's efforts on advocacy and policy dialogue/advice are adequately reflected. The integrated results framework also includes the results of UNFPA activities not only at country level but also globally and regionally. The global and regional work of the organization delivers results through support to country programmes and through advocacy, policy dialogue, and knowledge management at the global and regional levels.

13.   ***Business Model***: the next element of delivering on the strategic direction relates to the where, how, and who of the Fund's work. The business model has four components: (a) a mechanism to link modes of engagement with country needs; (b) regionalization; (c) partnership, and; (d) humanitarian programming, with the first element representing the most significant innovation in the Strategic Plan. In this respect, Table 1 below is at the heart of the business model as it provides guidance for how UNFPA should engage in different country contexts. For example, in countries that have the highest needs and low ability to finance their own interventions (coloured red in the matrix above), UNFPA should be prepared to offer a full package of interventions, from advocacy and policy dialogue/advice through knowledge management and capacity development to service delivery. However, in countries with low need and high ability to finance their own programmes (coloured pink in the matrix below), UNFPA should focus on advocacy and policy dialogue/advice.

Table 1: Modes of engagement by setting *Need*				
Ability to finance	**Highest**	**High**	**Medium**	**Low**
Low	A/P, KM, CD, SD	A/P, KM, CD, SD	A/P, KM, CD	A/P, KM
Lower-middle	A/P, KM, CD, SD	A/P, KM, CD	A/P, KM	A/P
Upper-middle	A/P, KM, CD	A/P, KM	A/P	A/P*
High	A/P*	A/P*	A/P*	A/P*

A/P = Advocacy and policy dialogue/advice CD = Capacity development
KM = Knowledge management SD = Service delivery

* Physical presence only in select countries

14.   The approach built on a number of key concepts including not trying to do everything everywhere and addressing better the changing needs of the Fund's clients. It also responded to the calls in a number of settings – including the QCPR – for the entire United Nations system to shift away from "delivering things" to "delivering thinking", or move more upstream to focus on advocacy and policy dialogue/advice rather than service delivery. The matrix in table 1 was intended to be used as a starting point for thinking critically about how UNFPA should engage in different settings rather than as a straitjacket. It was not intended to replace country-level dialogue about national priorities and needs. Thus, UNFPA will preserve the flexibility to respond to the diverse challenges encountered.

15.   ***Funding arrangements***: UNFPA historically received the majority of its financing from regular resources, although the share of other (non-core) resources has increased in recent years. There were several different mechanisms that determine the use of resources, with different processes for allocation, governance and business owners. The 2014-2017 Strategic plan laid out the immediate steps that included: the updated resource allocation system; the global and regional initiatives, which were integrated fully into the strategic plan and the integrated budget. In the long term, criteria that allow for consistent allocation of resources across the funding channels would be introduced.

5. EVALUATION OBJECTIVES AND SCOPE

16.   The evaluation has three core objectives:
(a) To assess whether the key elements of the architecture supporting the operationalisation of the Strategic Plan have helped UNFPA to strengthen its performance in re. Specific criteria for making the assessment will be developed in the inception phase of the evaluation.
(b) To identify the factors that can explain why the elements of the architecture supporting the operationalisation of the Strategic Plan has been successful or not.
(c) To provide recommendations for strengthening the strategic planning architecture for consideration by the UNFPA executive board.

17.   The evaluation will start by describing the key elements of the architecture supporting the operationalisation of the Strategic Plan 2014-2017 and the changes that have taken place over the last three years. It will also set out the broader context within which the Strategic Plan was implemented and the strategic directions the United Nations development system is moving. The evaluation will not look at: (a) the content of the Bullseye, i.e. if these are the substantive areas that UNFPA should or should not engage in, nor; (b) the development performance of UNFPA i.e. its contribution to development results. The scope of the evaluation will include the following elements of the architecture supporting implementing the strategic plan as summarised in Table 2 below.

Table 2: Elements of the architecture supporting implementation of the strategic plan 2014-2017		
I: Results	**II: Business Model**	**III: Funding arrangements**
Integrated Results Framework outcomes and outputs	Country classifications	Resources allocation system
	Modes of engagement	Global and regional interventions
Theories of change	Humanitarian assistance	

18.   The geographical scope of the evaluation will include all programme countries in UNFPA six regions of operation: (i) Western and Central Africa; (ii) Eastern and Southern Africa; (iii) Asia and the Pacific; (iv) Arab States; (v) Eastern Europe and Central Asia and (vi) Latin America and the Caribbean.

6. THE EVALUATION QUESTIONS

19.   The Strategic Plan 2014-2017 does not explicitly set out the objectives of each element of architecture supporting its operationalisation (for example, it does not include a statement that "the goals are…..". These can, however, be derived from the text of the document as well as from the issues identified by UNFPA management that the architecture was designed to address. This analysis led to a simple intervention logic that linked the elements of the architecture to a series of organizational outputs and outcomes that would ultimately contribute to the development effectiveness of the organization. From this model, four broad and inter-related evaluation questions were identified:

(a) To what extent did the architecture supporting the strategic plan contribute to an improved allocation of resources within UNFPA?
(b) To what extent did the architecture supporting the strategic plan help UNFPA tailor its programmes to the priority needs of countries?
(c) To what extent did the architecture supporting the strategic plan help UNFPA become more focused and results-driven?
(d) To what extent did the architecture supporting the strategic plan help UNFPA become more accountable to all stakeholders?

20.   These questions will be further developed during the inception phase, together with assumptions to be assessed, to ensure that all relevant issues are covered.

7. EVALUATION METHODOLOGY AND APPROACH

21.   **Overall approach.** Although the methodology will be detailed in the inception phase, the evaluation will be conducted through the following three approaches:

- *Participatory*. Full participation of stakeholders at all stages of the evaluation will be a key approach to ensure that the evaluation responds to the needs of users and their intended use of the evaluation results

- *Compliant with UNEG guidance*. The evaluation will follow United Nations Evaluation Group (UNEG) Norms and Standards for Evaluation[9] in the UN system and abide by UNEG Ethical Guidelines and Code of Conduct[10] and any other relevant ethical codes. It will also integrate gender and human rights principles throughout the evaluation process including participation and consultation of key stakeholders to the extent possible.[11]

- *Multiple methods of data collection*. Evaluators will resort both to quantitative and qualitative data collection methods that can provide credible information. The evaluation team will design evaluation methods and tools that will allow the evaluation to answer the questions and to come up with an overall assessment backed by clear evidence. The methodological design will include: an analytical framework; a strategy for collecting and analysing data; a series of specifically designed tools; and a detailed work plan. Each of the data collection methods will utilize the same analytical framework based around the evaluation questions and sub-questions.

- *Triangulation* will be conducted throughout the evaluation process, at two levels: (i) between different methods as well as (ii) between different sources of information.

22.   **Tentative data collection methods.** The list of data collection methods will be finalized once the final set of evaluation questions and sub-questions are identified in the inception phase. The relationship between the questions and the data collection methods will be made clear using an evaluation matrix. The tentative data collection methods to be used is as follows:
- Document review
- Meta-analysis of relevant evaluations
- Extracting administrative data
- Interviews with key informants
- Group interviews and focus groups
- Stakeholder survey
- Country and regional studies

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[9] UNEG Norms and Standards for evaluation (2016) http://www.unevaluation.org/document/detail/1914
[10] UNEG Ethical Guidelines http://www.uneval.org/document/detail/102
[11] The evaluation will follow the guidance on the integration of gender equality and human rights principles in the evaluation focus and process as established in the UNEG Handbook on *Integrating Human Rights and Gender Equality in Evaluation - Towards UNEG Guidance*

8. EVALUATION PROCESS AND TIMEFRAME

23. **Phases of the evaluation.** The evaluation process is divided into five phases.

- *Inception phase:* Based on the ToR the co-team leaders will further develop the evaluation methodology and the data collection tools. The phase will also include (a) an inception workshop of internal and external stakeholders (including members of the executive board) to discuss the detailed evaluation design before finalization, and (b) pilot field work to one regional office and the country office in the same country (tentatively the Arab States regional office in Cairo and the Egypt count office). The main output will be the inception report.

- *Data collection phase*: Data collection will be based on the methods outlines in section 7 as refined during the inception phase. It is expected that data collection will take two to three months.

- *Analysis and synthesis phase*: Once all the data has been collected it will be analysed using the standard analytical framework developed during the inception phase. Then a process of synthesis will be undertaken to bring together the evidence from the various data collection methods. The main output of this exercise will be the set of factual evaluation findings.

- *Reporting and review phase*: A zero draft of the evaluation report will be developed based on the set of findings identified through the synthesis process. This early draft will be shared with UNFPA management as early input into the design of the new strategic plan. Before the development of the first full draft (including conclusions and recommendations) a workshop will be held to validate the findings and discuss the emerging conclusions and recommendations. The first full draft will be shared with the ERG for factual correction and subsequently revised to form the second draft.

- *Management response, dissemination and follow-up phase:* The Evaluation Office will submit the unedited second draft of the report to UNFPA management so that a management response can be prepared. The management response is presented to the Executive Board at the same time as the evaluation. The evaluation report and the evaluation brief will be made available on the UNFPA evaluation webpage and widely disseminated. A decision will be made on whether the main report is printed. A broader dissemination and follow-up strategy to be developed during the inception phase.

24. **Timeframe.** The timeframe is dictated by two key needs (a) to feed into the process of developing the new strategic plan at the relevant time and (b) to comply with the executive board deadlines for documents to be submitted to the executive board in June 2017. Table 3 sets out the tentative implementation timetable.

Table 3: Implementation timetable		
	Phase	**Time**
1	Inception	August and September 2016
	• *Inception workshop*	• *Early October 2016*
	• *Draft inception report*	• *Early October 2016*
	• *Final inception report*	• *Mid-October 2016*
	• *Pilot field visit*	• *Mid-October 2016*
2	Data collection	Mid-October to Mid-December 2016
3	Analysis and Synthesis	December 2016
4	Reporting and review	January-May 2017
	• *Zero draft to the Evaluation Reference Group*	• *End-January 2017*
	• *ERG Workshop*	• *Mid-February 2017*
	• *First draft to the Evaluation Reference Group*	• *March 3rd, 2017*
	• *Final report to management (unedited)*	• *April 7th, 2017*
	• *Executive Board paper to the Executive Board secretariat*	• *April 28th, 2017*
5	Management response and dissemination	May 2017
	• *Management response to Executive Board secretariat*	• *End-May 2017*
	• *Dissemination of the report*	• *May and June 2017*

25. The zero draft will provide only a summary of the findings and the evidence that supports them. The ERG workshop to be held in mid-February will discuss the conclusions and recommendations and lead to the first complete draft.

9. MANAGEMENT AND GOVERNANCE OF THE EVALUATION

26. The responsibility for the management and supervision of the evaluation will rest with the Evaluation Office. An evaluation manager has been appointed who will also act as co-team leader with an evaluation consultant.

27. **The evaluation manager.** The evaluation manager will have overall responsibility for the management of the evaluation process, including hiring and managing the team of external consultants. The evaluation manager is responsible for ensuring the quality and independence of the evaluation (in line with UNEG Norms, Standards and Ethical Guidelines). The main responsibilities of the evaluation manager are:
• lead the hiring of the team of external consultants, reviewing proposals and approving the selection of the evaluation team
• chair the reference group and convene review meetings with the evaluation team
• supervise and guide the evaluation team all through the evaluation process
• review, provide substantive comments and approve the inception report, including the work plan, analytical framework, methodology, and selection of countries for in-depth case studies

- review and provide substantive feedback on all evaluation outputs in general and on the draft and final evaluation reports in particular, for quality assurance purposes
- approve the final evaluation report in coordination with the reference group
- disseminate the evaluation results and contribute to learning and knowledge sharing at UNFPA

28.   **The evaluation team.** The co-team leaders (the evaluation manager and an international consultant) will be responsible for the following:
- prepare the terms of reference
- prepare the inception report
- participate in the data collection process (conduct interviews, facilitate group discussions and focus groups) both at inception and data collection phases.
- Prepare draft reports

29.   In addition to the co-team leaders, the evaluation team will include a strategic development consultant who will contribute to (a) the inception report; (b) the draft final report, and; (c) the final evaluation report. In addition, the consultant will be responsible for the following deliverables that will be developed according to a standard framework to be develop in the inception phase:
- field mission reports (regional and country level)
- interview reports
- document review reports

A specific output will be a paper on the ongoing processes affecting the UN development system (including the QCPR, the ECOSOC dialogue, and the follow-up to the 2030 Agenda) to ensure this context is captured by the evaluation and that recommendations are realistic in this rapidly changing environment. Other consultants may be recruited as identified during the inception phase.

30.   A research assistant will support the evaluation team during the scoping, inception and data collection phases of the evaluation. Under the guidance of the co-Team leaders, the researcher will carry out selected analytical work of both quantitative and qualitative nature, and provide support in the following areas:
- Management of documentation (i.e. populate and maintain a dedicated online site)
- Stakeholder mapping
- Preparation for field missions
- Implementation of the electronic survey

31.   **The evaluation reference group.** The conduct of the evaluation will be followed closely by an evaluation reference group consisting of staff members of UNFPA units directly concerned by the results of this thematic evaluation.[12] The reference group will support the evaluation at key points during the evaluation process. It will provide substantive technical inputs, facilitate access to documents and informants, and ensure the high technical quality of the evaluation products. The specific responsibilities of the reference group are to:

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[12] Members have been identified from the Office of the Executive Director, each of the six headquarters divisions, the six regional offices and six selected country offices.

- provide feedback and comments on the terms of reference of the evaluation
- provide feedback and comments on the inception report
- provide comments and substantive feedback from a technical expert perspective on the draft and final evaluation reports
- act as the interface between the evaluators and the UNFPA services (in headquarters, regional and country offices), notably to facilitate access to informants and documentation
- assist in identifying external stakeholders to be consulted during the evaluation process
- participate in review meetings with the evaluation team as required
- play a key role in learning and knowledge sharing from the evaluation results, contributing to disseminating the results of the evaluation as well as to the completion and follow-up of the management response

32.   **Consultation with Member States.** Executive Board members will be invited to an inception meeting planned for October 2016 where the detailed evaluation approach will be discussed. In addition, there will be further consultation during the review stages and once the report has been finalised. Specifically, these consultations will take place through informal meeting with the Executive Board:

- First, before the first regular meeting in January 2017. This will allow discussion of the key findings of the evaluation
- Second, before the annual session in June 2017 when a presentation will be made on findings, conclusions and recommendations.
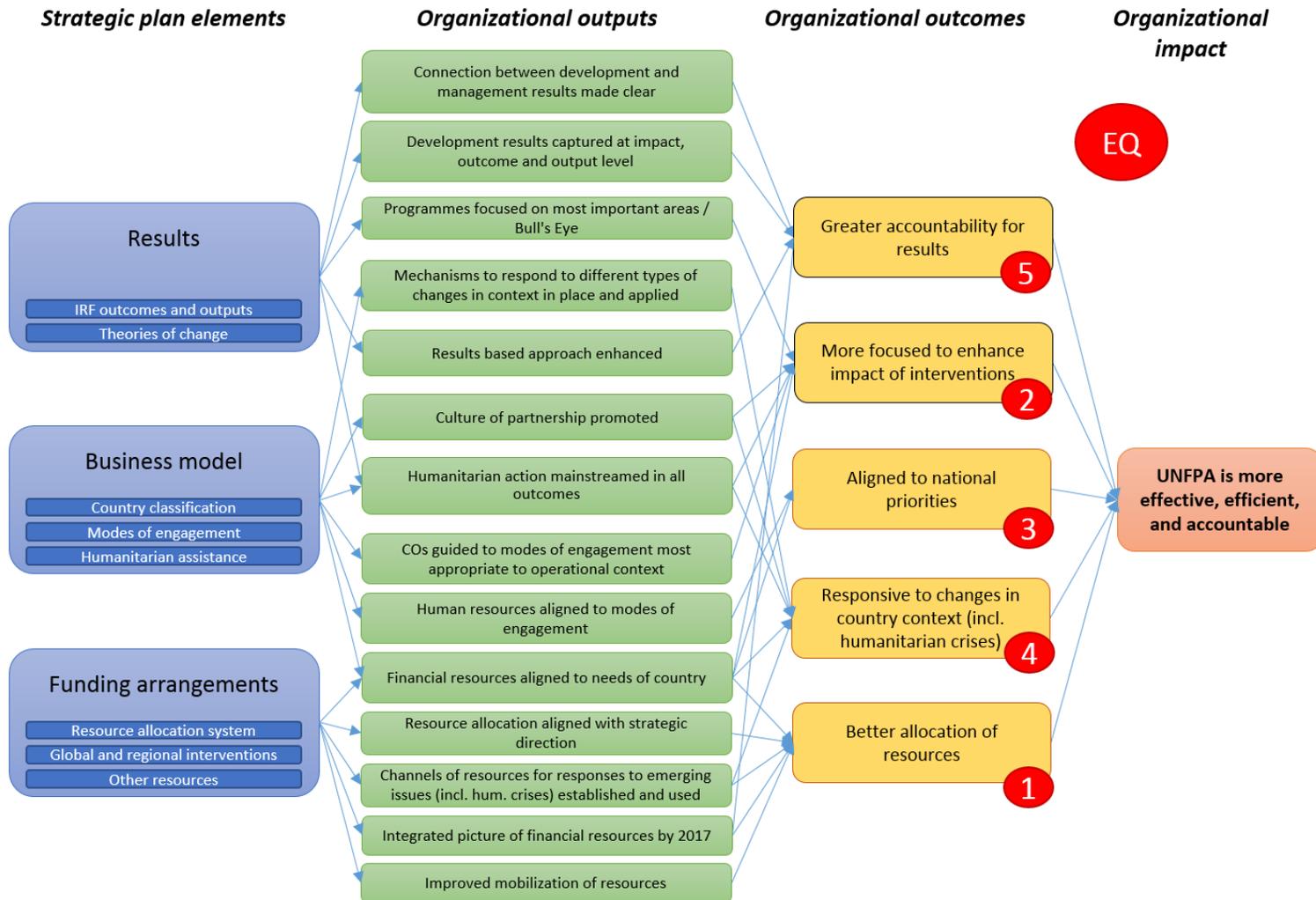
33.   **Quality Assurance and Assessment.** The UNFPA Evaluation Office quality assurance system, based on the UNEG norms and standards and good practices of the international evaluation community, defines the quality standards expected from this evaluation. A key element is the Evaluation Office evaluation quality assessment grid[13], which will be used to assess the quality of the final report.

34.   The first level quality assurance of evaluation reports will be conducted by the Evaluation Office evaluation manager. To further enhance the quality and credibility of this evaluation, the evaluation reference group will also comment on the reports, notably to verify accuracy of facts presented and validity of interpretations of evidence. The UNFPA Evaluation Office is in the process of establishing a quality assurance panel and, when it is in place, it will also play a role in this process. The Director of the Evaluation Office maintains an oversight and quality assurance of the final evaluation report.

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[13] http://www.unfpa.org/admin-resource/evaluation-quality-assessment

ANNEX 2: THE INTERVENTION LOGIC

Strategic plan elements	Organizational outputs	Organizational outcomes	Organizational impact

Strategic plan elements

Results
- IRF outcomes and outputs
- Theories of change

Business model
- Country classification
- Modes of engagement
- Humanitarian assistance

Funding arrangements
- Resource allocation system
- Global and regional interventions
- Other resources

Organizational outputs
- Connection between development and management results made clear
- Development results captured at impact, outcome and output level
- Programmes focused on most important areas / Bull's Eye
- Mechanisms to respond to different types of changes in context in place and applied
- Results based approach enhanced
- Culture of partnership promoted
- Humanitarian action mainstreamed in all outcomes
- COs guided to modes of engagement most appropriate to operational context
- Human resources aligned to modes of engagement
- Financial resources aligned to needs of country
- Resource allocation aligned with strategic direction
- Channels of resources for responses to emerging issues (incl. hum. crises) established and used
- Integrated picture of financial resources by 2017
- Improved mobilization of resources

Organizational outcomes
- Greater accountability for results (5)
- More focused to enhance impact of interventions (2)
- Aligned to national priorities (3)
- Responsive to changes in country context (incl. humanitarian crises) (4)
- Better allocation of resources (1)

EQ

Organizational impact

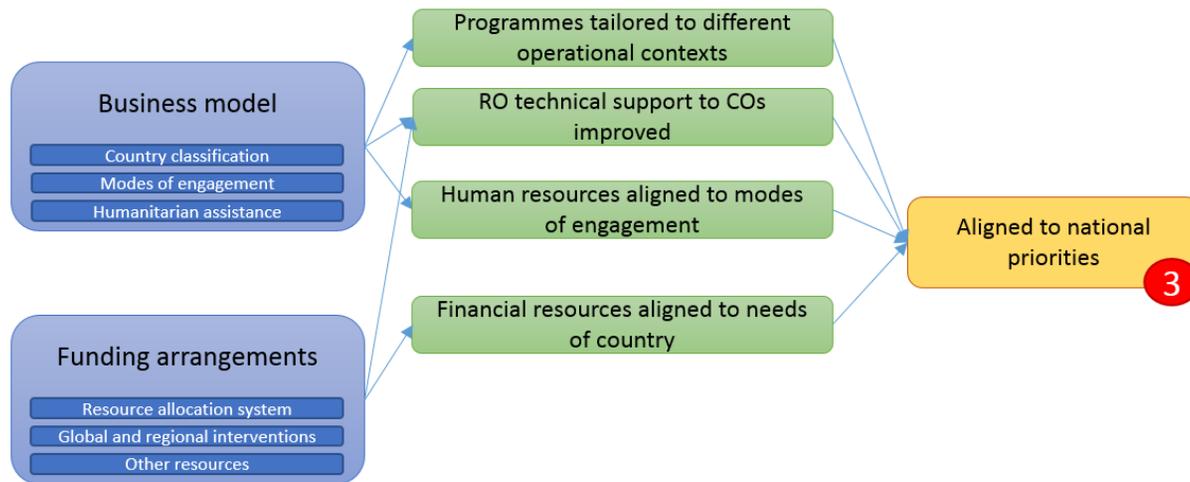UNFPA is more effective, efficient, and accountable

EQ1: To what extent did the architecture supporting the strategic plan contribute to an improved allocation of resources within UNFPA?
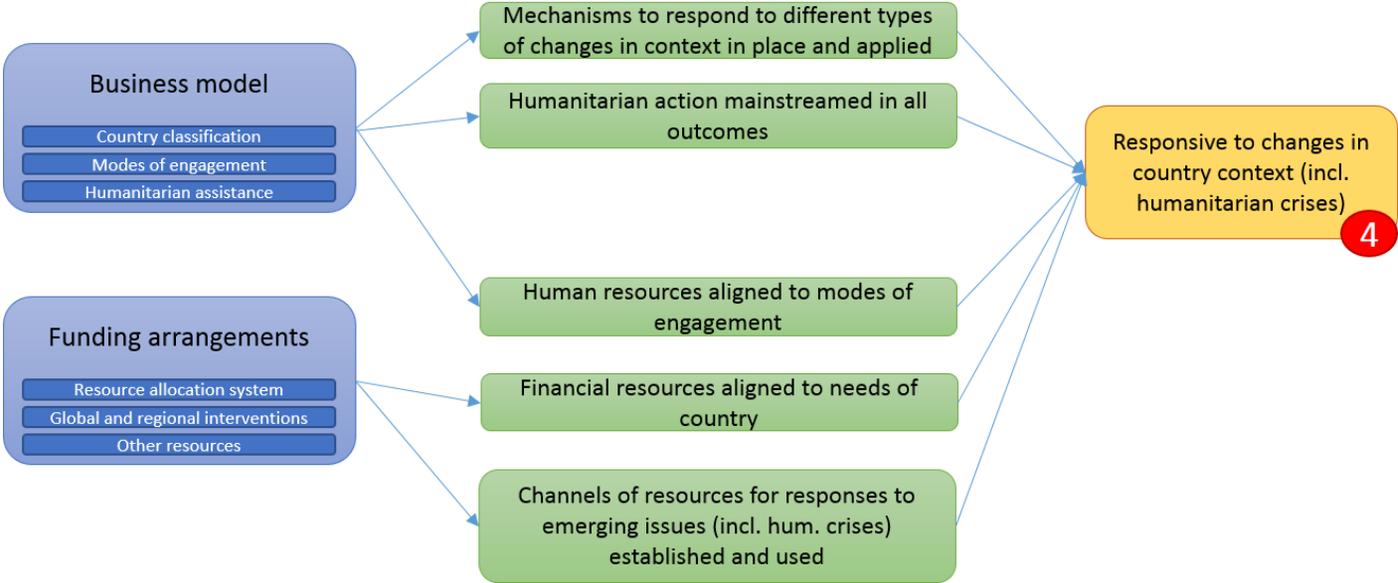
EQ2: To what extent did the architecture supporting the strategic plan help UNFPA become more focused to enhance the impact of its interventions?
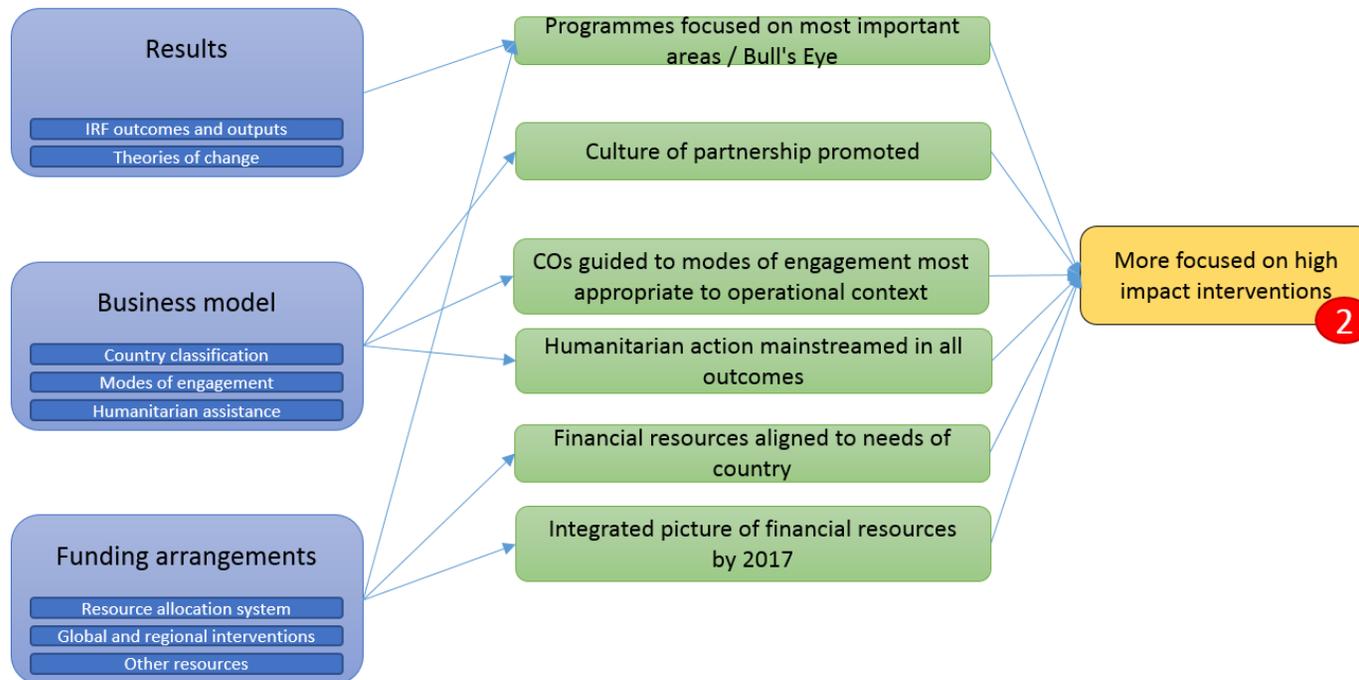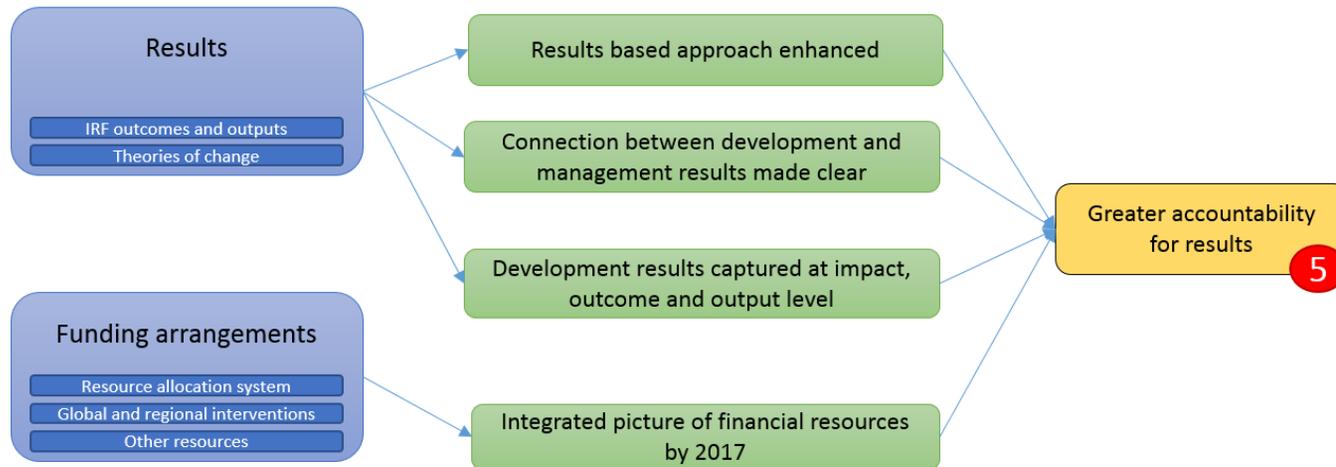
EQ3: To what extent did the architecture supporting the strategic plan help UNFPA tailor its programmes to the priority needs of countries?

EQ4: To what extent did the architecture supporting the strategic plan help UNFPA to respond to changes in country context (including humanitarian crises)

Business model
- Country classification
- Modes of engagement
- Humanitarian assistance

Funding arrangements
- Resource allocation system
- Global and regional interventions
- Other resources

- Mechanisms to respond to different types of changes in context in place and applied
- Humanitarian action mainstreamed in all outcomes
- Human resources aligned to modes of engagement
- Financial resources aligned to needs of country
- Channels of resources for responses to emerging issues (incl. hum. crises) established and used

Responsive to changes in country context (incl. humanitarian crises)

4

EQ5: To what extent did the architecture supporting the strategic plan help UNFPA become more accountable to its stakeholders?

Results
- IRF outcomes and outputs
- Theories of change

Funding arrangements
- Resource allocation system
- Global and regional interventions
- Other resources

- Results based approach enhanced
- Connection between development and management results made clear
- Development results captured at impact, outcome and output level
- Integrated picture of financial resources by 2017

Greater accountability for results 5

ANNEX 3: THE EVALUATION MATRIX

EQ1: To what extent did the architecture supporting the strategic plan contribute to an improved allocation of resources within UNFPA?			
Assumptions to be assessed	**Indicators**	**Sources of information**	**Methods and tools for the data collection**
A1.1: The unified funding architecture is developed and useful for resource allocation purposes: i.e., complete (captures all money and able to track resources against results), clear, accurate, timely and transparent.	The unified funding architecture accurately captures all financial resources (against results)	Annual Statistical and Financial Reviews	Administrative data review
	It is clear and transparent	Member states	Interviews
		Member State EB statements	Document review
	It is timely i.e. is produced in time for allocation decisions	Member states	Interviews
		Member State EB statements	Document review
		UNFPA management	Interviews
A.1.2: All financial resources are allocated to COs based on national needs and CO performance.	The RAS is applied based on national needs as identified through SP criteria	GPS	Administrative data review
	Mechanism for performance measurement developed and factored in the allocation of financial resources	PD/DMS	Interviews
	Financial resources are allocated in line with UNFPA strategic direction	PD/DMS	Interviews
		GPS	Administrative data review
A.1.3: The allocation of resources to the GRI is adequate to catalyse and complement in-country interventions.	Evidence that resources allocated through the GRI adequately take into account the needs and priorities of each region	RO staff	Regional studies
	Evidence that resources allocated through the GRI adequately take into account the needs and priorities of HQ units	HQ staff	Interviews

EQ2: To what extent did the architecture supporting the operationalization of the SP help UNFPA country programmes to become more focused to enhance the impact of its interventions?			
Assumptions to be assessed	**Indicators**	**Sources of information**	**Methods and tools for the data collection**
A 2.1: The IRF contributes to better programme design, i.e., focused on most important areas.	% of country programme expenditure on each of the four SP outcomes over time	CPDs for the current SP cycle / GPS	Document review
		CPDs for the past SP cycle	
		ED Annual report	
	Evidence of use of Theories of change to design country programmes	CO	Country studies
		CPD (evidence ToC used)	Document review
A 2.2 Business model contributes to focusing on the most appropriate modes of engagement.	% of resources aligned to relevant modes of engagement for each quadrant	GPS	Administrative data review
	Perception of national counterparts as to the appropriateness of the MoEs	National counterparts	Country studies
			Survey
	Perception of CO staff as to the appropriateness of the MoEs	CO staff	Country studies
			Survey
A 2. 3 Resource mobilisation supports the focus of the programme	% Other Resources allocated to CPD outputs	AWPs	Document review
	% Other Resources not contributing to SP outcomes	GPS	Administrative data review
A 2.4 Stronger use of partnerships allows COs to focus on priority interventions.	Evidence that partnerships in which COs engage complement UNFPA's interventions with a view to achieving CP/UNDAF outcomes	CO staff	Country studies
			Survey
		Country level partners (UN, civil society, private sector)	Country studies

	EQ3: To what extent did the architecture supporting the strategic plan help UNFPA to tailor its country programmes to the priority needs of countries?		
Assumptions to be assessed	**Indicators**	**Sources of information**	**Methods and tools for the data collection**
A.3.1: The BM is a good starting point and guide for programming at the country level.	% of COs that found the business model useful when designing the programme	CO staff	Country studies
			Survey
	% of COs that interpret the differentiated modes of engagement as prescriptive.	CO staff	Country studies
			Survey
	% of government counterparts that found the business model useful	Government counterparts	Country studies
			Survey
	Proportion of ROs which consider the BM is a good starting point and guide.	ROs	Regional studies
	% of countries presenting a business case	PD	Administrative data review
A.3.2: COs have the flexibility to match HR capacity to modes of engagement.	Perception of adequacy of skills mix to modes of engagement being used	CO staff	Country study
			Survey
		Government counterparts	Country study
			Survey
	% of countries preparing and implementing human resource plans	DHR	Administrative data review
	Evidence that expertise missing in COs is accessed in the RO	CO staff	Country studies
			Survey

Q4: To what extent did the architecture supporting the strategic plan help UNFPA to respond to changes in country context (including humanitarian crises)			
Assumptions to be assessed	**Indicators**	**Sources of information**	**Methods and tools for the data collection**
A.4.1: UNFPA has mainstreamed humanitarian issues in all its programming	% of CPDs mainstreaming humanitarian issues	Humanitarian mainstreaming qualitative indicator Annex 9 of SP alignment toolkit for UNFPA offices Approach paper for the CCPE of UNFPA engagement in highly vulnerable contexts MTR Regional annual reports COARs	Desk review
A.4.2: UNFPA has completed its key strategic deliverables for humanitarian action	High risk countries identified	ED Annual Report	Document review
	SRH and GBV are adequately taken into account in national preparedness and contingency plans in high risk countries	Humanitarian Action Report	
	Minimum and integrated signature package of interventions Humanitarian capacity development plan Update humanitarian policy guidelines Humanitarian KM portal	National preparedness and contingency plans in high risk countries	
A.4.3: The Emergency Fund has been able to provide extra resources to countries in need on a timely basis.	Utilization rates	GPS	Administrative data review
	Time between request and disbursement	GPS	Administrative data review
		HFCP branch	

A.4.4: the architecture supporting the strategic plan has enhanced the ability of UNFPA to mobilize and utilize resources to address priority needs	% of resources requested received (for UNFPA alone compared with total UN response)	Annual humanitarian action report	Administrative data review
		HFCP	Interview
	Utilization rate of CERF and other humanitarian funds	HFCP	Interview
	Perception of CO staff as to the contribution (or lack thereof) of the BM to the mobilization of resources	CO staff	Country studies
			Survey
A.4.5: The business case allows flexibility when contexts change (including non-humanitarian)	Number of business cases approved as a percentage of the number of misaligned countries	GPS	Administrative data review

EQ5: To what extent did the architecture supporting the strategic plan help UNFPA become more accountable to its stakeholders?			
Assumptions to be assessed	**Indicators**	**Sources of information**	**Methods and tools for the data collection**
A.5.1 The IRF helps the RBM system to capture, aggregate and report on results (output, outcome, impact) at global, regional and country levels.	Timely reporting	Annual report of the ED	Desk review
	Accuracy of information on the three levels of results in country programme RRFs	CPAP RRFs	Desk review
	Perception of those holding UNFPA accountable that the reporting mechanisms and aggregated results meet their needs	Member states/ member states statements	Interviews/ desk review
	Reporting mechanisms adequate to convey required information on results at country level	UNDAF RRF	Desk review
		National counterparts	Country studies
			Survey
	RBM system adequate to capture contributions of GRI to corporate results	My Results	Administrative data analysis
A.5.2 The unified funding architecture is developed and useful for accountability purposes: i.e. complete (captures all money and able to track resources against results), clear, accurate, timely and transparent.	Governance arrangements in place to implement the unified funding architecture	ED annual report	Document review
	Existence of the unified funding architecture (by 2017)	Analysis of EB statements	Document review
	Financial information meets the needs of stakeholders holding the organization accountable	Member states	Interviews
A 5.3: The funding arrangements contribute to a clearer and simplified process for allocation of resources	Existence of unified funding architecture	GPS	Administrative data review
	Various sources of funding (eg thematic funds, GRI, Emergency Fund, Innovation Fund) included in the unified funding architecture	Member states	Interviews
	GRI resource allocation system is adequately transparent for accountability purposes		

ANNEX 4: THE EVALUATION REFERENCE GROUP

(a) Members of the evaluation reference group

Unit	Name	Title
Evaluation Office (Chair)	Hicham Daoudi	Evaluation Advisor
HQ divisions		
Division for Management Services	Iva Goricnik Christian	Chief, Resources Planning and Budgeting Branch
	Christina Bierring	Chief, Quality Management Unit
Division for Governance and Multilateral Affairs	Silvia Da Rin Pagnetto	Chief, Executive Board Branch
Division for Human Resources	Michael Dahl	Chief, Talent Management
Programme Division	Aynabat Annamuhamedova	Programme Specialist
Programme Division (Humanitarian and fragile contexts branch)	Arasu Jambukeswaran	Business Practices Specialist
Technical Division	Rachel Snow	Chief, Population and Development Branch
Regional Offices		
Asia and the Pacific	Nanthikesan, Suppiramaniam	Regional Monitoring and Evaluation Advisor
Arab States	Adelakim Olugbemiga	Regional Monitoring and Evaluation Advisor
Eastern Europe and Central Asia	Mahbub Alam	Regional Monitoring and Evaluation Advisor
Eastern and Southern Africa	Reginald Chima	Regional Monitoring and Evaluation Advisor
Latin America and the Caribbean	Sergio Lenci	Regional Monitoring and Evaluation Advisor
West and Central Africa	Simon-Pierre Tegang	Regional Monitoring and Evaluation Advisor
Country Offices		
Egypt	Dawlat Shaarawy	Monitoring and Evaluation Associate
Mauritania	Cecile Compaore Zoungrana	Representative
Namibia	Dennia Gayle	Representative
Turkey	Karl Kulessa	Representative

The following divisions did not respond to the request to propose a member of the evaluation reference group:
- Division for Communications and Strategic Partnerships

The following regions did not nominate a country office staff member as a member of the evaluation reference group: (a) Asia and the Pacific, and (b) Latin America and the Caribbean

(b) Terms of reference for the evaluation reference group

1. Background

The Evaluation Office is conducting an independent evaluation of the architecture supporting the operationalization of the UNFPA strategic plan, 2014-2017 as part of its quadrennial budgeted evaluation plan.

In order to safeguard the independence of the evaluation process, the UNFPA independent Evaluation Office is responsible for the management of the evaluation and the approval of all evaluation products. This in line with the United Nations Evaluation Group (UNEG) norms and standards for evaluation and, in particular, with norm number 4[14], which stipulates: "Independence is vested in the Evaluation Head to directly commission, produce, publish and disseminate duly quality-assured evaluation reports in the public domain without undue influence by any party."

The Evaluation Office has appointed an evaluation manager who also acts as co-team leader with an external evaluation consultant. In addition to the co-team leaders, the evaluation team includes a strategic development consultant and a research assistant.

The evaluation manager will be assisted by an evaluation reference group (ERG), who will play an advisory role throughout the evaluation process.

2. Purpose, role and responsibilities of the evaluation reference group

While the independence of the evaluation must not be compromised, the ERG plays a crucial role in ensuring that: (i) all available information is taken into account by evaluators; (ii) that the exercise progresses as planned and in line with its terms of reference; (iii) that its factual basis is accurate and complete; (iv) that the balance and overall quality of the analysis on which the conclusions and recommendations are based is as robust as possible; (v) and that optimal arrangements are made for feedback and dissemination of the evaluation results.

Reference group members will provide technical inputs, facilitate access to documents and informants and ensure the high technical quality of the evaluation products. The specific responsibilities of ERG members are to:

- provide feedback and comments on the terms of reference of the evaluation;
- provide feedback and comments on the inception report
- provide comments and substantive feedback from a technical expert perspective on the draft and final evaluation reports;
- act as the interface between the evaluators and the UNFPA services (in headquarters, regional and country offices), notably to facilitate access to informants and documentation;
- assist in identifying external stakeholders to be consulted during the evaluation process; participate in review meetings with the evaluation team as required;

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[14] Norms and Standards for Evaluation, UNEG, June 2016.

- play a key role in learning and knowledge sharing from the evaluation results, contributing to disseminating the results of the evaluation as well as to the completion and follow-up of the management response.

3. Composition of the evaluation reference group

The ERG will be composed of staff members of UNFPA business units directly concerned by the results of the evaluation. The composition of the group ensures that all levels of the organization – global, regional and national – are duly represented (cf. table 1 below).

Table 1 – Evaluation reference group composition

UNFPA business units	Number of members
Executive Office	1
Programme Division (including HFCB)	2
Technical Division	1
Division for Governance and Multilateral Affairs	1
Division for Communications and Strategic Partnerships	1
Division for Human Resources	1
Division for Management Services	1
Regional Offices	6
Country Offices	6

4. Timeline

The duration of the evaluation will be from September 2016 to May 2017. During this period, the level of work effort anticipated on the part of each ERG member amounts to seven work days.

Table 2 – Detailed timeline for the evaluation

Phase	Time
1. Inception	August and September 2016
• *Inception workshop*	• *Early October 2016*
• *Draft inception report*	• *Early October 2016*
• *Final inception report*	• *Mid-October 2016*
• *Pilot field visit*	• *Mid-October 2016*
2. Data collection	October and November 2016
3. Analysis and Synthesis	December 2016
4. Reporting and review	January-May 2017
• *Zero draft*	• *End-January 2017*
• *Workshop*	• *February 2017*
• *First draft to* Evaluation Reference Group	• *March 3rd, 2017*
• *Final report to management (unedited)*	• *April 7th, 2017*
• *EB paper to EB secretariat*	• *April 28th, 2017*
5. Follow up and dissemination	May 2017
• *Management response to EB secretariat*	• *End-May 2017*
• *Dissemination*	• *May and June 2017*

(c) ERG engagement with the evaluation process

UNIT		ENGAGEMENT							
		Meeting during scoping phase[15]	Participation in inception workshop	Comment on draft Terms of Reference	Comment on draft Inception Report	Comment on Zero Draft Evaluation report	Participation in the validation workshop	Comment on the Final Draft Evaluation Report	Participation in the recommend-ations workshop
Division for Governance and Multilateral Affairs		X				X	X	X	X
Division for Communication and Strategic Partnership		X							
Division for Management Services		X	X		X	X	X	X	X
Programme Division		X	X	X[16]	X	X	X	X	X
Technical Division									X
Human Resources Division									X
Regional Offices	Arab States	X[17]	X			X	X		
	Asia and the Pacific	X[17]			X				
	Eastern & Southern Africa		X						X
	Eastern Europe and Central Asia		X						
	Latin America and the Caribbean		X	X			X		
	Western and Central Africa		X				X		
Country Offices	Egypt		X						
	Namibia		X			X			
	Turkey		X						

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[15] Meetings were also held with the Office of the Executive Director and the Office of Audit and Investigation Services during the scoping phase

[16] Provided extensive comments on the scoping report that led to the draft Terms of Reference

[17] Telephone interview

(d) Details of the inception workshop (5-6 September 2016, UNFPA, New York)

A: Agenda

Day 1: Wednesday, 5 September 2016, 8:30 am to 11:00 am

8:30-8:45	Introduction to the role of the ERG
8:45-9:00	Review of changes made to the Terms of Reference following review by the ERG
9:00-10:00	Identifying the evaluation questions: discussion of the intervention logic for the architecture supporting the operationalization of the strategic plan
10:00-11:00	Linking evaluation questions to data collection and analysis: discussion of the evaluation matrix

Day 2: Thursday, 6 September 2016, 8:30 am to 10:30 am

8:30-9:00	The data collection methods based on the revised evaluation matrix
9:00-9:45	Country studies and country selection
9:45-10:30	Overview of other data collection methods

B: Participants

Unit	Name	Title
Evaluation Team		
Evaluation Office (Chair)	Hicham Daoudi	Evaluation Advisor/CO-team leader
Consultant	Michael Reynolds	Co-team leader
Consultant	Faith Tempest	Strategic Coordination Specialist
HQ divisions		
Division for Management Services	Iva Goricnik Christian	Chief, Resources Planning & Budgeting Branch
Programme Division	Ramiz Alakbarov	Director
	Charles Katende	Chief, Information and KM Branch
	A. Annamuhamedova	Programme Specialist
	Arasu Jambukeswaran	Business Practices Specialist
	Piyoo Kochar	Strategic Planning Specialist
	Vivienne Wang	Results Communication
Regional Offices		

Arab States	Adelakim Olugbemiga	Regional Monitoring and Evaluation Advisor
Eastern Europe and Central Asia	Mahbub Alam	Regional Monitoring and Evaluation Advisor
Eastern and Southern Africa	Reginald Chima	Regional Monitoring and Evaluation Advisor
Latin America and the Caribbean	Sergio Lenci	Regional Monitoring and Evaluation Advisor
West and Central Africa	Simon-Pierre Tegang	Regional Monitoring and Evaluation Advisor
Country Offices		
Egypt	Dawlat Shaarawy	Monitoring and Evaluation Associate
Namibia	Dennia Gayle	Representative

(e) Details of the validation workshop (15-16 February 2017, UNFPA, New York)

A: Agenda

Day 1: Wednesday, 15 February 2017, 8:30 am to 11:30 am

8:30-8:45   Introduction

8:45-9:00   Comments on findings

9:00-11:30   Presentation of areas for conclusions and discussion

Day 2: Thursday, 16 February 2017, 8:30 am to 10:00 am

8:30-8:45   Introduction

9:00-10:00   Presentation of areas for recommendations and discussion

B: Participants

Unit	Name	Title
Evaluation Team		
Evaluation Office (Chair)	Hicham Daoudi	Evaluation Advisor/CO-team leader
Consultant	Michael Reynolds	Co-team leader
Consultant	Faith Tempest	Strategic Coordination Specialist
HQ divisions		
Division for Management Services	Christina Bierring	Chief, Quality Management Unit
Programme Division	A. Annamuhamedova	Programme Specialist

	Arasu Jambukeswaran	Business Practices Specialist
	Vivienne Wang	Strategic Planning Specialist
	Maryline Py	Humanitarian Specialist
Regional Offices		
Arab States	Adelakim Olugbemiga	Regional Monitoring and Evaluation Advisor
Latin America and the Caribbean	Sergio Lenci	Regional Monitoring and Evaluation Advisor
West and Central Africa	Simon-Pierre Tegang	Regional Monitoring and Evaluation Advisor

(f) Details of the recommendation workshop (28 March 2017, UNFPA, New York)

A: Agenda

Tuesday, 28 March 2017, 8:30 am to 11:30 am

8:30-9:00 Introduction

9:00-11:30 Presentation of recommendations and discussion

B: Participants

Unit	Name	Title
Evaluation Team		
Evaluation Office (Chair)	Hicham Daoudi	Evaluation Advisor/CO-team leader
Consultant	Michael Reynolds	Co-team leader
Consultant	Faith Tempest	Strategic Coordination Specialist
HQ divisions		
Division for Management Services	Christina Bierring	Chief, Quality Management Unit
Programme Division	A. Annamuhamedova	Programme Specialist
	Vivienne Wang	Strategic Planning Specialist
	Maryline Py	Humanitarian Specialist
Technical Division	Michael Hermann	Senior Adviser on Population and Economics
Human Resources Division	Michael Dahl	Chief, Talent Management

Regional Offices		
Arab States	Adelakim Olugbemiga	Regional Monitoring and Evaluation Advisor
Latin America and the Caribbean	Sergio Lenci	Regional Monitoring and Evaluation Advisor
West and Central Africa	Simon-Pierre Tegang	Regional Monitoring and Evaluation Advisor

ANNEX 5: THE EVALUATION TEAM

(a) Structure of the evaluation team

The evaluation manager. The evaluation manager had overall responsibility for the management of the evaluation process, including hiring and managing the team of external consultants. The evaluation manager was responsible for ensuring the quality and independence of the evaluation (in line with UNEG Norms, Standards and Ethical Guidelines). The main responsibilities of the evaluation manager were:

- lead the hiring of the team of external consultants, reviewing proposals and approving the selection of the evaluation team
- chair the reference group and convene review meetings with the evaluation team
- supervise and guide the evaluation team all through the evaluation process
- review, provide substantive comments and approve the inception report, including the work plan, analytical framework, methodology, and selection of countries for in-depth case studies
- review and provide substantive feedback on all evaluation outputs in general and on the draft and final evaluation reports in particular, for quality assurance purposes
- approve the final evaluation report in coordination with the reference group
- disseminate the evaluation results and contribute to learning and knowledge sharing at UNFPA

The evaluation team. The co-team leaders (the evaluation manager and an international consultant) were responsible for the following:

- prepare the terms of reference
- prepare the inception report
- participate in the data collection process (conduct interviews, facilitate group discussions and focus groups) both at inception and data collection phases.
- Prepare draft reports

35.　　In addition to the co-team leaders, the evaluation team included a strategic development consultant who contributed to (a) the inception report; (b) the draft final report, and; (c) the final evaluation report. In addition, the consultant was responsible for the following deliverables that were developed according to a standard framework to be develop in the inception phase:

- field mission reports (regional and country level)
- interview reports
- document review reports

A specific output was a paper on the ongoing processes affecting the UN development system (including the QCPR, the ECOSOC dialogue, and the follow-up to the 2030 Agenda) to ensure this context is captured by the evaluation and that recommendations are realistic in this rapidly changing environment.

36.　　A research assistant supported the evaluation team during the scoping, inception and data collection phases of the evaluation. Under the guidance of the co-Team leaders, the researcher

carried out selected analytical work of both quantitative and qualitative nature, and provided support in the following areas:

- Management of documentation (i.e. populate and maintain a dedicated online site)
- Stakeholder mapping
- Preparation for field missions
- Implementation of the electronic survey

(b) Roles and responsibilities of evaluation team members

		Co-Team Leader (EO staff)	Co-Team Leader (Consultant)	Strategic Development Expert	Research Assistant
DATA COLLECTION					
Country studies	**Conducted through joint field work**	ASRO (Cairo) Egypt CO	ASRO (Cairo) Egypt CO	ASRO (Cairo) Egypt CO	Stakeholder mapping, identifying and uploading key documents
	Conducted through field work	WCARO (Dakar) Senegal CO	ESARO (Johannesburg) South Africa CO Malawi CO	APRO (Bangkok) Thailand CO Philippines CO	
			CEERO (Istanbul) Turkey CO	LACRO (Panama) Panama CO EL Salvador CO	
	Conducted remotely	5 COs (Francophone)	5 COs	5 COs	
	Additional phone interviews	As required			
Key stakeholder interviews	**UNFPA HQ**	All divisions		Communications & Strategic Partnerships; Governance & Multilateral Affairs	Maintaining schedule and documentation
	Externals	Member states	Non-UN partners	UN entities	
Survey		Managing dissemination	Analysis	Analysis	Managing responses and initial analysis
Meta-analysis of evaluations		Country programme evaluations	Thematic evaluations	External reviews	Country audits
Administrative data review			Financial data analysis	HR and humanitarian data analysis	
ANALYSIS (TO FINDINGS)					
Analysis of data in each EQ		Analysis EQ 2	Analysis EQ 1 and 5	Analysis EQ 3 and 4	
			Maintain master of zero draft report		
REPORTING AND REVIEW					
Writing drafts of the report		Quality assurance	Lead role in writing	Context chapters	Support annexes

Responding to comments	Organizing review and liaising with ERG	Preparing audit trail and revising the report	Support to revising the report	Managing comments
MANAGEMENT RESPONSE AND DISSEMINATION				
Management response	Lead role			
Dissemination	Lead role			

ANNEX 6: IMPLEMENTATION

(a) Implementation

Following completion of the evaluation design in this inception report, the evaluation will be conducted in the following four phases:

- **Data collection phase (mid-October to December 2016):** Data collection will be based on the methods outlines in section 4 of this report. It is expected that data collection will take two to three months. In addition, during this phase the two background papers described in section 3.3 will be prepared.

- **Analysis and synthesis phase (January 2016 to mid-February 2017):** Once all the data has been collected it will be analyzed using the evaluation matrix as the standard analytical framework. Then a process of synthesis will be undertaken to bring together the evidence from the various data collection methods. The main output of this exercise will be the set of evaluation findings.

- **Reporting and review phase (end-February to March 2017):** A zero draft of the evaluation report will be developed based on the set of findings identified through the synthesis process. This early draft will be shared with UNFPA management as early input into the design of the new strategic plan. Before the development of the first full draft (including conclusions and recommendations) a workshop will be held to validate the findings and discuss the emerging conclusions and recommendations. The first full draft will be shared with the ERG for factual correction and subsequently revised to form the second draft. The draft will

- **Management response, dissemination and follow-up phase (April to June 2017):** The Evaluation Office will submit the unedited second draft of the report to UNFPA management so that a management response can be prepared. The management response is presented to the Executive Board at the same time as the evaluation. The evaluation report and the evaluation brief will be made available on the UNFPA evaluation webpage and widely disseminated. A decision will be made on whether the main report is printed. A broader dissemination and follow-up strategy to be developed during the inception phase.

37.   The overall timeframe for conducting the evaluation is driven by the need to complete the evaluation for: (a) presentation to the Annual session of the Executive Board in June 2017 and; (b) use in the processes of preparing the new UNFPA Strategic Plan. The following timeframe and milestones set out in table 6 have been agreed with UNFPA management.

Phase		Time
3	Reporting and review • *Zero draft to the Evaluation Reference Group* • *ERG Workshop* • *First draft to the Evaluation Reference Group* • *Recommendation workshop* • *Final report to management (unedited)*	End-January to April 2017 • *27 January 2017* • *8 February 2017* • *3 March 2017* • *28 March 2017* • *31 March 2017*
4	Management response and dissemination • *Edited report and management response* • *Informal with Executive Board* • *Dissemination of the report*	April – May 2017 • *20 April 2017* • *4 May 2017* • *May 2017*

38. Following analysis of the data, the evaluation team will prepare a series of draft reports. A zero draft of the report will be prepared early in the process and will present the preliminary findings. Specifically, it will consist of the evaluation matrix, presenting for each evaluation question the evidence that has been collected and triangulated. The zero draft will be shared with the evaluation reference group. The Programme Division has agreed to consolidate comments and to adjudicate in the case of any inconsistency in the comments.

39. Following receipt of the evaluation reference group comments on the zero draft, the evaluation team will finalize the findings. These will be presented to the evaluation reference group together with emerging conclusions and recommendation at a validation workshop. Members of the evaluation reference group will be able to provide comments on the logical flow between the findings and the conclusions and the usefulness of the recommendations.

40. After the validation workshop, the evaluation team will have the building blocks to prepare the first complete draft of the report. Two background papers will have been prepared covering (a) the global context within which UNFPA operates and (b) a description of the design and evolution of the architecture being examined. These papers will have been reviewed in advance for factual accuracy by the evaluation reference group. Table 3 below represents the tentative structure of the main evaluation report.

ANNEX 7: DOCUMENTATION

A. CORE EXECUTIVE BOARD DOCUMENTATION

1. Strategic Plan 2014-2017 (Second regular session 2013)

Report of the Executive Director - UNFPA Strategic Plan 2014-2017   DP/FPA/2013/12

Supporting documents

Annex 1: Integrated results framework
Annex 2: Outcome theories of change
Annex 3: Business model
Annex 4: Funding arrangements
Annex 5: Alignment of the strategic plan with the QCPR

Other relevant documentation presented at the session

- UNFPA Integrated Budget estimates   DP/FPA/2013/14
- Report of the Advisory Committee on Administrative and Budgetary Questions on the UNFPA integrated budget estimates, 2014-2017   DP/FPA/2013/15
- UNFPA global and regional interventions   DP/FPA/2013/CRP.1

2. Global and Regional Interventions (GRI) 2014-2017 (Annual Session 2014)

Strategic framework for UNFPA global and regional interventions, 2014-2017   DP/FPA/2014/8
Addendum to the strategic framework for UNFPA global and regional interventions, 2014-2017   DP/FPA/2014/8/Add.1

Supporting documents

- GRI Action Plans 2014-2017: Proposal, format and template
- Programme Review Committee (PRC) review of GRI Action Plans 2014-2017
- Asia Pacific Regional Office GRI Action Plan
- Arab States Regional Office GRI Action Plan
- Eastern Europe and Central Asia Regional Office GRI Action Plan
- East and Southern Africa Regional Office GRI Action Plan
- Latin America and the Caribbean Regional Office GRI Action Plan
- West and Central Africa Regional Office GRI Action Plan
- Division for Management Services GRI Action Plan
- ICPD Beyond 2014 GRI Action Plan
- Information and External Relations Division (IERD) GRI Action Plan
- Management Information Services (MIS) GRI Action Plan
- Office of the Executive Director (OED) GRI Action Plan
- Programme Division

- Programme Division (PD) GRI Action Plan
- Procurement Services Branch (PSB) GRI Action Plan
- Technical Division (TD) GRI Action Plan
- Procurement Services Branch (PSB) GRI Action Plan

3. 2015 Annual Report of ED – progress in implementing SP (Annual Session 2015)

Report of the UNFPA executive director - Progress made in implementation of the UNFPA strategic plan 2014-2017   DP/FPA/2015/5 (Part I)

Supporting documents

Annex 1- UNFPA strategic plan integrated results frameworks 2014-2017, indicator updates
Annex 2 - Integrated financial resources framework 2014
Annex 3 - Data supplement
Annex 4 - Alignment to the strategic plan 2014-2017, 2014 progress
Annex 5 - Implementation of global and regional interventions in 2014
Annex 6 - UNFPA humanitarian action - 2014 update
Annex 7 - UNFPA initiatives to accelerate progress towards achieving MDG target 5A and target 5B
Annex 8 - Progress on implementation of the UNFPA Adolescent and Youth Strategy
Annex 9 - Progress on implementation of the UNFPA Family Planning Strategy 2012-2020
Annex 10 - Supplementary reports that include UNFPA achievements

Other documentation

- STATISTICAL AND FINANCIAL REVIEW, 2014 - Report of the Executive Director   DP/FPA/2015/5 (Part I/Add.1)
- Report on the recommendations of the Joint Inspection Unit in 2014   DP/FPA/2015/5 (Part II)

4. 2016 Strategic Plan MTR (Annual Session 2016)

Integrated midterm review and progress report on implementation of the UNFPA strategic plan, 2014-2017. Report of the Executive Director. (DP/FPA/2016/2 (Part I)). Report presented at the Annual Session of the UNFPA Executive Board June 2016

Supporting Documents

Annex 1. Revised Integrated Results Framework
Annex 2. UNFPA strategic plan score card and indicator updates
Annex 3. Country results and case studies
Annex 4. Global and Regional Interventions
Annex 5. UNFPA humanitarian action and resilience building update
Annex 6. Alignment to the strategic plan
Annex 7. Data supplement
Annex 8. Implementation of Quadrennial Comprehensive Policy Review
Annex 9. Supplementary reports

Other documentation made available at the 2016 annual session

- Statistical and financial review, 2015   DP/FPA/2016/2 (Part I/Add. 1)
- ANNEXES - Statistical and financial review, 2015
- UNFPA report on the recommendations of the Joint Inspection Unit in 2015   DP/FPA/2016/2 (Part II)
- Midterm review of the UNFPA integrated budget, 2014-2017   DP/FPA/2016/3
- Report of the ACABQ on the midterm review of the integrated budget, 2014-2017   DP/FPA/2016/4

Background papers

- Positioning UNFPA in the global landscape through innovation, partnerships and communication
- A review of implementation progress and challenges
- Humanitarian engagement in the Global 2030 Agenda: Implications for UNFPA
- The resource environment in the SDG development landscape and implications for UNFPA
- Global Context

5. Relevant documents presented at other sessions

Second Regular Session 2011

Mid-term review of the UNFPA Strategic Plan, 2008-2013. (DP/FPA/2011/11)

First Regular Session 2014

UNFPA transitional biennial budgeted evaluation plan, 2014-2015   DP/FPA/2014/2

Performance standard on gender mainstreaming across the strategic plans, 2014-2017, of UNDP, UNFPA, UNOPS, UNICEF, UN-Women and WFP

Annual Session 2014

Report of the Director, Evaluation Office   DP/FPA/2014/7
Annex 1: Corporate evaluations
Annex 2: Completion date of country programme evaluations
Annex 3: EQA
Management response

Second Regular Session 2014

Updated integrated resource plan, 2014-2017   DP/FPA/2014/CRP.4

Funding the UNFPA Strategic Plan, 2014-2017. DP/FPA/2014/CRP.5

Report on contributions by Member States and others to UNFPA and revenue projections for 2014 and future years   DP/FPA/2014/15

First Regular Session 2015

Revised oversight policy - report of the Executive Director   DP/FPA/2015/1
UNFPA oversight policy - how all roles are articulated

Scaling up UNFPA humanitarian response funding   DP/FPA/2015/2

B.   OTHER UNFPA DOCUMENTS

Report of the Executive Director: Progress made on the implementation of the UNFPA strategic plan, 2008-2013   DP/FPA/2014/5 (Part I)
- o   Annexes 1-12
- o   Statistical and financial review, 2013   DP/FPA/2014/5 (Part I)/ Add.1

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UNFPA. *Humanitarian Response Strategy "second generation"*

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ICPD and related

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Global Policy Watch. *Silos or system? The 2030 Agenda requires an integrated approach to sustainable development*. September 2016.

E. EVALUATIONS, ASSESSMENTS AND AUDITS FOR REVIEW

1. UNFPA country programme evaluations

Region	Country	Region	Country	Region	Country
2014		**2015**		**2016**	
ESA	Angola	AS	Sudan	EECA	Kyrgyz Republic
AS	Lebanon*	ESA	Botswana	EECA	Moldova
EECA	Uzbekistan	EECA	Albania	LAC	Peru**
EECA	Tajikistan	LAC	Peru		
ESA	Zimbabwe	WCA	Chad		
EECA	Armenia	AP	Vietnam		
LAC	Uruguay	LAC	Honduras		
AP	Dem Rep Korea	AP	Bangladesh*		
ESA	Swaziland	LAC	Haiti		
EECA	Azerbaijan	WCA	Senegal		
EECA	Turkmenistan	AS	Somalia		
LAC	El Salvador	WCA	Mauritania		
EECA	Turkey*				
WCA	Burkina Faso				

Note: Those countries marked with an * were conducted by the UNFPA evaluation office. Those countries marked with a ** are awaiting EQA results.

2. UNFPA Thematic evaluations

Date	Evaluation
2016	UNFPA Evaluation Office. *Evaluation of UNFPA support to Population and Housing Census Data to inform decision making and policy formulation (2005-2014)*
2016	UNFPA Evaluation Office. *Evaluation of UNFPA Support to Adolescents and Youth (2008-2014)*
2016	UNFPA Evaluation Office. *Evaluation of UNFPA Support to Family Planning (2008-2013)*

3. External reviews, assessments and evaluations of UNFPA

Date	Evaluation
2014	MOPAN Multilateral Organisation Performance Assessment Network. *Technical Report: United Nations Population Fund (UNFPA). Volume I: Results by Micro–indicator and by Country*. 2014
2016	Global Affairs Canada. *Development Effectiveness Review of the United Nations Population Fund (UNFPA)*. Development evaluation Division. January 2016

Date		
2016	DFID. Raising the Standard: the Multilateral Development Review 2016. DFID December 2016	

4. UNFPA Internal audits –country offices.

Region	Country	Region	Country	Region	Country
2014		**2015**		**2016**	
ESA	Namibia[18]	LAC	Venezuela	ESA	Zambia
AP	Pakistan[19]	AS	Sudan	ESA	Lesotho
LAC	Guatemala	ESA	Malawi (joint DAO audit)	WCA	Mauritania
AS	Jordan	AP	Philippines	WCA	Cote D'Ivoire
AP	Nepal	ESA	Tanzania	WCA	Chad
WCA	Nigeria	AP	Pakistan		
ESA	Malawi				
AS	Somalia[20]				

5. UNFPA Internal Audits – regional offices

Date	Region
2015	ESARO
2016	ASRO

6. UNFPA Internal Audits – thematic

Date	Title
2014	Internal audit of the user provisioning and portal access authentication processes
2015	Audit of staff benefits, entitlements and financial assistance
2015	Audit of the inventory management process
2015	Follow-up review of the audit of the global and regional programme
2015	Audit of the UNFPA procurement process
2016	Internal audit of the UNFPA global programming system
2016	Audit of the condom procurement process
2016	Audit of governance and strategic management of UNFPA supplies

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[18] Desk audit
[19] Joint DAO Audit
[20] Common humanitarian fund only

ANNEX 8: COUNTRY AND REGIONAL STUDIES

Due to time constraints, a decision was made to take advantage of missions to the regional offices to also undertake country studies in the corresponding country. Discussions during the scoping phase indicated that the country offices in Thailand and Panama might not be the most illustrative examples to take in the region. It was therefore decided to visit a second country in the two corresponding regions (Asia and the Pacific, and Latin American and the Caribbean, respectively). In addition, in order to include an additional country in the red quadrant, it was decided to include a visit to Malawi when conducting the mission to South Africa. This brings a total of nine countries for country studies through visits by members of the evaluation team.

It was estimated that a further 15 remote country studies would be realistic in the timeframe given demands from other data collection methods. This brings the total to 24 studies. In addition, as the data collection process continues there may be additional telephone conversations with UNFPA representatives and possible national counterparts if necessary to understand certain issues within specific contexts. Finally, the remaining countries will be invited to participate in the online survey described in annex 11. There was not enough time to prepare deep case study reports, nor in the context of this evaluation is it necessary to do so. Rather reporting will be made in the form of an evidence table that will follow the same overall analytical framework as other data collection methods and approaches.

(a) Country selection criteria

A set of criteria has been established for selecting countries for both field visits and desk studies. The criteria were identified through discussion with stakeholders and then agreed by the evaluation reference group. The criteria can be divided into three groups:

(a) *Core criteria*. Regional and quadrant balance are the two core criteria. An assessment was made of the total number of countries that should be included in each region and in each quadrant based on the relative number of countries in each. An assessment was then made to estimate the representativeness of each quadrant in each region which allowed an estimate of countries in each region/quadrant intersect.

(b) *Balance criteria*. The selection will ensure a balance of countries across the following criteria
   - Alignment with the business model
   - Management performance
   - Success in resource mobilisation
   - Country programmes starting after the start of the SP
   - Programme expenditure

(c) *Status criteria*: At least one country in the following category should be included in the list of field missions/and or the complete list of countries to be studied:

- SIDS, LDC, LLDC
- DAO country
- Country with a UN integrated mission
- Humanitarian contexts (man-made and natural disasters)

Finally, where more than one country fulfils the criteria the following can help in making the choice (positively [+] or negatively [-]):
- Previous or planned Evaluation Office country study [-]
- Innovative approaches [+]
- Strong national ownership [+]

The following table sets out the selected countries with the key criteria of business model quadrant and region. The countries that will be visited are coloured red. A complete table in Annex 9 shows the other criteria that were used to make the selection.

(b) Country selection data

Selection criteria	Red quadrant	Orange quadrant	Yellow quadrant	Pink quadrant

Region					
Arab States			**Egypt**	Tunisia Jordan
Asia Pacific	Nepal	**Philippines**		Sri Lanka **Thailand**
Eastern and Southern Africa	Comoros Ethiopia **Malawi**		**South Africa**	
Eastern Europe and Central Asia		Tajikistan		**Turkey** Albania *Bosnia &Herzegovina*
Latin America and the Caribbean		Bolivia	**Panama**	Brazil **El Salvador**
Western and Central Africa	**Senegal** Sierra Leone Chad CAR	Ghana		

Alignment (% expenditure not aligned with					
>75%				Jordan, Turkey, Thailand, *Bosnia &Herzegovina*

Category					
	50-75%		Ghana, Philippines, Tajikistan	Egypt	Brazil, Malaysia
	25-50%	Ethiopia, Sierra Leone		Panama	
	<25%	CAR, Chad, Comoros, Malawi, Nepal, Senegal	Bolivia	South Africa	Albania, Tunisia
Business Cases	**Successful**				*Bosnia &Herzegovina*
Management Performance (priority for attention)	**High**	Ethiopia			
	Medium High				Jordan
	Medium low	CAR, Comoros, Ghana, Malawi, Nepal, Senegal, Sierra Leone	Bolivia, Congo B, Ghana, Philippines	Egypt, Panama, South Africa	Albania, Brazil, Turkey
	Low	Chad	Tajikistan		Bosnia &Herzegovina, Thailand
Humanitarian status	**Humanitarian appeal**	CAR, Chad, Ethiopia, Nepal, Senegal		Egypt	Jordan
	High risk country	CAR, Chad, Ethiopia, Nepal	Tajikistan, Philippines		Turkey
	UN political/peace building mission	CAR			
	Protracted crisis			Egypt	Jordan
	Disaster response	Nepal	Philippines, Tajikistan		
Country category	**DAO**	Chad, Comoros, Ethiopia, Malawi, Senegal, Sierra Leone,	Congo B, Ghana		Albania, *Bosnia &Herzegovina*
	LDC	CAR, Chad, Comoros, Ethiopia,			
	LLDC	Ethiopia, Nepal	Tajikistan		
	SIDS	Comoros,			Caribbean
Programme Expenditure 2015	**<USD$ 1m**			Panama	Malaysia, Tunisia, Bosnia & Herzogovina, Albania
	USD1m-$5m	CAR, Comoros,	Bolivia, Ghana, Tajikistan	Egypt, South Africa	Caribbean, Thailand, Turkey
	>USD5m	Chad, Ethiopia, Malawi, Nepal, Senegal, Sierra-Leone	Philippines		Jordan

Resource Mobilization	>75%	Sierra Leone,				Jordan, Turkey
	50-75%	Chad, CAR, Ethiopia, Malawi, Senegal	Philippines, Bolivia	Egypt		Albania
	25-50%	Nepal,		South Africa, Panama,		
	<25%	Comoros, Ghana				
Programme Cycle	**New programme presented to the EB in 2014/2015/2016**	Chad, Comoros, Ethiopia, Sierra Leone,	Tajikistan	Panama		Albania, Bosnia-Herzogovina, Brazil, Caribbean, Thailand, Turkey

(c) Conduct of the studies

 The first step is a stakeholder mapping that will allow the evaluation team to identify the relevant stakeholders from a regional or country perspective as required. The mapping will allow the development of a meeting agenda for interviewing relevant external stakeholders. Interview protocols can be found in annex 10.

For data collection within the UNFPA regional office or country office the evaluation team will conduct a workshop. The workshop will be for half a day and will include all relevant staff of the country or regional office. It will be conducted through joint and group work using the evaluation matrix as the overall analytical framework. Further details can be found in annex 11.

Apart from the pilot mission to the Arab States Regional Office and the Egypt country office in which three members of the evaluation team will participate, each study will be conducted by a single member of the evaluation team and it is expected that regional office of country office visits will take between 2 and 3 days. The reports for each regional and country study will follow the same structure as set out in annex 8(e).

(d) Outline of country and regional level workshops

COUNTRY OFFICE WORKSHOP

Purpose: to provide primary data on the experience at country level regarding the questions raised in the evaluation matrix.

Participants: all relevant programme and operations staff

Duration: Two and a half hours

Structure: one session of feedback based around the questions raised in the evaluation matrix. Facilitated by the evaluation team member.

A. Introduction (PPP slides)

B. Questions structured around feedback from COs and support provided by RO throughout the programme cycle

B.1 Programme design and alignment (30 mins)

What was the process for alignment with the SP?

- Guidance vs compulsory instructions? Consequences?
- Instructions enforced by whom? (HQ? RO?)
- Were the IRF and the ToC useful and actually used in designing/realigning CPDs/CPAPs?
- Challenges in aligning CPD outputs and outcomes with IRF (and specifically with Bull's Eye)?
- Challenges in aligning with MoEs/quadrants?
- Are the MoEs clear enough?
- Validity of the criteria used for the RAS? Quality of data?
- Dynamic relevance of the country classification (quadrants determined for the duration of the SP)?
- What happens in case of humanitarian crisis (or other changes in the national context) with regard to the application of MoEs?
- Challenges with the resource mobilization as the result of alignment?
- Challenges with addressing national priorities whilst aligning the CPD with the SP? ("Buy in" of MoEs by national counterparts?)
- Challenges in aligning to SP in the context of UNDAF? In DAO contexts?
- Challenges in aligning HR with MoE requirements?
- Specific challenges in case alignment occurs late in the country programme cycle?
- Use the business case modality?

How did the RO support COs in their alignment?

- Enforce instructions coming HQ vs. arbitrate between potentially conflicting objectives?

B.2 Programme implementation (30 mins)

- Challenges in responding to emerging demands whilst applying the MoEs
- Changing context / humanitarian contexts?
- Do partnerships allow for better response to national priorities and needs whilst remaining aligned to the SP

B.3 Monitoring and reporting on results

Does the SP provide an appropriate set of indicators to monitor all interventions under all MoEs and humanitarian contexts, and in cases of high misalignment

- Was IRF useful in setting up results framework and associated indicators at CO level?
- Are SP indicators adapted to all MoEs? To humanitarian situations?
- Issues with regard tagging in GPS? In particular for upstream work MoEs (advocacy/policy advice; knowledge management)?
- Does the IRF make reporting easier or more difficult?

REGIONAL OFFICE WORKSHOP

Purpose: to provide primary data from Regional level on experience regarding the questions raised in the evaluation matrix

Participants: all relevant programme and operations staff

Duration: Three hours

Structure: two sessions (a) on feedback from COs in the region (b) on the GRI, both based around questions raised in the evaluation matrix. Facilitated by the evaluation team member

C.   Introduction (PPP slides)

D.   Session1: Questions structured around feedback from COs and support provided by RO throughout the programme cycle

B.1 Programme design and alignment (30 mins)

What feedback does the RO get from COs on issues of alignment with the SP?

- Guidance vs compulsory instructions? Consequences?
- Instructions enforced by whom? (HQ? RO?)
- Were the IRF and the ToC useful and actually used in designing/realigning CPDs/CPAPs?
- Challenges in aligning CPD outputs and outcomes with IRF (and specifically with Bull's Eye)?
- Challenges in aligning with MoEs/quadrants?
- Are the MoEs clear enough?
- Validity of the criteria used for the RAS? Quality of data?
- Dynamic relevance of the country classification (quadrants determined for the duration of the SP)?
- What happens in case of humanitarian crisis (or other changes in the national context) with regard to the application of MoEs?

- Challenges with the resource mobilization as the result of alignment?
- Challenges with addressing national priorities whilst aligning the CPD with the SP? ("Buy in" of MoEs by national counterparts?)
- Challenges in aligning to SP in the context of UNDAF? In DAO contexts?
- Challenges in aligning HR with MoE requirements?
- Specific challenges in case alignment occurs late in the country programme cycle?
- Use the business case modality?

How ROs are able to support COs in their alignment?

- Enforce instructions coming HQ vs. arbitrate between potentially conflicting objectives?

B.2 Programme implementation (30 mins)

- Challenges in responding to emerging demands whilst applying the MoEs
- Changing context / humanitarian contexts?
- Do partnerships allow for better response to national priorities and needs whilst remaining aligned to the SP

What capacity does the RO have to support outliers?

- Do they think there are any outliers and how do they provide support?

B.3 Monitoring and reporting on results

What feedback do you get from COs on whether the SP provides an appropriate set of indicators to monitor all interventions under all MoEs and humanitarian contexts, and in cases of high misalignment

- Was IRF useful in setting up results framework and associated indicators at CO level?
- Are SP indicators adapted to all MoEs? To humanitarian situations?
- Issues with regard tagging in GPS? In particular for upstream work MoEs (advocacy/policy advice; knowledge management)?
- Does the IRF make reporting easier or more difficult?

SHORT BREAK

C: Session 2 on GRI (1 hour)

1. What is the GRI in your view? What is its purpose?
   - What distinction is made between regional programme, regional interventions and RO support to COs?
2. To what extent has the GRI contributed to the achievement of SP results?
3. Is the GRI conducive to more accountability?
   - Are mechanisms more transparent and lead to higher quality (peer review role)

- Are the transparency/ quality assurance mechanisms cumbersome? (too many indicators? lack of data? heavy reporting? capacity issues?)

4. What are the challenges and lessons learned regarding the monitoring and reporting on the results of regional interventions?

- When reporting on the GRI, how easy or otherwise is it to fit into reporting against the IRF

(e) Key stakeholder interview questions

The following represents some of the core questions for different stakeholder groups:

A. UN Resident Coordinator

1. What effects do changes in an agency's country programme have on UN coherence in general, and on the UNDAF in particular?
2. Have new joint programmes taken account of / current joint programmes been adjusted to take into account changes in the way UNFPA engages with national counterparts? [MoEs]
3. Comparing with your experience in other countries, how does UNFPA contribute to the UNDAF in this country? If you see differences, do you think they could be explained by attempts of the UNFPA CO to align with the UNFPA SP?
4. In case one of the agencies would not be able to deliver commitments made in the UNDAF, do you think that, within this UNCT, the resulting gap could be filled by another agency?
5. How does this UNCT (in comparison with others) respond to emerging demands from the national counterparts (responsiveness)?
6. If funding opportunities arise, are they dealt with in a collegial manner within UNCT?
7. Is the UNDAF effective in providing accountability for results to the government? How?

B. UNFPA Country Director

The nature of the questions will vary according to: (a) the quadrant, (b) the country programme cycle, and (c) humanitarian status.

1. What was the process of aligning to the SP? Did you produce an alignment strategy or submit a business case? Did you use the SP theories of change in aligning to the SP IRF? How did you engage with national counterparts when aligning the CP?
2. What support was received from HQ or the RO? Was guidance adequate? Was there pressure to align with modes of engagement? Did you understand the alignment to MoEs to cover both core and non-core resources? Were the definitions of the modes of engagement clear?
3. Were the MoEs for your quadrant appropriate for the national context when the country programme was designed/aligned? Did changes in the national context (especially in case of humanitarian crises) affect the relevance of the MoEs? In an emergency context, were you authorized to suspend the application of business model? Did the introduction of the business model result in a change in the MoEs used by the CO? If so, how was this perceived by national counter parts and implementing partners?

4. What prevented the CO from fully aligning to the SP (Bulls-eye, modes of engagement)? What were the main challenges faced (donor interest; HR constraints; political changes; etc.)? What were the consequences of non-alignment? Did HQ and/or the RO mention a threshold of "acceptable" degree of misalignment?
If faced with serious difficulties in aligning to the SP, was the business case procedure considered? With what outcome?
If a high proportion of expenditures tagged as 'other' - was tagging a problem
If DAO - are there special challenges in DAO Contexts
If country changed quadrant mid-stream (ie 2015 or 2016) were there two alignment processes? What was RO/HQ view on how the process should be handled?

5. Did the alignment of the CPAP to the SP entail a negotiation with other UN agencies with regard to UNFPA contribution to UNDAF outcomes? With other international partners, such as donors? Has the alignment process affected resource mobilization efforts?
6. Did the RO provide support (technical advice/programming advice) to help fill HR gaps in order to focus on the new modes of engagement? What is RO support more generally? Do you get the advice you request? Are the regional projects well-coordinated with you own interventions?
7. Does the SP provide an appropriate set of indicators to monitor all interventions under all MoEs and humanitarian contexts? Did SP make CO lives easier in terms of monitoring and reporting
Pink/yellow countries – does the IRF adequately capture policy dialogue and advocacy?

C. National government counterparts

It may be necessary to explain the SP and the BM, especially the colour quadrants and modes of engagement.

1. How is the cooperation with UNFPA going so far? What type of engagement with UNFPA? What kind of interventions? Have you seen any changes in the way UNFPA works since 2014?
2. Do you find the colour quadrant for your country appropriate? Do you find the specific modes of engagement appropriate for your country?
3. Were areas for cooperation proposed by UNFPA in designing the CPD matching national priorities? Were adjustments possible/easy in case of emerging needs/priorities? Did you find the model useful when discussing priorities?
4. Do you think the UNFPA CO has the capacities to align with the proposed MoEs?
5. Are you satisfied with the accountability mechanisms? Reporting requirements?
6. How does the UNFPA programme fit within the broader range of interventions from other UN agencies and other development partners?
7. What are the comparative strengths / added value of UNFPA?
8. What could UNFPA do better in terms of the way it works?

(f) Persons interviewed and workshop participants

ALBANIA
Rita Colombia, Representative
Manuela Bello, Assistant Representative
BOLIVIA
Ana Angarita, Representative
Rolando Pardo, M&E Officer
BOSNIA
Gabriella Jurela Assistant Representative
Dalibar Pejovic, Ministry of Civil Affairs
BRAZIL
Yves Sassenrath Deputy Representative
Anna Cunha, Programme Analyst
COMOROS
Boina Maécha Mamadou, Assistant Representative
EL SALVADOR
UNFPA
Hugo Gonzalez Representative
Mario Iraheta Assistant Representative
Maria Alvarenga de Aparicio SRH Officer
Ondine Castillo Gender and Youth Officer
Maria Lafuentefunes Resource Mobilisation Officer
Lydia Hortensia Lemus SRH education and capacity specialist
Elizabeth Murcia Programme Officer P&D
Walter Sotomayor Communications Adviser
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	Carol Nettleingham	HR Strategic Partner
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	Nihal Said	Programme Analyst-AYSRH
	Gehad El Sayed	Y-PEER Coordinator
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	Randa Hamza	Senior Advisor, Policy, Thematic and Sectoral Evaluation
Ministry of Health and Population	Dr. Soad Abdel Megid	Sector Head of Family Planning
National Population Council (NPC)	Dr. Tarek Amin	Rapporteur
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League of Arab States	Ms. Enas Fergany	Manager Population Policies and Expatriates and Migration Department (PPEMD)
	Ms. Chouaa Dassouki	PPEMD
	Mr. Ahmed AbdEl Moneim	Manager PAPFAM
International partners		

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[21] currently on DA with Jordan CO

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	Amany Gamal ElDin	Youth & Adolescence Officer,
UN Women Egypt CO	Jorg Schimmel	Officer in Charge | Deputy Country Director,
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WHO Egypt	Dr. Jean Yaacoub Jabbour	Representative
	Dr. Hala El Hennawy	NPO
UN	Mr. El-Mostafa Benlamlih	UN Resident Coordinator
MALAWI		
UNFPA CO		
	Dan Odallo	Representative
	Rogaia Abdelrahim	Deputy representative
	Plus workshop participants	
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	Chikondi Phiri	Economist
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UNICEF	Johannes Wedening	Representative
	Charles Nabongo	Chief, Basic Education and Youth Development
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	Vanessa Chirwa	
DFID	Vera Ngoma	Human Development Team Leader
	Ruth Hope Mwandira	Health and HIV/AID Advisor
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Eastern Cape Provincial Health Department	Patrick Maduna	Clinical Services
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	Plus workshop participants	
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	Pınar Kavşat	Humanitarian ECHO Project Assistant
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	Murat Altınsoy	Expert, Ministry of Development
	Mustafa Cadir	Dead of the Directorate on the Status of Women, Ministry of Family and Social Affairs
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	Pavel Ursu	WHO Representative
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Georges Gonzales, Deputy Representative, UNICEF	
George Fom Ameh, Chief of Child Survival and Development, UNICEF	
Aliou Assani, Regional Adviser, UNAIDS	

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UNFPA: Simbary Gassi, Assistant Representative	
National counterpart: Djoiurbé Taiki Zeuné, Director of the Department of Population and Human Development Planning, Ministry of Economy and Development Planning	
GHANA	
UNFPA: Erika Goldson, Deputy Representative Eric Okrah, National Programme Analyst-M&E Bawa Amadu, Assistant Representative	
National counterpart: Patrick Aboagye, Ghana Health Service	
Central African Republic	
UNFPA: Alain Akpadji, Deputy Representative Alexandre Ewango, Assistant Representative Raymond Goula, Programme specialist, P&D	
National counterpart:	
SIERRA LEONE	
National counterpart: Sulaiman Conteh, Programme Manager, RH/FP in the Ministry of Health and Sanitation	

ANNEX 9: NEW YORK INTERVIEWS

(a) Core questions for member states

1. Do you consider that the Bull's eye is (still) relevant [in the 2030 agenda]?

2. Did you notice any change (improvement) in the quality of the country programme documents submitted to you since the introduction of the SP? [clearer focus on key priorities; improved theories of change; improved results frameworks]

3. In the current global context, with the multiplication of humanitarian crises, does the SP correctly address the issue of humanitarian response and preparedness? Was the decision to mainstream humanitarian assistance in all thematic areas relevant? What would be your views on adding a specific outcome on humanitarian assistance in the next SP?

4. Does the IRF allow for a better accountability of UNFPA at results level?

5. Do you see any advantages in the business model and corresponding classification countries? [In comparison with other UN Organizations]

6. [If aware of the colour quadrants] Do you consider that associating specific MoEs with the country situation is appropriate (especially with regard to the specific situation of pink/middle income countries)? Should there be flexibility in applying the MoEs?

7. Do you find the resource allocation mechanism to be clear and transparent?

8. Is financial information adequately comprehensive and made available in good time for you to make allocation decisions? Is it enough to hold the organization accountable?

9. Are UNFPA's corporate accountability mechanism adequate? What would you like to see in addition to the existing mechanisms and reports?

Note: Questions for UNFPA HQ staff and external partners were developed on a case by case basis.

(b) List of stakeholders interviewed

ORGANIZATION	NAME	POSITION
UNFPA HQ		
Division for Governance and Multilateral Affairs	Kwabena Osei-Danquah	Director
Division for Communication and Strategic Partnership	Arthur Erken	Director
	Klaus Simoni Pedersen	Chief, Resource Mobilization Branch
Division for Management Services	Iva Goricnik Christian	Chief, Resource Planning and Budgeting Branch
Programme Division	Farah Usmani	Chief, Operational Support & Quality Assurance
	Charles Katende	Chief, Information and KM Branch
	Wilfred Iyekolo	Programme Analyst
	Ugochi Daniels	Chief, Humanitarian and Fragile Contexts Branch
	Arasu Jambukeswaran	Business Practices Specialist, HFCB
Technical Division	Benoit Kalasa	Director
Division for Human Resources	Michael Dahl	Chief, Talent Management
	Arturo Pagan	Deputy Director& Chief HR Strategic Partner Branch
MEMBER STATES		
Bangladesh	Shanchita Haque	Counsellor, Permanent Mission of Bangladesh to the United Nations
Norway	Nina Strom	Senior Adviser on SRHR, Global Health Section, NORAD
Switzerland	Christine Schneeberger	First Secretary. Permanent Mission of Switzerland to the United Nations
USA	Esther Pan Sloane	Adviser, U.S. Mission to the United Nations
UN AGENCIES		
DOCO	Gerald Daly	Policy Adviser Programming, Business Operations and Joint Funding
	Alex Warren-Rodriguez	Strategic Policy & Global Partnerships Adviser
	Frederik Matthys	Regional Adviser Africa
DESA	Zina Mounla	Chief Development Cooperation Policy Branch
	Silva Bonacito	
	Kirit Patel	
UNDP	Turhan Saleh	Strategic Plan Coordinator, Executive Office
	Zazie Schafer	Policy Adviser, Executive Office
UNICEF	George Laryea-Adjei	Deputy Director, Division of Data, Research and Policy
UNWOMEN	Julien Pellaux	Strategic Planning and Operations Adviser

ANNEX 10: ADMINISTRATIVE DATA ANALYSIS

(a) Analysis of change in the number of outputs in new country programmes approved in 2014, 2015 and 2016.

	Programme Cycle Title	Start Year	Number of active outputs at end of previous cycle	Number of active outputs at beginning of new cycle	Change in number of outputs	% change in number of outputs	No of countries reducing outputs	More than 50%
Orange	North Korea,	2017	4	3	-1	-25%	1	
Orange	Timor-Leste,	2015	13	5	-8	-62%	1	1
Orange	Laos,	2017	7	4	-3	-43%	1	
Orange	Tajikistan	2016	6	6	0	0%		
Orange	Angola	2015	8	6	-2	-25%	1	
Orange	Swaziland	2016	6	5	-1	-17%	1	
Orange	Guatemala	2015	6	7	1	17%		
Orange	Honduras	2017	7	4	-3	-43%	1	
Orange	Sao Tome and Principe	2017	6	2	-4	-67%	1	1
						Total	7	2
					As % of total number of countries		78%	22%
Pink	Algeria	2017	6	4	-2	-33%	1	
Pink	Lebanon	2017	5	4	-1	-20%	1	
Pink	Tunisia	2015	5	3	-2	-40%	1	
Pink	China	2016	11	4	-7	-64%	1	1
Pink	Iran	2017	5	3	-2	-40%	1	
Pink	Maldives	2016	6	1	-5	-83%	1	1
Pink	Mongolia	2017	9	5	-4	-44%	1	
Pink	Thailand	2017	4	3	-1	-25%	1	
Pink	Viet Nam	2017	8	4	-4	-50%	1	1
Pink	Albania	2017	6	4	-2	-33%	1	
Pink	Armenia	2016	7	4	-3	-43%	1	
Pink	Belarus	2016	6	3	-3	-50%	1	1
Pink	Bosnia and Herzegovina	2015	4	4	0	0%		
Pink	Turkey	2016	6	4	-2	-33%	1	
Pink	Serbia	2016	6	3	-3	-50%	1	1
Pink	Azerbaijan	2016	8	3	-5	-63%	1	1
Pink	Kazakhstan	2016	7	4	-3	-43%	1	
Pink	Turkmenistan	2016	7	5	-2	-29%	1	
Pink	Uzbekistan	2016	7	4	-3	-43%	1	
Pink	Botswana	2017	7	5	-2	-29%	1	
Pink	Mauritius	2016	10	4	-6	-60%	1	1
Pink	Argentina	2016	7	1	-6	-86%	1	1

Pink	Brazil	2017	3	4	1	33%		
Pink	Chile	2015	4	4	0	0%		
Pink	Colombia	2015	8	4	-4	-50%	1	1
Pink	Ecuador	2015	10	5	-5	-50%	1	1
Pink	Peru	2017	11	4	-7	-64%	1	1
Pink	Uruguay	2016	6	3	-3	-50%	1	1
Pink	Venezuela	2015	10	6	-4	-40%	1	
						Total	26	12
					As % of total number of countries		90%	41%
Red	Afghanistan	2015	7	7	0	0%		
Red	Bangladesh	2017	7	7	0	0%		
Red	Cambodia	2016	13	8	-5	-38%	1	
Red	Comoros	2015	4	5	1	25%		
Red	Eritrea	2017	6	5	-1	-17%	1	
Red	Ethiopia	2016	10	6	-4	-40%	1	
Red	Kenya	2014	8	5	-3	-38%	1	
Red	Madagascar	2015	7	5	-2	-29%	1	
Red	Mozambique	2017	10	8	-2	-20%	1	
Red	Uganda	2016	13	6	-7	-54%	1	
Red	Tanzania	2016	20	11	-9	-45%	1	
Red	Zambia	2016	7	5	-2	-29%	1	
Red	Zimbabwe	2016	11	7	-4	-36%	1	
Red	South Sudan	2016	6	4	-2	-33%	1	
Red	Haiti	2017	5	6	1	20%		
Red	Chad	2017	8	4	-4	-50%	1	1
Red	Côte d'Ivoire	2017	6	5	-1	-17%	1	
Red	Gambia	2017	7	5	-2	-29%	1	
Red	Guinea-Bissau	2016	7	5	-2	-29%	1	
Red	Mali	2015	6	8	2	33%		
Red	Sierra Leone	2015	7	8	1	14%		
						Total	15	1
					As % of total number of countries		71%	5%
Yellow	Iraq	2016	5	4	-1	-20%	1	
Yellow	Morocco	2017	4	4	0	0%		
Yellow	Occuzied Palestinian Territory	2015	6	4	-2	-33%	1	
Yellow	Syria	2016	5	3	-2	-40%	1	
Yellow	Indonesia	2016	3	5	2	67%		
Yellow	Georgia	2016	7	3	-4	-57%	1	1
Yellow	El Salvador	2016	7	5	-2	-29%	1	
Yellow	Panama	2016	6	4	-2	-33%	1	
Yellow	Paraguay	2015	7	6	-1	-14%	1	
						Total	7	1
					As % of total number of countries		78%	11%

(b) Analysis of GPS Data on alignment of expenditures to modes of engagement

ALL COUNTRIES

Table x:						
	% expenditure by mode of engagement and other					**% Out of Alignment**
Region	**ME01: Advocacy/ Policy Dialogue and Advice**	**ME02: Knowledge Management**	**ME03: Capacity Development**	**ME04: Service Delivery**	**ME05: Other**	
ASRO	24	11	18	30	17	58
APRO	32	14	24	11	18	36
EECARO	49	9	22	7	13	44
EASRO	17	13	33	27	9	16
LACRO	44	9	29	6	12	32
WCARO	14	7	41	30	9	16
All COs	**30**	**11**	**29**	**18**	**13**	**31**

Table x:						
	% expenditure by mode of engagement and other					**% Out of Alignment**
Quad-rant	**ME01: Advocacy/ Policy Dialogue and Advice**	**ME02: Knowledge Management**	**ME03: Capacity Development**	**ME04: Service Delivery**	**ME05: Other**	
Pink	51	9	18	8	14	49
Yellow	40	19	13	16	12	41
Orange	13	14	53	12	8	20
Red	10	8	33	33	14	14

NO HUMANITARIAN AND APPROVED BUSINESS CASES

Table x:						
	% expenditure by mode of engagement and other					**% Out of Alignment**
Quad-rant	**ME01: Advocacy/ Policy Dialogue and Advice**	**ME02: Knowledge Management**	**ME03: Capacity Development**	**ME04: Service Delivery**	**ME05: Other**	
Pink	53	9	17	3	15	44
Yellow	50	23	9	6	12	27
Orange	15	13	58	8	7	14
Red	10	9	34	35	13	13

NO HUMANITARIAN, APPROVED BUSINESS CASES AND COUNTRIES WITH NEW PROGRAMMES 2014, 2015, 216

Table x:						
	% expenditure by mode of engagement and other					
Quad-rant	**ME01: Advocacy/ Policy Dialogue and Advice**	**ME02: Knowledge Management**	**ME03: Capacity Development**	**ME04: Service Delivery**	**ME05: Other**	**% Out of Alignment**
Pink	57	5	22	6	9	43
Yellow	52	14	14	10	9	33
Orange	17	17	50	5	11	16
Red	12	8	39	28	13	13

(c) Financing the Emergency Fund and Humanitarian Response Reserve

Relevant sections of the Regular Resource Distribution Plans 2014-2017			
Date		**Emergency Fund**	**Humanitarian Response Reserve**
2014	Initial	The Emergency Fund has been increased from $3 million annually to $5 million annually, in line with the Executive Board decision 2013/32 approving the Integrated Budget 2014-2017.	
	7 Oct	The Emergency Fund remains unchanged at $5 million annually, in line with the Executive Board decision 2013/32 approving the Integrated Budget 2014-2017.	
2015	Initial	The Emergency Fund component will receive $5 million, in line with the Executive Board decision 2013/32 approving the Integrated Budget 2014-2017.	$10 million for the Humanitarian Response Reserve is not set aside at this time. UNFPA will seek additional funding to establish the reserve, subsequent to the approval of the Executive Board, and fund the Reserve in line with the available resources.
	30 April 4 Aug 28 Oct	The Emergency Fund component will receive $5 million annually, in line with the Executive Board decision 2013/32 approving the Integrated Budget 2014-2017. As per decision 2015/3 the Emergency Fund has been increased to $10m, however, as part of the austerity measures, the Emergency Fund is currently kept at the original $5 million.	Given the resource situation at this time, funds are also not set aside for the Humanitarian Response Reserve, notwithstanding the Executive Board decision 2013/32 approving the set-up of the Humanitarian Response Reserve
2016	Initial	The Emergency Fund component will receive $2 million, a reduction of $3 million from the 2015 level ($8 million from the Executive Board approved level).	$10 million for the Humanitarian Response Reserve is not set aside at this time
	15 June	The Emergency Fund component will receive an additional $2 million, increasing it to a total of $4 million available.	In addition, $1 million has been set aside from available resources to initially fund the Humanitarian Response Reserve.
	28 Sept.	At Programme Division's request, the $1 million previously set aside to fund the Humanitarian Response Reserve has instead been redeployed to the Emergency Fund. above. This increases the Emergency Fund to a total $5 million.	
2017	Initial	Emergency Fund and Humanitarian Response Reserve ceiling has been increased by $3 million versus the MTR target, to a total of $5 million. Programme Division can distribute between the Humanitarian Response Reserve and the Emergency Fund based on their priority.	

ANNEX 10 (d) UNFPA PROGRAMME STRATEGIES AND CHANGES OVER TIME

The following table is an examination of the evolution of the UNFPA programming strategies (modes of engagement) over time.

Strategic Document	Programming strategies[22]	How they are used
MYFF1 2000-2003	• Advocacy • Strengthening national capacity • Building and using a knowledge base • Promoting, strengthening and coordinating partnerships.	(paragraph 38) These strategies, which are delineated below, are not presented in any particular order of priority, as their importance and application will vary in relation to the needs and priorities of a particular country or region. In the Africa region, for example, there is a special focus on capacity building. In Latin America and the Caribbean region the focus is on strengthening partnerships in the context of health sector reform. The programme strategies deployed are not mutually exclusive, and often different strategies will be applied simultaneously to achieve a specific result.
MYFF2 2004-2007	• Building and using a knowledge base • *Advocacy and policy dialogue* • Promoting, strengthening and coordinating partnerships • Developing systems for improving performance	(paragraph 55) For the MYFF period 2004–2007, the Fund has identified four interactive programme strategies, which converge around developing the national capacity of programme countries to effectively deal with population-related issues. Based on recommendations of an internal evaluation, **the Fund has adopted national capacity development as an overarching principle of its assistance**, rather than as a separate strategy as in the first MYFF. All UNFPA efforts will seek to enhance the ability of individuals, organizations and systems within countries and regions to promote the implementation of the ICPD Programme of Action and achievement of the MDGs.
Strategic Plan 2008-2013	• Building and using a knowledge base • Supporting advocacy and policy dialogue • Building and strengthening partnerships • Developing systems for improved performance	(paragraph 80) **Capacity development will be the central thrust of the Fund's work at the country level** and will be supported with regional and global technical and programmatic resources. UNFPA core contribution to capacity-building at national level will be through the transfer of knowledge and skills to individuals, development of national institutions, and support to national policies and strategies. The strategies for capacity development, which will be further developed in the guidance note, are given below.

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[22] PRC manual - MoEs and programming strategies are the same.

Strategic Plan 2014-2017	• Policy dialogue/advocacy • Knowledge management • Capacity development • Service delivery	(annex 3 paragraph 13) The interventions that UNFPA delivers across the globe can be grouped into a limited number of programming strategies: - Advocacy and policy dialogue/advice: Upstream work involving rights-based support for and provision of recommendations regarding a course of action. - Knowledge management: Activities related to the generation, analysis, use and sharing of knowledge intended to improve programmes through various means. - Capacity development: The process by which skills, systems, resources and knowledge are strengthened, created, adapted and maintained over time in order to achieve development results. - Service delivery: Involvement in the direct provision of goods and services to beneficiaries. For UNFPA, this category covers both direct delivery of services (such as procurement and behaviour change communications campaigns) and support of such delivery. (paragraph 42) For example, in countries that have the highest needs and low ability to finance their own interventions (coloured red in the matrix above), UNFPA should be prepared to offer a full package of interventions, from advocacy and policy dialogue/advice through knowledge management and capacity development to service delivery. However, in countries with low need and high ability to finance their own programmes (coloured pink in the matrix above), UNFPA should focus on advocacy and policy dialogue/advice.

A number of staff members noted that the MoEs that exist now have not changed since the introduction of the first MYFF in 2000. In reality the change in approaches to programming strategies since the first MYFF started in 2000 has been marked. The main change has been around capacity development. In the first MYFF capacity development was one of four programming strategies but by the second MYFF capacity development was in the centre – the overarching principle of UNFPA assistance - rather than a separate strategy. This approach was continued in the SP 2008-2013. In the SP 2014-2017, capacity development returned to being one of four programming strategies (also known now as modes of engagement). Not only was this a change in the conceptualization of capacity development, but the model of differentiated engagement encourages capacity development in only half of UNFPA programme countries. The following table takes the conceptualization of capacity development further in some supporting documents.

Document	How capacity is considered
2003 evaluation of UNFPA's capacity development work[23]	The evaluation may have influenced the shift in approach from MYFF 1 to MYFF 2. The evaluation concluded the following: - in the absence of well-defined strategies for capacity development within UNFPA, these management structures are not as effective in achieving the capacity development objectives of these programmes as they could be. - UNFPA was not always sufficiently aware of the various contextual variables influencing the capacity development process. Such variables include the centralized and politicized cultures within counterpart organizations, the process of government decentralization, and the role of civil society in forcing organizations to develop their capacities because of its demand for better products and services.
2011 Capacity Development Matters[24]	In 2011, UNFPA published the guidance as a practical guide to "unpack" and "demystify" capacity development. It notes that: Capacity development is the central thrust of UNFPA programmes. It is not solely a means to an end, but the goal in itself. Experience shows that national ownership is at the core of effective capacity development strategies that have a long-lasting impact. In this sense, the role of UNFPA is to nurture national capacity by providing or facilitating technical assistance at the individual, organizational and systemic (or enabling) levels.
2016 Policy Dialogue/Advocacy MOE Guidance	In 2016, the UNFPA draft guidance on Policy Dialogue and Advocacy attempted to "debunk" the idea of capacity development as an end. The paper draws heavily on "UNDG report" that is in reality a consultant's report commissioned by UNDG. The definition in it are therefore not official but nonetheless have been taken as the basis for developing the logic of the argument. Specifically, the UNFPA cites the paper when making the distinction between Policy Dialogue and Capacity Development: *Policy dialogue* is distinct from dialogue about "capacity development." While capacity development may be an important requirement for policy success, dialogue on capacity development is not a form of policy dialogue unless it is linked to discussion of a specific policy or programme. For example, looking across an entire agency at the budgeting process may be useful for capacity development, but would not in itself be a form of policy dialogue. Looking at how the agency's budgeting process needs to change in order to ensure adequate resources for implementation of a specific new policy, strategy, plan or programme would be a form of policy dialogue. The problem is immediately clear from the first sentence.
2016 Capacity Development MOE Guidance	The companion draft paper on capacity development, however, recognizes the three levels of capacity development yet described capacity development as a precursor for advocacy/policy dialogue. It goes on to suggest that .....interventions to achieve upstream country programme outputs can include capacity interventions. For example, for the country specific CP output "Budget line on RH commodities increased in the national plan", the country programme can include activities such as an orientation workshop with key partners on the issue (ie: capacity development).
UNDG 2017 UNDAF Guidance	The 2017 UNDAF guidelines puts capacity development at the centre of the UN development system work

[23] UNFPA. *UNFPA's Support to National Capacity Development: Achievements and Challenges* Evaluation Report #20. 2003
[24] UNFPA. *Capacity Development Matters. A Practical Guide*. 2011

	[CD] is a <u>core function of the UNDS and is critical to implement the 2030 Agenda</u> and sustain progress. The 2030 Agenda and the unifying principle of leaving no one behind demands an enhanced approach to capacity development of government and relevant stakeholders, including civil society and non-governmental organizations. Capacity development support by the United Nations seeks to maximize national ownership and leadership and <u>address capacity at the levels of</u> <u>individuals, organizations and the enabling environment</u>. Individual capacity support focuses on improving individual skills, knowledge and performance through training, experiences, motivation and incentives. Organizational capacity support aims at improving organizational performance through strategies, plans, rules and regulations, partnerships, leadership, organizational politics and power structures. <u>Capacity support for an enabling environment seeks to strengthen policies</u> while ensuring policy coherence to address economic, environmental and social factors such as labour markets, the policy and legislative environment, class structure and cultural aspects.

ANNEX 11: STAKEHOLDER SURVEY

(a) Survey questions

The surveys were undertaken in January 2017 using Survey Monkey. All UNFPA programme countries were invited to participate excluding the once participation in the 24 country studies. The survey is confidential and analysis does not allow a specific CO or national counterpart to be identified, therefore we removed references to specific countries in the tables.

The survey for the Country Office Representatives was sent to the country director in each participating country and it was expected that s/he will consult with colleagues when completing the survey.

The survey for the National Counterparts was sent using a list of names and e-mail addresses supplied by the COs.

The survey of the Executive Board was sent to the donor and program country representatives in the Executive Board.

A. QUESTIONNAIRE FOR COUNTRY OFFICES

1. Did you use the theories of change for each <u>corporate outcome</u> that were developed with the Strategic Plan?
☐   No, we have not used them [skip to q4]
☐   Yes, we used them in preparing the country programme document
☐   Yes, we used them in preparing projects and programmes
☐   Yes, we used them when engaging in policy dialogue.

2. If you did use the outcome theories of change, how useful did you find them?
☐   Very useful
☐   Useful
☐   Not useful

3. Did you use the theories of change for each <u>output</u> that were developed after the Strategic Plan?
☐   No, we have not used them [skip to q4]
☐   Yes, we used them in preparing the country programme document
☐   Yes, we used them in preparing projects and programmes
☐   Yes, we used them when providing policy advice.

4. If you did use the output theories of change, how useful did you find them?
☐   Very useful
☐   Useful
☐   Not useful

5. If you did not use the theories of change at all or not for all outcomes or outputs, why not?

………

6. How could the theories of change be improved, to make them more useful for you?

………

7. Since the start of the Strategic Plan, have you been able to make stronger use of partnerships which complement UNFPA interventions and support achievement of CPD/UNDAF outcomes? If yes please explain how.

………

8. Did you understand the modes of engagement i.e. was it clear what was meant by each mode? (tick each box for which the mode was clear)
    - ☐ Service delivery
    - ☐ Capacity development
    - ☐ Knowledge management
    - ☐ Policy dialogue and advocacy
    - ☐ Other

9. Where did the information come from regarding what was meant by each mode (e.g. guidance, presentation from HQ/RO, discussion with others etc)

    ………

10. Were the modes sufficiently well-defined and distinct to facilitate alignment? Y/N

11. If no, why not?

    ………

12. Did you understand the model of differentiated MoEs as:
    - ☐ A starting point for discussion with national counterparts
    - ☐ A framework that must be strictly adhered to

13. What was the source of your understanding of the above?

    ………

14. What were the main challenges to alignment with the specified MoEs for your MoE quadrant (i.e. pink, orange, yellow or red)?

15. If you realigned to the specified MoEs for your quadrant, were you able to adapt your human resources accordingly?

16. Was the RO able to help fill any capacity gaps resulting from aligning to MOEs?

17. Did you use partnerships to help align to the specified MoEs for your quadrant?

18. If you developed a new country programme after the start of the current strategic plan in 2014, were the specific MoEs for your quadrant useful in engaging with national counterparts? If so, how?

19. How did the process of alignment to the specified MoEs for your quadrant affect your ability to mobilize resources?
    - ☐ Easier
    - ☐ More difficult
    - ☐ No affect

20. Do you think that strict alignment to the specified MoEs for your quadrant is appropriate in your country? Y/N

21. Do you think that application of the specified MoEs for your quadrant has had an impact on your ability to respond to new or emerging national priorities or changes in context (excluding humanitarian crises)? [Explain]

22. If you had challenges in fulfilling any component of the strategic plan commitments did you prepare a business case;
    - ☐ We prepared a business case
    - ☐ We submitted a business case to the regional office

B. QUESTIONNAIRE FOR NATIONAL COUNTERPARTS

1. Please select one of the following to indicate your relationship with UNFPA
   - ☐ Coordination of external assistance
   - ☐ Implementing partner – sexual and reproductive health services
   - ☐ Implementing partner – adolescents
   - ☐ Implementing partner – gender equality
   - ☐ Implementing partner – population dynamics

2. How long have you personally engaged with UNFPA?

3. Are you aware of the UNFPA Strategic Plan 2014-2017? Y/N

4. Are you aware of the integrated results framework? Y/N

5. Are you aware of the theories of change? Y/N

6. Are you aware of the business model? Y/N

7. Modes of engagement? Y/N

8. Did you use or discuss with UNFPA the theories of change when developing the country programme with UNFPA? Y/N

9. If yes, were the theories of change useful?

10. Since the start of the strategic plan in 2014, has UNFPA:

    - ☐ Become more focussed? Y/N

      ☐   Been more responsive to national needs? Y/N

      ☐   Made more use of partnerships to achieve CPD/UNDAF outcomes? Y/N

11. Are you aware of the country categorisation (pink, orange, yellow, red) applied by UNFPA as part of the Strategic Plan? Y/N

12. If yes, do you think this categorisation is useful in your country? [Explain response]

    ……..

13. Are you aware of the Modes of Engagement (Policy and Advocacy, Knowledge Management, Capacity Development, Service Delivery) associated with the business model of the Strategic Plan?
    ☐   Service delivery Y/N
    ☐   Capacity development Y/N
    ☐   Knowledge management Y/N
    ☐   Policy dialogue and advocacy Y/N

14. If yes, do you think the Modes of Engagement applied to your country are appropriate for the country context? [Explain response]

    ……..

15. Since 2014, do you think that UNFPA has been able to respond adequately to changes in the country needs and priorities (including responding to humanitarian crises)? Y/N

16. Do you think this responsiveness is due in any way to the UNFPA Strategic Plan? [Explain response]

    ……

17. What are the key mechanisms used by UNFPA to report on results achieved at the country level?
    ☐   Annual review of country programme
    ☐   Annual report to national stakeholders
    ☐   Annual review of UNDAF
    ☐   Other (please explain)

18. Is this/ are these reporting mechanisms adequate for accountability at the country level?

C. QUESTIONNAIRE FOR MEMBER STATES

1. Are you:
☐ Programme country
☐ Donor country
☐ Neither

2. How long have you personally engaged with UNFPA?
……years

3. Are you aware of the UNFPA Strategic Plan 2014-2017? Y/N

4. Are you aware of the integrated results framework? Y/N

5. Are you aware of the theories of change? Y/N

6. Are you aware of the business model? Y/N

7. Should the model of differentiated modes of engagement be:
   - ☐ a starting point for discussion
   - ☐ something that countries should strictly apply according to their quadrants (with the exception of humanitarian contexts)

8. Do you think that alignment to the strategic plan should be undertaken within a year no matter the stage of the country programme cycle? Y/N

9. Please explain your reasoning in answering the above

   ……….

10. Did you notice any change (improvement) in the quality of the country programme documents submitted to you since the introduction of the SP? [clearer focus on key priorities; improved theories of change; improved results frameworks]

11. In the current global context, with the multiplication of humanitarian crises, does the SP correctly address the issue of humanitarian response and preparedness?

12. Does the integrated budget allow for a good articulation between UNFPA's planned resources and its planned results?

13. Do you find the resource allocation mechanism to be clear and transparent?

14. Is the current RAS adapted to the needs of middle income countries, especially in the SDG context and the universality principle?

15. Does the IRF support an adequate level of reporting on results?
   - ☐ Is it able to capture corporate results at the outcome level? Y/N
   - ☐ Is it able to capture these for all modes of engagement? Y/N
   - ☐ Is it able to capture these for the GRI? Y/N

16. If no, what are the main challenges?

   ……..

17. What would you like to see in addition to the existing mechanisms and reports?

(b) Survey Participants

The analysis of the survey is divided in three parts, respectively, survey of Country Office (CO) Representatives, National Counterparts and Executive Board.

Invitations were sent to all country representatives apart from those who had participated in the 24 country studies and six regional studies. The CO survey is filtered by colour clusters, based on the respective country classification (red, orange, yellow, pink).

Country representatives were asked also to identify national counterparts who would also be invited to participate in the national counterpart survey. National counterparts were contacted in Afghanistan, Angola, Armenia, Azerbaijan, Bangladesh, Benin, Bhutan, Burkina Faso, Cameroon, Chile, China, Congo, Ecuador, Egypt, Equatorial Guinea, Gabon, Georgia, Guatemala, India, Indonesia, Kazakhstan, Kyrgyzstan, Lesotho, Mauritania, North Korea, Namibia, Nicaragua, Oman, Paraguay, Pakistan, Rwanda, Sao Tome, Sudan, Swaziland, Togo, Turkmenistan, Uruguay, and Yemen. The languages of the surveys were English (EN), Spanish (SP) and French (FR).

An invitation to participate in the survey was sent to all Donors Country (DC) and Programme Country (PC) Representatives in the Executive Board.

	Number invited	Number participated
Country offices	71	44
National counterparts (EN)	218	49
National counterparts (SP)	65	13
National counterparts (FR)	80	10
Member states	88	17

(c) Survey results

C.1 Survey of Country Representatives

Figure 1. Geographic distribution of COs participating in the survey with country classification
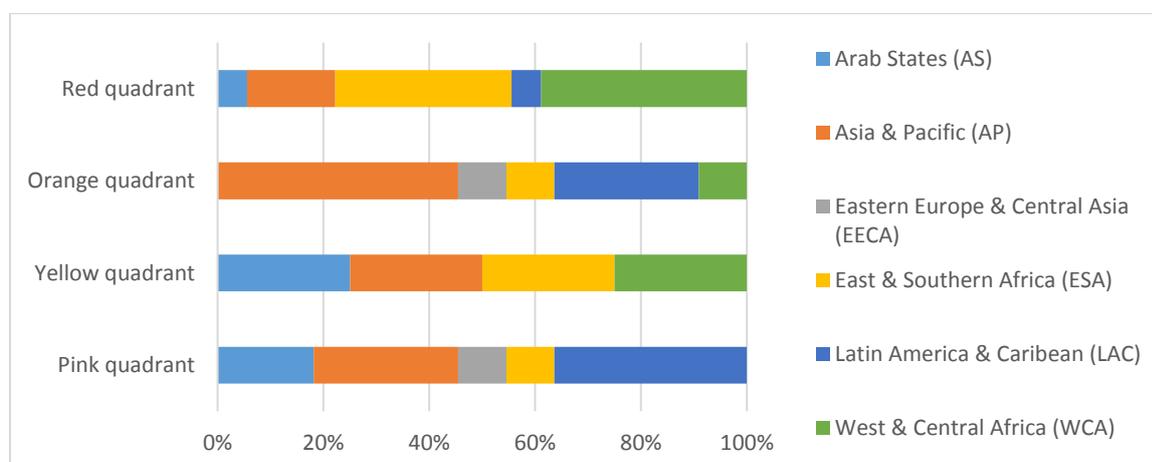
Figure 2. Did you use the theories of change for each corporate outcome that were developed with the Strategic Plan? (Q1) (When Multiple Choice, the label indicates the percentage of total)
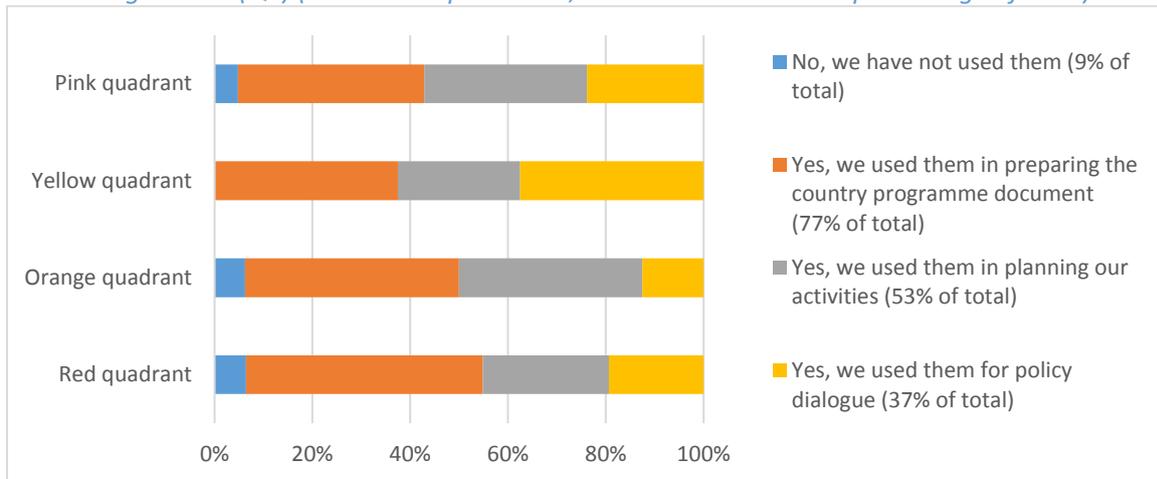
Figure 3. When using the outcome theories of change, how useful did you find them? (Q2)
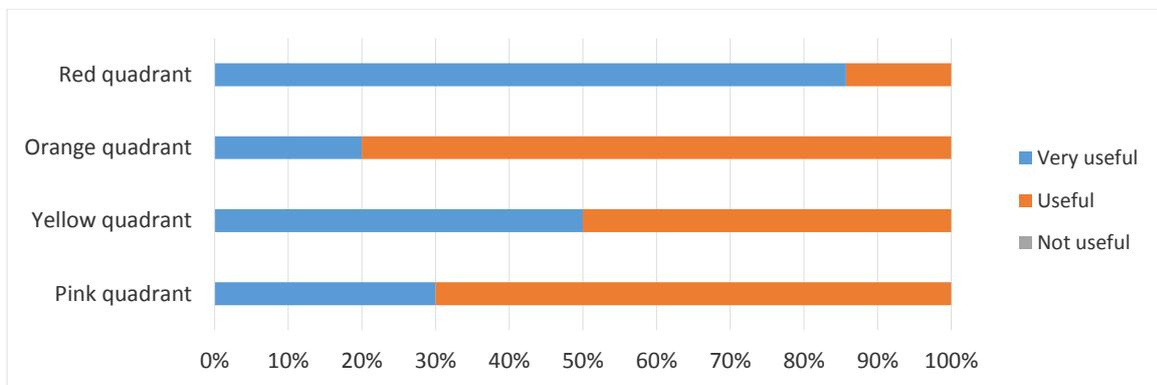
Figure 4. Did you use the output theories of change developed after the Strategic Plan? (Q3) (Multiple choice)
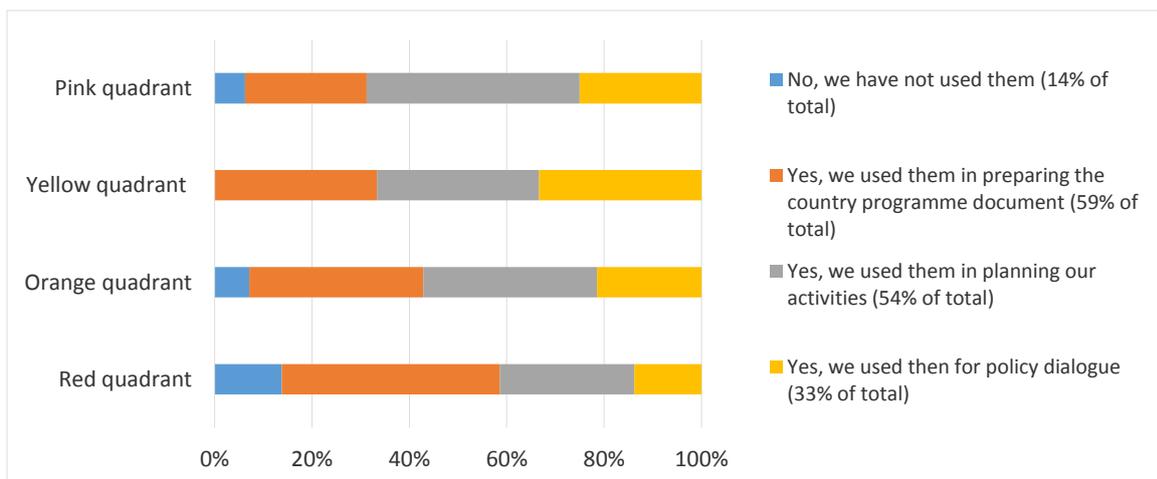
Figure 5. When using the output theories of change, how useful did you find them? (Q4)
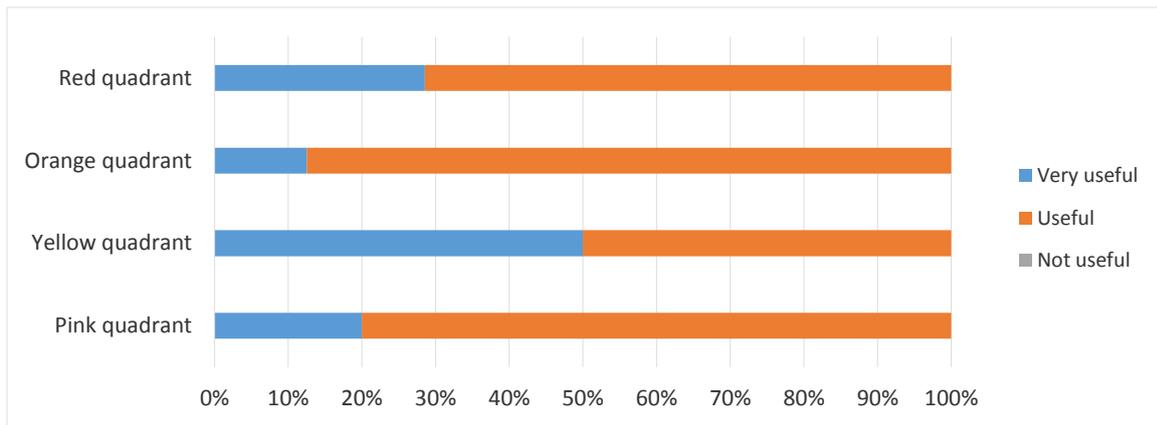
Figure 6. Was it clear what was meant by each mode of engagement in the business model? (Q8) (MC)
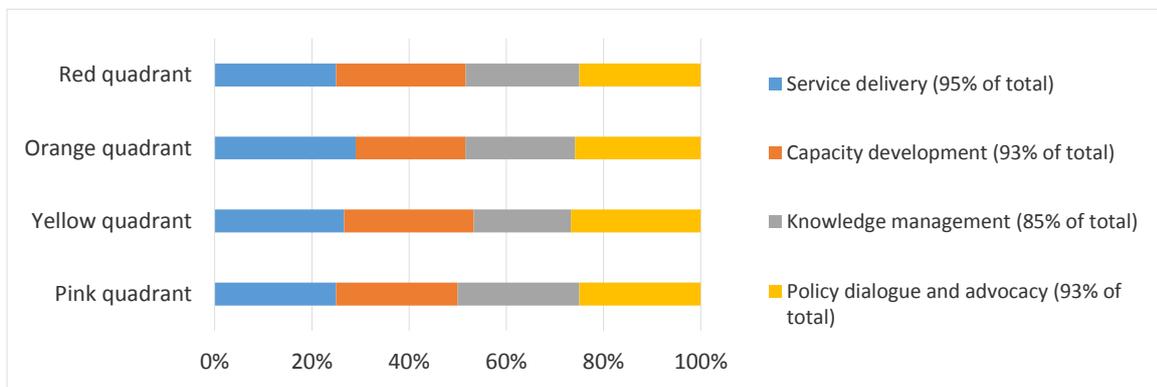
Figure 8. Did you understand the model of differentiated modes of engagement as: (Q12)

Figure 9. If you realigned with specific MoEs for your quadrant, were you able to adapt your human resources accordingly? (Q15)
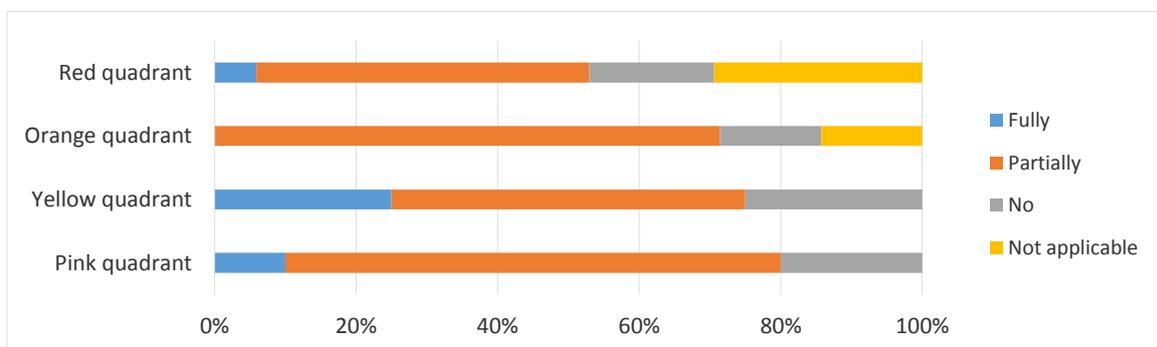
Figure 10. How did the process of aligning to the specified MoEs for your quadrant affect your ability to mobilize resources? (Q19)
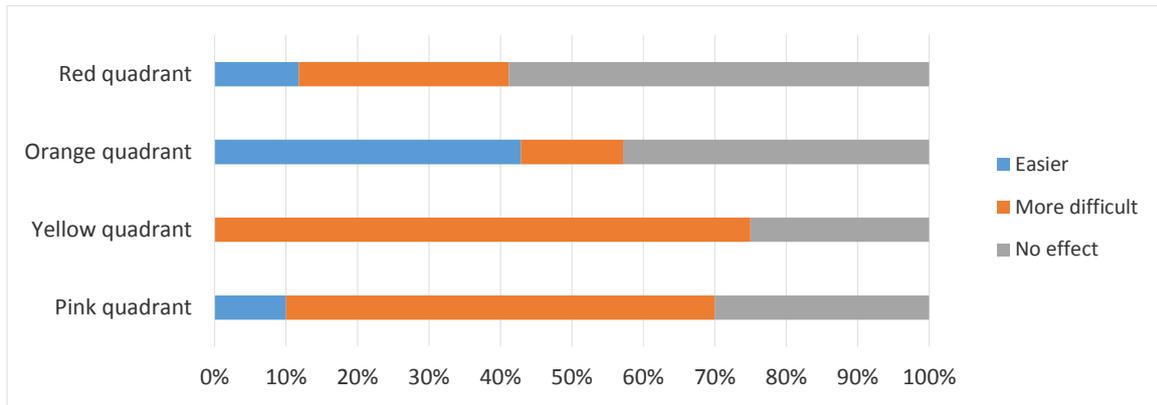
Figure 11. Do you think that strict alignment to the specified MoEs is appropriate in your country? (Q20)
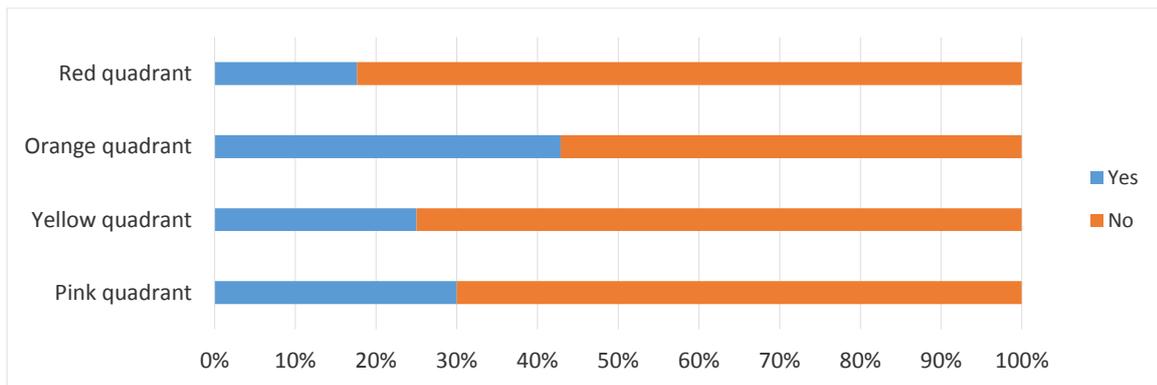
Figure 12. If you encountered challenges in fulfilling any component of the strategic plan commitments, did you prepare a business case? (Q22)
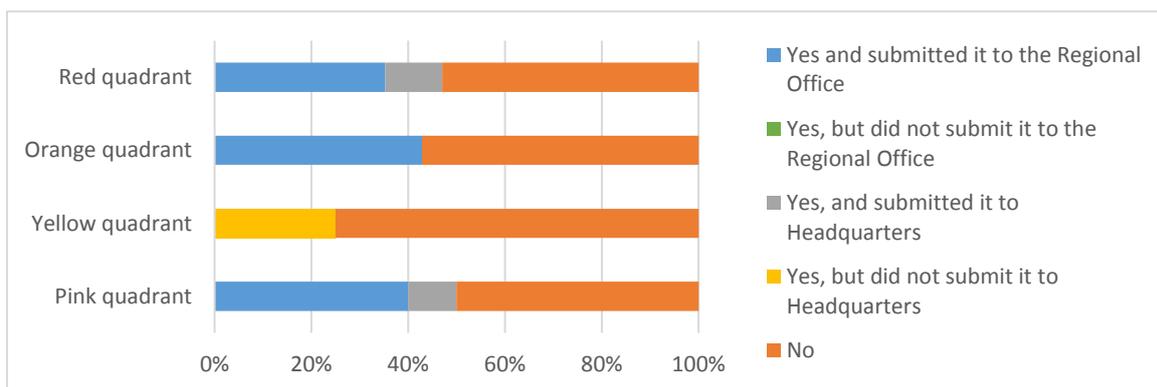
C.2 Survey of national counterparts

Figure 13. Relationship with UNFPA filtered by the language of the survey (Q1)
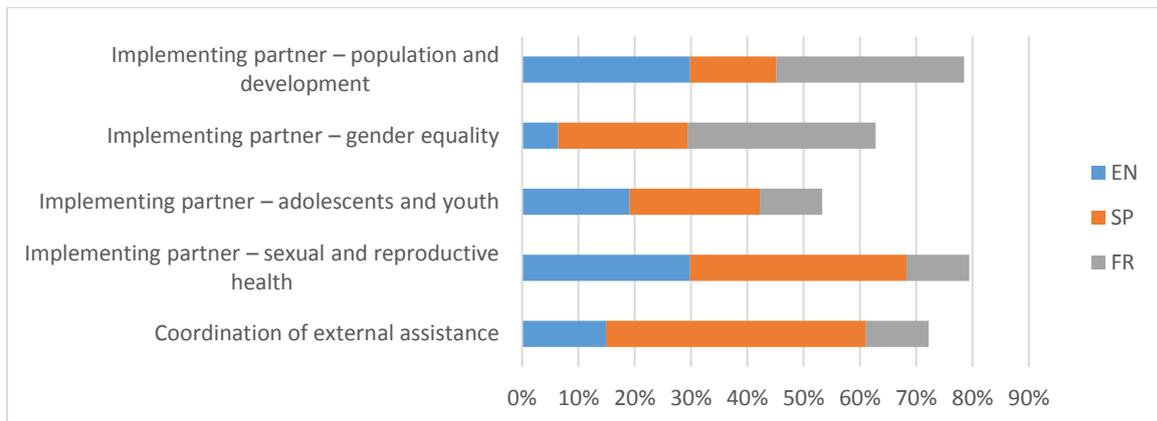
Table 14. How long have you personally engaged with UNFPA? (Q2) - Distribution table

Years	EN	SP	FR
5 or less	34	10	5
5 to10	11	2	2
11 to 15	5		1
16 to 20	1		1
20+	3		

Figure 14. National counterparts' awareness about UNFPA's Strategic Plan (Q3-Q7)
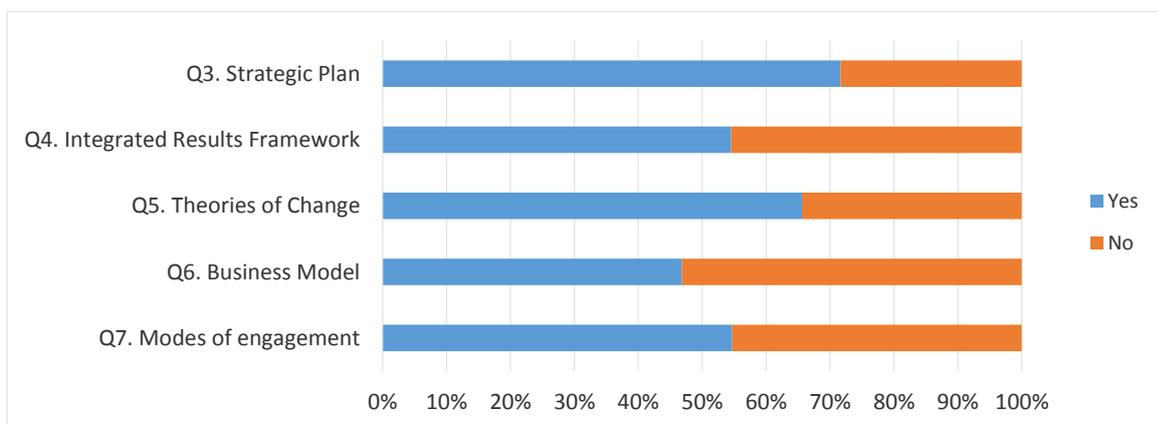
Figure 15. Did you use or discuss with UNFPA the theories of change when developing the country programme with UNFPA? (Q8)
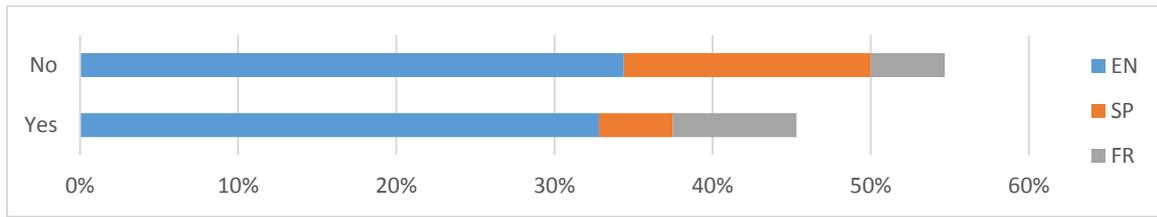
Table 15. Were the theories of change useful? (Q9)

EN   Yes (9x) / They are useful if within the country's concepts / Yes it was useful / On focusing youth and adolescent / Improve the sense of ownership of the project and collaboration of different actors / Difficult to say yes or no / In Community Health / Yes, it is useful / integration

SP   Si (2x) / si útiles para una planificación adecuada y con claridad

FR   Oui (4x) / Je ne sais pas

Figure 16. Since the start of the strategic plan in 2014, has UNFPA: (Q10)
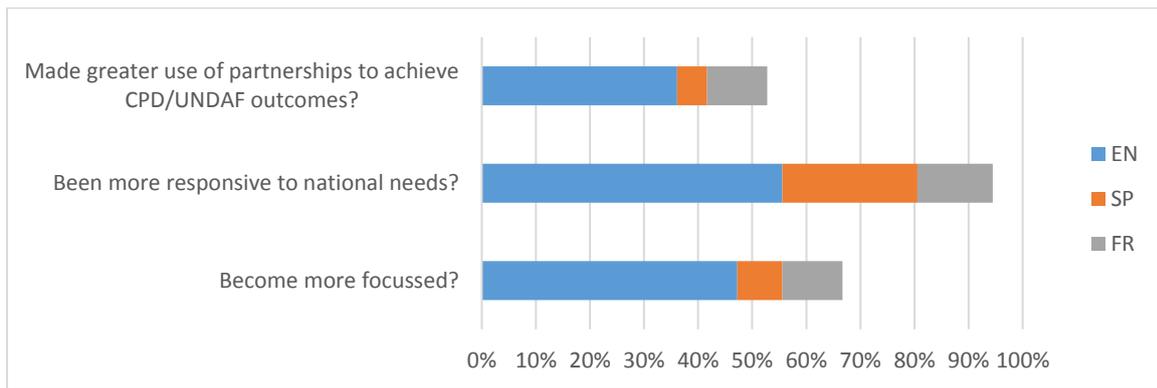
Figure 17. Are you aware of the country categorisation (pink, orange, yellow, red) applied by UNFPA as part of the Strategic Plan? (Q11)
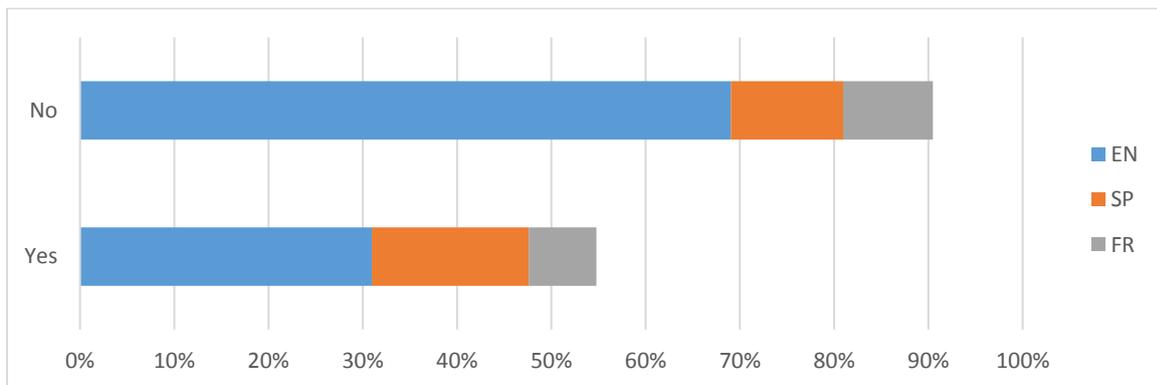
Figure 18. Are you aware of the Modes of Engagement associated with the business model of the Strategic Plan? (Q13)
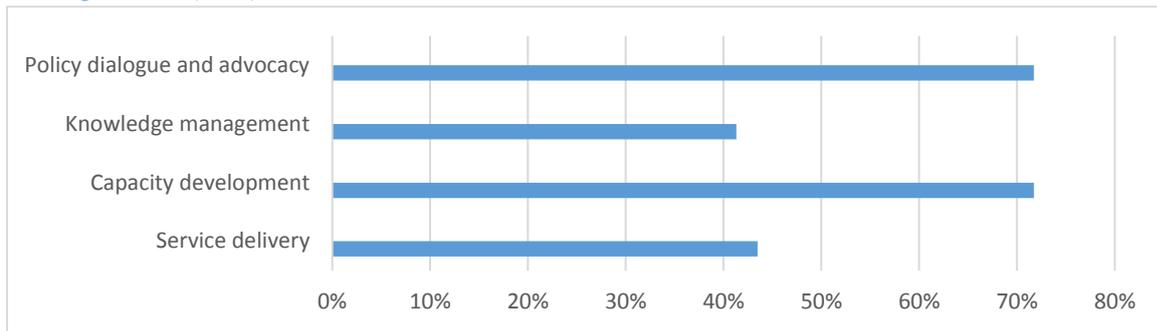
Figure 19. Since the beginning of implementation of the UNFPA Strategic Plan in 2014, do you think that UNFPA has been able to respond adequately to changes in the country needs and priorities? (Q15)
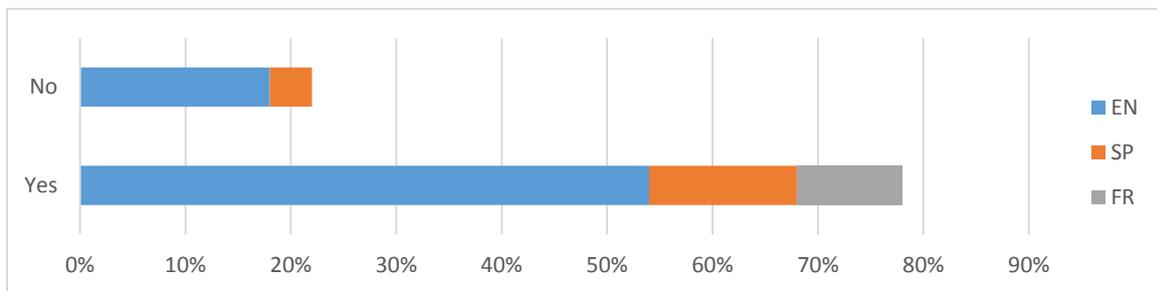
Figure 20. What are the key mechanisms used by UNFPA to report on results achieved at the country level? (Q17)
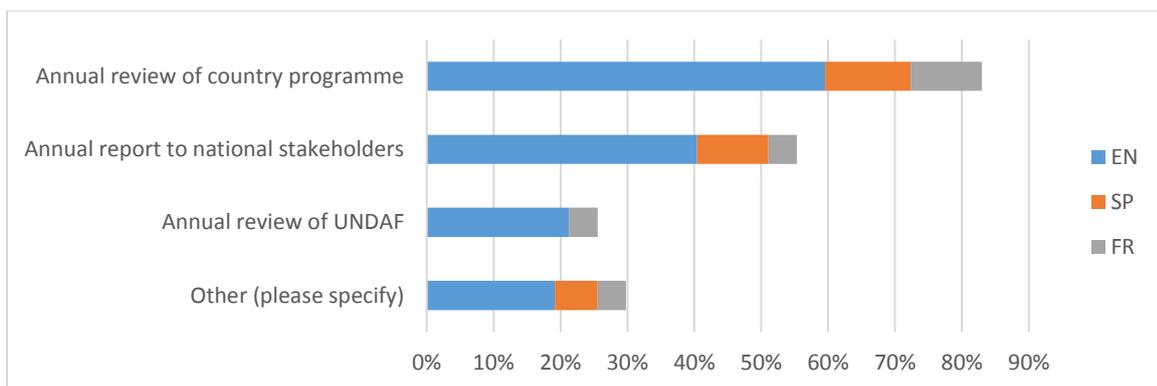
C.3 Survey of the Executive Board

Figure 21. Are you from a _____? (Q1)
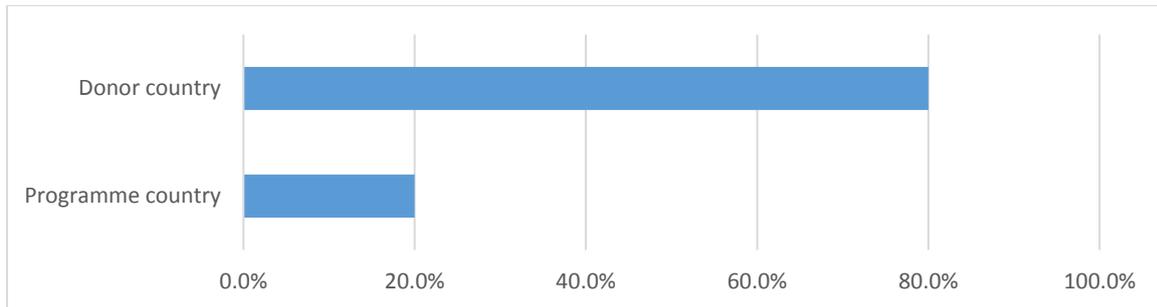
Table 21. How long have you personally engaged with UNFPA? (Q2) (Distribution table)

Years	Donor country	Programme country
5 or less	12	
6 to 10		1
11 to 20		1
20+	1	1

Figure 22. Awareness of the Strategic Plan (Q3-Q6)
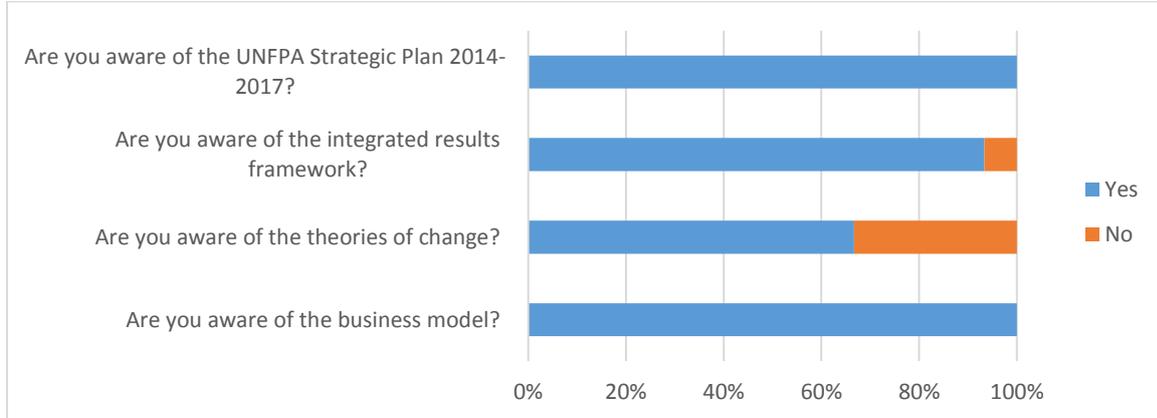
Figure 23. Should the model of differentiated modes of engagement be _____ (Q7)
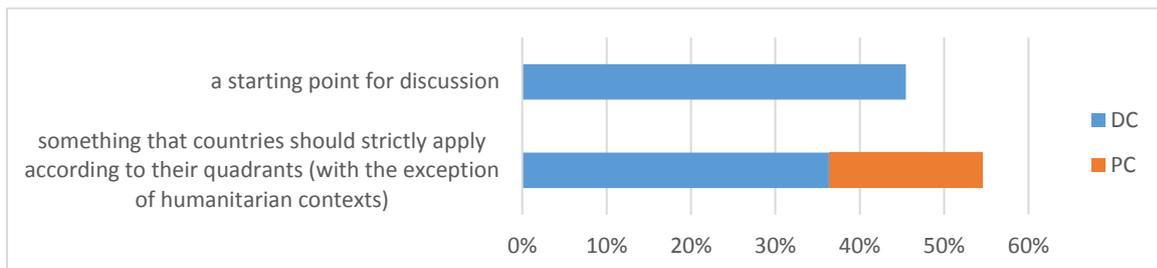
Figure 24. Do you think that alignment to the strategic plan should be undertaken within a year no matter the stage of the country programme cycle? (Q8)
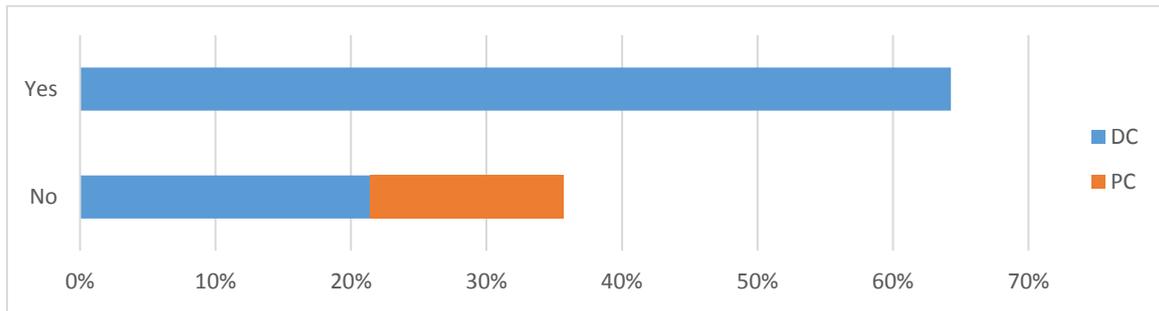
Figure 25. Did you notice any change in the quality of the country programme documents submitted to you since the introduction of the Strategic Plan? (Q10)
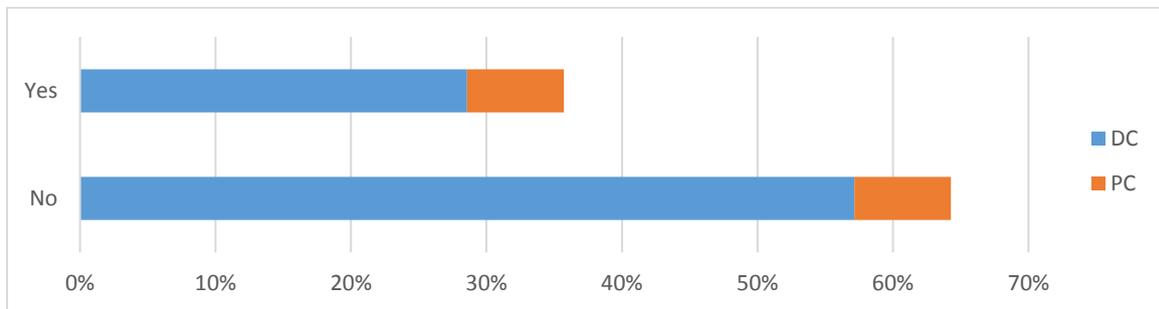
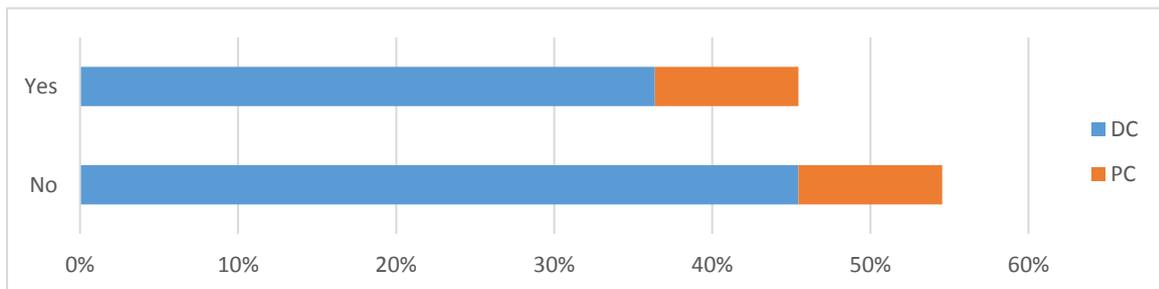*Figure 26. In the current global context, with the multiplication of humanitarian crises, does the Strategic Plan correctly address the issue of humanitarian response and preparedness? (Q12)*

Figure 27. Does the integrated budget allow for a good articulation between UNFPA's planned resources and its planned results? (Q14)
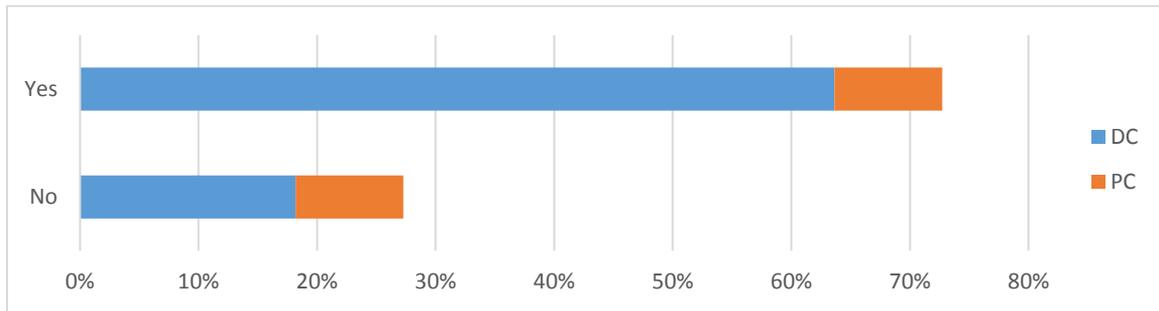
Figure 28. Do you find the resource allocation mechanism to be clear and transparent? (Q16)
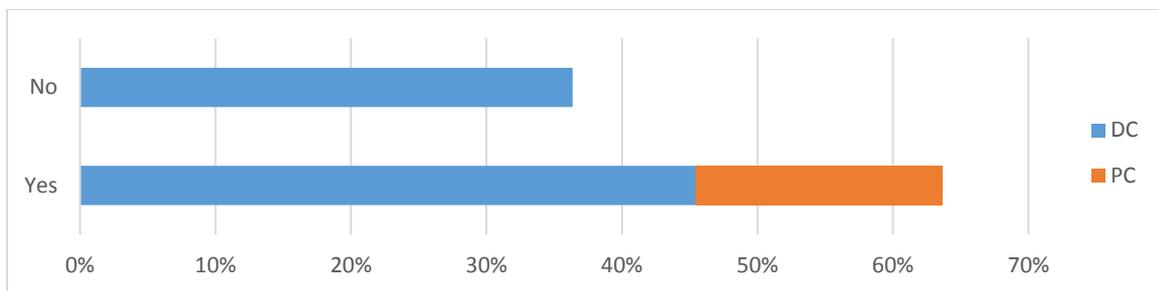

Figure 29. Is the current Resource Allocation System appropriately adapted to the needs of middle income countries? (Q18)
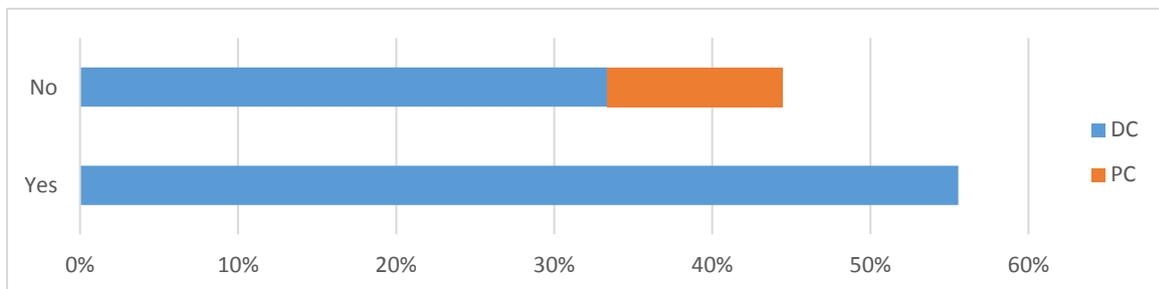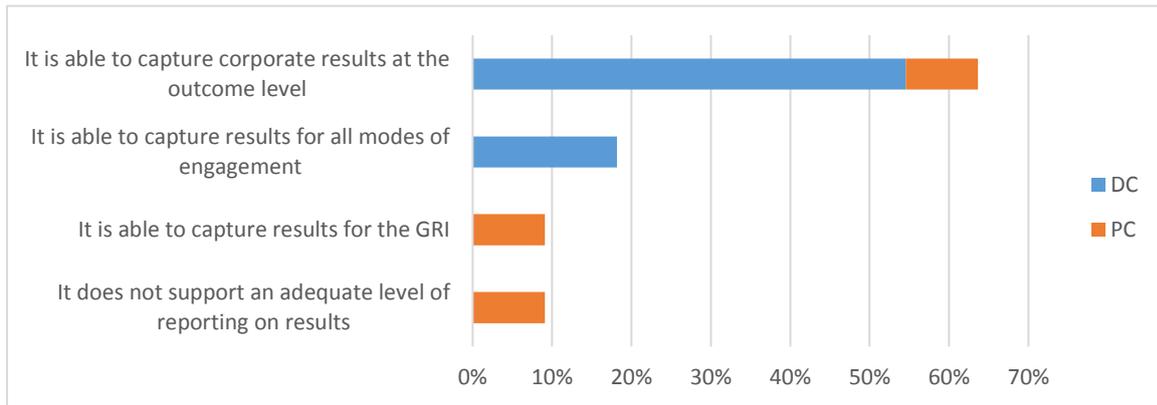
Figure 30 Does the Integrated Results Framework support an adequate level of reporting on results? (Q20)

UNFPA - Because everyone counts

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