



International  
Trade  
Centre

## EVALUATION REPORT

---

# Evaluation of the ITC Participation and Performance in the UN Delivering as One System

Vol. 2 Annexes

---

Independent Evaluation Unit

June 2019

## **EVALUATION OF THE ITC PARTICIPATION AND PERFORMANCE IN THE UN DELIVERING AS ONE SYSTEM**

The International Trade Centre (ITC) is the joint agency of the World Trade Organization and the United Nations. ITC is the only international agency dedicated to the development of micro, small and medium-sized enterprises. Formed in 1964, ITC is the focal point for trade related technical assistance within the United Nations system.

For all of ITC's interventions, evaluation is a key instrument to ensure accountability against expected results and to support organizational learning. Evaluations inform ITC's decision-making in policy, programme and project management, with the purpose of improving performance and enhancing ITC's contributions towards achieving the UN Sustainable Development Goals (SDGs).

This is an independent publication by the ITC Independent Evaluation Unit.

[www.intracen.org/evaluation](http://www.intracen.org/evaluation)

Disclaimer: The designations employed and the presentation of material in this document do not imply the expression of any opinion whatsoever on the part of the International Trade Centre concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. Mention of company names or commercial products does not imply endorsement by the International Trade Centre. This document has not been formally edited.

## Contents

Annex 1: Framework Terms of Reference .....	4
Annex 2: Evaluation Matrix.....	20
Annex 3: UN General Assembly Resolution on Repositioning of UN Development system.....	25
Annex 4: Revamping UNDAF capacity development cycle .....	30
Annex 5: List of People Met. ....	33

## Annex 1: Framework Terms of Reference

### 1. Introduction

The Independent Evaluation Unit (IEU) proposed the launch, of the first corporate-level evaluation in 2017 focusing on the theme of ‘Client relationship and networks’. Subsequently after consultations between IEU and SMC, it was decided to focus the evaluation on the specific topic “ITC Participation and Performance in the UN Delivering as One System”. Considering the lack of a pre-determined Theory of Change (ToC) related to ITC participation in Delivering as One System (DaO), a ‘Concept Note’ was prepared by IEU as an early analysis concerning the importance of ITC participation in DaO and the challenges met so far. That was discussed internally and helped to establish the broad parameters of the evaluation.

Following the ITC Evaluation Guidelines, this FToR defines the framework for the evaluation consistent with the original ‘Concept Note’. Based on an early analysis of documentation, it identifies and elaborates on some key relevant issues (framework) at stake, delineating a set of questions which will be important for the evaluation to examine closely. It sets out a sequential plan of actions for carrying out the evaluation. As is customary in good evaluation practice and following the Evaluation Guidelines, this FToR establishes clearly the purpose, scope and background of the evaluation; its management; the planned methodology; and the evaluation’s schedule, reporting and deliverable products.

The analysis would elaborate on ITCs participation and lessons learned so far in DAO initiatives taking into consideration the implications for ITC of the new unfolding initiatives on strengthening coherence of the UN system at corporate level (SG/ECOSOC/CEB and UNDG) and , more importantly, at the country (Govt/RC/UNCT) levels. In view of the evolving nature of the DaO concept, the evaluation will take a pragmatic approach in dealing with the issue from two perspectives i.e. objectives of the UN system and ITC business imperatives.

### 2. Background

#### Overview of ‘Delivering as One’ (DaO) concept and its significance in UN Development System

DAO is a complex evolving concept operating in an even more complex governance and management system. ITC participation in it is in response to a systemic partnership call and also backed by the need to be more results oriented at the country level. Hence for evaluation purposes it is important that the FToR captures accurately the environment within which DaO operates. For that purpose, a brief description of the DaO and UNDG architecture, its governance and operational framework impinging on delivery of development assistance is relevant here.

**2.1 Genesis of DoA** - Since the late 1990s there have been many calls for reform of the UN however, there has been little clarity or consensus about what reform might mean in practice. Over the last decade, growing agreement started emerging on the need to enhance the coherence, effectiveness and efficiency of the UN’s operational activities. Ssuccessive TCPRs resolutions (2001, 2004 and 2007) along with the consensus outcome document of the ‘World Summit of 2005’, suggested approaches to make the UN development system more coherent, effective and relevant. The DaO approach emerged from this process of intergovernmental deliberations and decision-making on the UN system’s operational activities in order to overcome many of the poor practices which include: “*Overlapping mandates; UN development system versus specific UN agency identity; horizontal versus vertical accountability; the*

*drive for harmonization versus safeguarding individual agency business models; and funding behaviours among donors*'. UN Member States recommended implementation of operational reforms aimed at strengthening the results of UN country activities

During the World Summit of 2005, the need for UN reform was given new impetus and the Secretary-General (SG) established the High-level Panel on System-wide Coherence in 2006. In its report, entitled '*Delivering as one*', focusing mainly on the area of development, the Panel presented a series of recommendations aimed at, among other issues, strengthening the work of the UN in partnership with host Governments and its focus on results (see figure 2 for a timeline of UN reform associated with the DaO Initiative).

As the initiative gained momentum, in 2007, eight countries volunteered to pilot the "Delivering as one" approach, innovating new approaches to coherence at the country level. The pilot programme countries were Albania, Cape Verde, Mozambique, Pakistan, Rwanda, United Republic of Tanzania, Uruguay and Viet Nam. The purpose of the pilots was to allow the UN system, in cooperation with host Governments and in support of national development goals, to develop approaches that would enhance coherence, efficiency and effectiveness at country level; reduce transaction costs for national partners; and test what works best in various country situations.

These reforms respond to varied needs while drawing on all parts of the UN system, including non-resident UN agencies. The evaluation of DaO in 2012 findings underlined that the exercise has helped to align UN programmes and funding more closely to national priorities. It has strengthened government leadership and ownership and further ensuring that governments have access to the experience and expertise of a wider range of United Nations organizations to respond to their national priorities. By July 2014 the number of DaO countries had increased to 39 in number and by March 2015, 44 countries had signed up to the Initiative.

**2.2 The DaO Concept and approach** - The DaO approach consists of an integrated package of clear, structured and internally consistent guidance on programming, leadership, business operations, funding and communications for country-level development operations. For the UN corporate governance level, the package has evolved into an organizing principle for the delivery of country level development assistance and support. The package also identifies and recommends critically important policy and procedural changes that agency HQs should make in order to reduce transaction costs for Governments, development partners and UN Country Teams, and enable joint focus on results at the country level.

'Delivering as One' consists of five pillars that bring the UN system agencies operating at country level together in a more systematic way with a logical structure: One Programme; a Common Budgetary Framework (and an optional One Fund), Communicating as One, One Leader and Operating as One. Each pillar has a set of core elements to ensure a better coordinated UN in-country. The 5 pillars of DaO are described in (figure 1) but it is important to note that it is not a 'one size fits all' model. So DaO has been configured and implemented differently in countries, depending on the context.

The DaO country operations follow the 'Standard Operating Procedures (SOP)' in implementing DaO which is an integrated package of guidance to implement the five pillars. They are based on proven good practices and innovations, including lessons from DaO evaluations. UN Member States through the General Assembly requested the formulation of the SOPs as the standard guidelines for UN Country Teams and Government wishing to use the DaO approach.

**2.3 DaO and UNDG governance:** To facilitate meaningful engagement and understanding with DAO system, a brief description of the DaO and UNDG architecture, its governance and operational framework impinging on delivery of development assistance is relevant here.

Today the 'Delivering as One' is institutionally located within a complex process of

intergovernmental decision-making concerning operational activities for development of the UN system. Operational activities for development are implemented by 36 UN organizations, which

**Figure 1: The pillars of Delivering as One**

One Leader: The RC who coordinates all UN development activities in a programme country was given more authority and resources. By assuming comprehensive strategic leadership, the RC acts as a link between national authorities, the UN and other partners. The commitment and incentives of the UNCT to work towards common results and accountability was later strengthened through implementation of the monitoring and accountability system and by defining UNCT Conduct and Working Arrangements.

One Programme: Under the leadership of the RC and based on the country's nationally-owned development strategy, a joint country programme or UN Development Assistance Framework (UNDAF) is defined which draws on the full range of UN expertise and enables UN organizations to better focus on activities according to their comparative advantages. Joint Work Plans aligned with the UNDAF were later added to strengthen the results-focus.

Common Budgetary Framework/One Fund: The CBF is a common financial framework for all UN development entities at country-level updated annually with transparent data on financial resources required, available, expected, and to be mobilized. Coordinated financial planning provides governments and partners with transparent information on all UN activities as well as on funding sources and gaps. A Joint Resource Mobilization strategy that is appropriate to the country context is frequently adopted. A One Fund may be established at country-level to provide funding for unfunded UNDAF outcomes.

Operating as One: In order to increase efficiency and to lower expenses for administration, business procedures and policies must be harmonised, simplified and unified. When relevant, premises and services should be shared between UN organizations. Since 2014, it has been recommended that these efficiencies are brought together to form a Business Operations Strategy (BOS).

Communicating as One: Communicating as One entails the development of a joint communications strategy for all UN agencies which is appropriate to the country context and is approved by the UNCT

comprise of funds, programmes, specialized agencies and entities of the UN Secretariat. Not all of these organizations consider development as their primary mandate or purpose, which may in fact be political, humanitarian or related to the environment. To be considered as part of the UN development system, they should, however, at least have a role in development i.e. the ability to respond to the development needs of programme countries, more specifically by contributing to the enhancement of programme countries' capacity to pursue the Sustainable Development Goals (SDGs) and other internationally agreed development goals (IADGs).

UN Development Group (UNDG) – The highest-level coordination forum of the United Nations is represented by the Chief Executives Board (CEB) of the UN System comprising of 29 Executive Heads of the United Nations and its Funds and Programmes, the Specialized Agencies, including the World Bank, the IMF, the WTO and the IAEA. The CEB strengthens synergies, Identify and reduce duplication and gaps, promote coherence and coordination among the organizations of the UN system and ensure system-wide implementation of programmatic, operational, and management mandates.

The CEB is supported by three High-Level Committees: 1) High Level Committee on Programmes (HLCP) to promote global policy coherence, develop common policy tools and toolkits, and programme issues; 2) High Level Committee on Management (HLCM) Responsible for system-wide administrative and management issues, harmonization of business practices across the system and

ensuring overall management coherence from global to country level ; and 3) United Nations Development Group (UNDG) responsible for operational activities for development with a focus on country-level work spelt out as follows:

- Promotion of coherent and effective oversight
- Provision of guidance and capacity building with country level partners
- Coordination of UN development operations at country level
- Addressing policy guidance issues related to country level operations
- Implementation of the TCPR resolutions Support to the RC system

The UNDG - The Administrator of the UN Development Programme (UNDP) chairs the UNDG. The UNDG Chair reports to the Secretary-General and the CEB on progress in implementing the group's work plan, and on the management of the Resident Coordinator system

UNDG supports the Resident Coordinator system, UN country teams and the DaO by providing guidance on business operations, coordination, planning and programming, and by promoting coherent and effective oversight of country operations. UNDG works on developing policies and procedures to facilitate cooperation among member organizations in analyzing country issues, planning support strategies, implementing support programmes, monitoring results and advocating for change.

UNDG is responsible for elaborating guidelines for the Common Country Assessment (CCA) and the UN Development Assistance Framework (UNDAF), UNDG is spearheading the effort to shape coordinated operational support to countries in meeting the SDGs.

The United Nations Country Team (UNCT) encompasses all the entities of the UN system that carry out operational activities for development, emergency, recovery and transition in programme countries. The UNCT is led by the UN Resident Coordinator (RC). The Resident Coordinator (RC) system encompasses all organizations of the United Nations system dealing with operational activities for development, regardless of their formal presence in the country. The RC system aims to bring together the different UN agencies to improve the efficiency and effectiveness of operational activities at the country level.

#### **2.4 QCPR 2016 and new SG's new initiatives on UN development system-**

In more recent years, these discussions on system-wide coherence became more focused and intense on the role of UNDS in delivering the 2030 agenda.

The QCPR 2016 underlined the ambitious goals and targets of the 2030 Agenda which brings together the global development needs into an interconnected whole and alerted the UNDS to the unprecedented challenge, and sought to raise the bar for UNDS performance at a much higher level.

The Secretary-General's Report of July 2017 on 'Repositioning the United Nations development system to deliver on the 2030 Agenda' underscored the need for UNDS to pursue much more integrated approaches and cross-sectoral synergies to deliver highly-interlinked results at all levels, supported by an enabling funding and governance architecture. The UNDS recognizes that its primary focus should be enabling the achievement of interlinked and transformative results at country level and promoting national ownership. To that end, the UNDS has renewed its commitment to deliver together across mandates, sectors, and institutional boundaries, working across the UN Charter, through more integrated and interconnected approaches.

ITC as an integral part of the UN development system is on board in this commitment and seeks to maximize its role and effectiveness in delivering outcomes leveraging the systemic mechanisms

and partnerships. Hence its participation and voice in the UNDS governance system upstream as well as at the country level DaO initiatives is critical for playing a crucial role in SDG implementation.

### 3. The Theory of Change

In order to effectively support implementation of a transformative, universal, and integrated 2030 Agenda, and to meet the expectations of Member States, UN system agencies are obliged to converge towards the imperative of functioning more effectively in an integrated and coherent manner at all levels. DaO is adopted as the vehicle by the UN development system to promote improved functioning collectively at the country level. UN agencies are committed to engage in DaO to enhance their continued relevance, better strategic positioning, and more effective delivery of results and impact.

The ToC below developed specifically for this evaluation describes the potential contribution that DaO could offer to ITC. The DaO is targeted collectively at the UN Country team in a country rather than individual UN entities. DaO aims at alleviate the systemic deficiencies that exists due to uncoordinated and segregated planning, design and implementation of assistance programmes of UN system organizations in a country. Hence, it is crucial that developing an agency specific ToC must conform to and be coherent with the DAO collective strategies, intermediate outcomes and impact in the country agreed by all.

The ToC builds on a review of literature, IEU Concept Note, and views expressed by key related professionals at ITC headquarter during the preparatory phase of the evaluation. It may be further refined and updated based on a fuller and wider consultation during the evaluation process.

The ToC illustrates a simple logic chain of how the DOA five ‘Ones’ could contribute to enhancing the relevance, coherence and application of ITC’s mandate both with national governments and other UN agencies; and strengthen resource mobilization potential in support of ITC programmes and how it could offer business efficiencies to the agency.

The ToC is fully congruent with DaO strategies and outcomes. For evaluability purposes the ToC emphasis and focus is on the five ‘Ones’ which would represent the major source of evidence of results. Although there are important external elements and considerations that impinge on the organization to effectively support DaO, they will be subsumed under key risks and assumptions. The details of the risks and assumptions as well as outputs are not captured in the ToC diagram as they are numerous.

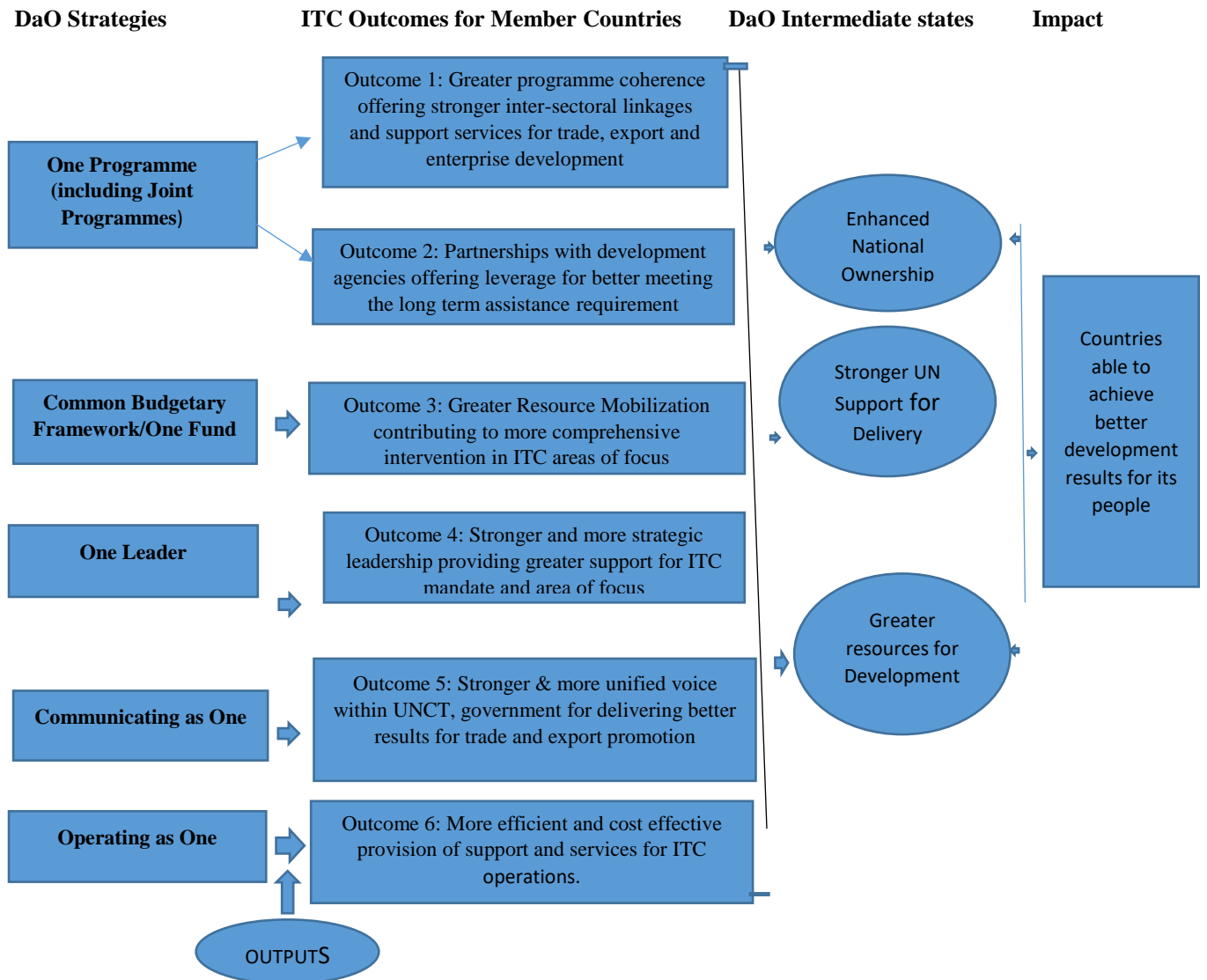
The ToC diagram below (Figure 2) captures a set of complex inter-relationships in a simplified structure and it has been kept simple by necessity. However, it offers a common logical framework which can be used as a lens to understand the effect of DaO on ITC’s mandate and business practices. The entry point for ITC engagement is UNDAF and DaO strategies (the Five Ones), and the ultimate success criteria is its contribution to achieving the country’s development objectives and targets via ITC outcomes. DaO has the potential to make a positive contribution to the achievement of ITC’s mandate and business practices in the following ways:

- Greater programme coherence and inter-connectedness for the trade, export and enterprise development arena with wider economic sector’s initiatives, thereby offering durable solutions and more relevant services and support to the country.
- Foster greater partnerships with development partners, UN agencies and other stakeholders which can better meet the long-term assistance requirements of the trade and export sector;
- Help secure a stronger, supportive & more unified voice within the UNCT and the government by



- delivering better results for country;
- Opportunities for accessing wider sources and opportunities for resource mobilization through ‘Common budgetary Framework’ contributing to the full range of interventions required by the country
- Stronger and more strategic leadership through ‘One leader’ providing greater support for ITC’s mandate;
- More efficient and cost-effective provision of support and services for ITC projects and Operations through ‘Operating as One’

**Figure 2: Elements of ToC for potential DaO contribution to ITC**



**\*\* Key risks and assumptions:** There some assumptions, risks and exogenous underpinning factors in ITC engagement in DaO which might impinge on the flow of positive benefits to ITC. These are: Funding and governance arrangements, agency mandates and branding, change in UN/internationally agreed development goals, ITC access in UNDS management, unintended consequences of UN reform, personality mix in UNCT, and government perception on priorities.

#### 4. EVALUATION OBJECTIVES AND PURPOSE

The objective of the evaluation is to produce an independent and evidence-based evaluative assessment of ITC's past and current engagement in the 'Delivering as One' (DaO) system of the UN. The purpose of the evaluation is to help generate an analytical perspective and a set of recommendations for consideration of ITC management with the aim to better engage with the DaO system and to respond to the future corporate initiatives on coherence of UN Development System.

More specifically the evaluation will:

- a. Assess Relevance of DaO to ITC strategic goals, and effectiveness of ITC's engagement in and contribution to the DaO initiative and related programmes.
- b. Assess the practical long-term implications of the DaO initiative for ITC 's mandate, policies and business practices and
- c. to recommend to ITC management a future road-map and strategies to enhance better leveraging of / fitting within, DaO, taking note of ongoing reform measures for UN coherence.

More recent SG/ECOSOC initiatives for revamping and transforming the UNDS strategy and action plan for strengthening, coordinating and restructuring the systemic mechanisms in support of SDGs at the global, regional and country levels, is generating a renewed momentum. The evaluation will take note and reflect on their implications for ITC's engagement in the future. In view of the above, the timing of the evaluation is considered opportune to take stock of ITC experience and lessons learned from its engagement with DAO.

The primary intended audience for the evaluation are ITC's policy and decision-makers (member states and senior management) and other users of evaluation – including the Oversight Committee of ITC and other stakeholders in funding countries and partner countries. It is expected to be useful, to the middle management and ITC professional staff serving at different operational divisions at the headquarters and the field.

##### 4.1 Scope of Evaluation

The evaluation will examine the work and actions taken by ITC to engage in DaO during the period 2008-2016. This will include policies, decisions and internal processes as well as all related ITC projects involved in the DaO initiative (including UNDAF, UNDAP, One UN, MDG-F, and SDG-F). As part of the process of distilling lessons, the evaluation will assess the context, process and progress as well as lessons learned from DaO experiences in various countries including the constraints and challenges faced by ITC to engage fully in DaO approach.

The analysis will include an objective contextual assessment of the process of evolution of the DaO practice in the backdrop of the, the QCPRs, the MDGs, and more recently adopted SDGs. The analysis will underpin the new initiatives for system-wide coherence at UNGA, ECOSOC and the Secretary General's drive on 'Reforming the UN development System'.

Systemic issues of UN reform related to or triggered by the DaO approach at headquarters, regional and country levels will also be examined. For the assessment of contribution of ITC projects to the fulfilment of UNDAF expected outcomes, a closer examination will involve countries where ITC has received direct funding (Cape Verde, Mozambique, Palestine, Rwanda, Tanzania and Viet Nam), with more specific attention on the potential effects of those which are currently under execution (Palestine, Rwanda and Tanzania).

To facilitate understanding and analysis certain policy, governance and mandate related issues may be analyzed or made reference to, but only where it raises important issues or impinge on ITC engagement and performance in DaO or system wide coherence initiatives.

The immediate focus of the evaluation will be on ITC's involvement in the DoA initiative, and on UNDAF processes at the country level from the perspectives of:

- ITC projects' relevance and performance within UNDAF, to contribute to UNDAF expected outcomes in terms of sustainable development at the country level and to strengthen relevance in the country, with a view to recommend ways to maximize ITC's project portfolio relevance, performance and sustainability within DaO system;
- Strengths and weaknesses in ITC's engagement with a view to recommend ways for strengthening it. In doing so, the evaluation will take into account the current changes to the UNDAF processes, in particular those pointing at strengthening the planning, coordination and M&E role of the UNCTs and RCs, and the increasing importance of SDGs in framing UNDAFs.
- The evaluation will assess the extent to which factors internal to ITC or the DaO Initiative, including governance related issues, policies, and partnerships, influence the effectiveness of the organization's engagement with the DaO initiative (including fund-raising). It will identify whether there are any major gaps and challenges, and make appropriate recommendations to address them.

#### 4.2 Evaluation Criteria

The evaluation will assess the contribution and value added of the Delivering as One approach for ITC operations and to draw lessons learned. In that respect the standard evaluation criteria that will be applied are follows:

1. Relevance of the initiatives and of the approach as a whole in terms of responsiveness to the needs and priorities of the individual countries and enhanced relevance and coherence of the UN development system and ITC in particular;
2. Effectiveness -in terms of contribution in strengthened national ownership and enhanced national capacities/capacity development in DoA countries; contribution of ITC to development results in its area of competence; implementation of appropriate processes and production of results,
3. Efficiency - the reduction of transaction cost for the countries, the UN system/ITC and other partners; new ways of doing business; simplification and harmonization of rules, regulations and procedures; additional, more predictable and more flexible funding mechanisms; and
4. Sustainability of the Delivering as One approach. Prospect of sustaining and enhancing the approach under SDG with supportive systemic coherence efforts and enhanced resources, potential longer term multiplier benefits from the approach both at the level of the member countries and for the UN development system as a whole.

#### 4.3 Evaluation Approach

The evaluation will be a forward looking one, with an emphasis on distilling lessons learned so far from ITC participation in DAO , underlining the process, systemic constraints and rigidities ITC is facing. Because of the particular timing of the evaluation, there will be a need to maintain a balance

between introspection (lessons learned from past) and prospection, in view of the evolving scenario in UN reform initiatives, and their implications for ITC for the future.

This evaluation will be approached as a formative evaluation with a goal-free character. It will look into the way ITC participated and implemented its projects or project components in various DaO initiatives to examine whether the development and operational logic is actually working. The goal-free approach will provide the flexibility to accommodate the evolving nature of DaO, and focus on the observable outcomes of projects and processes in reference to needs of the country rather than strict adherence to the rhetoric of programme goals.

The Evaluation will adhere to the UNEG Norms and Standards, and adopt a consultative approach, seeking and sharing opinions with stakeholders at different points in time and assessing ITC's role and work also from the point of view of beneficiary clients and users of its products and services, as well as of its partners

#### **4.4 Methodology**

The evaluation will adopt a mixed methodology consisting of a document and literature review (including existing reviews and evaluations); an analysis of ITC's participation in the UNDAF/One UN programmes; interviews with key stakeholders in ITC at HQs and in the field, the UN (particularly UNDG and peer organizations); and a questionnaire for ITC staff involved with the DaO Initiative (at HQs and in the field) and an analysis of funding data

Stakeholder Consultative process- Consultation with stakeholders is a key feature of professional conduct of evaluations. This Evaluation will also be as consultative as possible, within available time and resources. The following four groups of stakeholders will be consulted:

- ITC Membership, comprising of; Governments of Member Countries, either directly or through their Permanent Representatives in Geneva and/or New York, as required; ITC Governing Bodies, in particular the JAG
- UN Corporate governance/ entities: CEB, UNDG/DOC, DESA, UNCTAD, WTO; and at the country level Resident Coordinators, UN Country teams,
- ITC Senior Management, Regional Units in HQ, Country Programmes, Administration and Finance sections; ITC staff working in the different DaO locations, including country focal points and project professionals.
- ITC external stakeholders, including participants directly and indirectly engaged with and benefiting from ITC's support and assistance, partner organizations such as UN agencies and bodies, International Financial Institutions (IFIs), ODA bilateral agencies, other development partners , private sector ,NGOs and civil society.

##### **Steps for Consultation with ITC key stakeholders:**

- Meetings in HQ, with Senior Managers and staff during the preparatory phase, to identify issues and questions to be included in the ToR and expectations from the Evaluation;
- Circulation of the draft ToR for comments and suggestions;
- Meetings with ITC Senior Management and technical, administration and operations staff, in HQ. ITC staff at country level, to collect information and evidence about their projects, work experience with UNCT, UNDAF and DaO;
- Presentation of the Evaluation's preliminary findings, conclusions and recommendations in a debriefing session with key stakeholders in ITC HQ, the advanced draft report will also be circulated for comments and suggestions

**Triangulation** - The Evaluation team members will triangulate the information and data gathered from stakeholders and through different tools. This will underpin the analysis and validation of

evidence gathered. In addition, the team members will apply their own technical judgment in the assessment of, for example, the quality of normative, project and process outputs. Independence and rigour of analysis will inform the whole evaluation process.

**Methods and tools**- The Evaluation will use a range of quantitative and qualitative tools and methods, to collect data and perceptions to seek evidence and clarity on evaluation issues and questions. These will include:

- analysis of corporate policies, strategies, Circulars, bulletins, reviews and any other relevant document aimed at DaO operationalization within ITC and at country level;
- group and individual semi-structured interviews, harmonized through check lists and interview protocols;
- country visits and key-projects assessment in selected DaO countries;
- questionnaire survey to ITC staff working in DaO countries and staff with DaO experience at headquarters;
- Desk-studies and analysis, review of past evaluations; project reviews of a sample of representative initiatives;

**An evaluation matrix** - will be prepared relating issues and questions to methods and tools, indicators and sources of information.

**Country visits**- The Evaluation team will undertake field visits to two/three DaO country operations with active ITC engagement. These visits will not be to assess DaO-funded Joint Programmes implemented by ITC in the sample countries, but to directly canvass the opinion and perceptions of national stakeholders on ITC's engagement and relationship with DaO. Country meetings will be organized with national and international institutions, as appropriate; direct interaction with end-users of ITC projects at both the institutional and enterprise level. As appropriate, measures will be taken at enterprise /community level to ensure sufficient interaction with women, as well as with other groups of actual and potential participants. For any other country considered important but cannot be covered by field trips, additional phone interviews will be considered.

**The main criteria for the selection of countries to be visited are listed below:**

- The type / model of ITC presence in the country, taking into account the size and character of DaO involvement;
- The type of country, according to some selected indicators, such as, size of the country and its population, HDI, WB income level, Food Security, Poverty and Rural Poverty, among others;
- The relevance (size and typology) of ITC Portfolio in the country through Regular Budget and Extra-Budgetary Resources;

## **5. Evaluation Questions:**

The Evaluation aims to respond to four overarching questions:

- a. How relevant are DAO objectives and modalities to ITC's mandate, policies and business practices including their practical long-term implications?
- b. How effective were ITC's engagement/participation so far in the DaO initiative and its related programmes.
- c. To what extent engagement in DaO added value for ITC to fulfill its own objectives and overcoming constraints
- d. What future strategies would be appropriate for ITC to gain better fit within and

leverage from DaO, taking note of ongoing reform measures on coherence of UN development system?

These questions touch on a number of areas (thematic criteria) of inquiry with multiple questions within each. Presented below are these areas organized thematically with a set of questions under each theme to allow a more comprehensive investigation of how the different elements of the DaO initiative relate to or affect different aspects of ITC's mandate, policies, programmes and business practices. This is also consistent with the Theory of Change developed as part of the evaluation exercise.

The Evaluation matrix, which will be one of the main Evaluation tools, will further detail issues, criteria, questions, along with sources of information, method and tools for data-gathering and analysis.

### 5.1 Strategic fit of DaO initiative with ITC mandate

This criterion seeks to assess the extent to which the DaO initiative is relevant to ITC's mandate and how effective it has been in accommodating and advancing ITC's strategic goals. Given that the DaO initiative stemmed from a collective desire by Member States to strengthen the UN development system, there has been a perception that DaO offers the potential to promote knowledge and support for durable solutions across development spectrum among UN development agencies. The evaluation will closely examine ITC's actions in engaging and influencing the DaO agenda both at country-level via selected country studies and at the UN corporate forums. The related questions:

1. How well does the DaO initiative fit with ITC's mandate and what are its practical implications for ITC?
2. How relevant has the DaO initiative been in advancing ITC's strategic goals to find practical and sustainable solutions for export development and entrepreneurship and how effective has it been in galvanizing support from broader stakeholders.
3. To what extent, ITC participation in DaO contributed to greater impact for each one of these categories: policy makers and regulators, TSIS, SMEs and external partners? Has DaO proven to be an instrument to improve ITC efficiency in achieving its business-centered mandate?

### 5.2 ITC corporate measures for Internalization of DaO-

This criterion seeks to assess the process and steps taken by ITC to engage in and internalize the DaO concept within the organization at all levels. It will also identify and explain some the organizational constraints and bottlenecks in participating in the DaO. The relevant questions are:

1. How the DaO reform process was introduced and taken into account in ITC policies and operations? How was the senior management and the staff informed and involved in this process? (Procedures, internal memos, information etc.).
2. Was the DaO process seen by ITC as a way to look for interagency

endeavours at the system level and at the field level, or was it seen as a mechanism that ITC should not afford to miss to avoid losing visibility and space?

3. How relevant for ITC are the 5 pillars of the DaO Standard Operating Procedures (SOP): (1) One programme; (2) One common budgetary framework (known as the United Nations Development Assistance Fund – UNDAF); (3) One leader; (4) Operating as one; and (5) Communicating as one?
4. Does the non-resident status of ITC and its substantial reliance on non-core donor resources for project funding pose any constraint for engaging in the DaO? How is this system-wide issue addressed by ITC senior management in the context of the DaO and future reforms?

### 5.3 ITC's involvement in and lessons from participating in One Programme in DaO countries

This criterion will capture ITC's engagement in the 'One Programme' component; it will seek to analyze the nature of ITC's involvement, its key partners and the main challenges that have been encountered in implementing DaO-funded programmes (relevance and effectiveness). It will offer guidance on how ITC can maximize the efficiency of its engagement in One Programme processes. The questions to explore are:

1. In what ways has ITC been participating in joint planning and programming in DaO countries? What proportion of ITC's programming is delivered through the One Programme?
2. In the cohort of One UN projects, how many have included trade content and included ITC? What was the level of ITC's performance in these projects? If ITC has not been associated with these projects, what was the reason? What has happened to those projects where ITC has not participated, and where there is no trade component?
3. What are the main challenges faced by ITC in engaging with the DaO initiative and in implementing and reporting on DaO-funded Joint Programmes?
4. Was the inclusion of ITC assistance in the UNDAF or One UN programme perceived as a value added as compared to previous operations when ITC's projects were not part of any interagency programme?
5. What has been the perception at country level (Government, UNCT, funders and the private sector) in terms of ITC's projects' contribution to UNDAF expected outcomes? What are the learnings in terms of enhancing ITC's position as a credible long-term partner within DaO?
6. How can ITC better exploit its focus on export development and entrepreneurship to better leverage partnerships with the private sector within UNDAF?
7. How has ITC become involved in past joint projects funded by UNDAF, or other donors contributing to the DaO initiative? Considering ITC involvement

in past UNCT efforts and projects, what has worked well and what has not?  
Why

8. How are the DaO processes organized (UNDAF/P, Results Groups, Monitoring and Reporting) and to what extent do systems of programme/budgeting cycles, results-based management (RBM) and monitoring and reporting are consistent with ITC's existing practices?
9. What resource implications does DaO pose for ITC (financial and human in particular)? What is the most efficient way for ITC Headquarter and /or field personnel to participate in the One Programme to maximize the use of its limited resources?
10. What have been the main successes and challenges in implementing DaO-funded Joint Programmes? What lessons can be learned/good practice can be identified from ITC's engagement with the One Programme.

#### 5.4 ITC's involvement in and lessons from the common budgetary framework/One Fund

This principle will analyze ITC's use of the One Fund and seek to explain trends that emerge (relevance and effectiveness). It will place the Fund in the context of broader contributions in order to explore what impact it has had on its direct funding. It will review the procedural requirements of the Common Budgetary Framework against ITC's financial procedures to understand what complementarities exist (efficiency and coherence). The questions are:

1. What effect (if any) have donor contributions to the joint programme had on ITC's direct funding?
2. Specifically, how does DaO funding interact with ITC's financial procedures for preparing and implementing projects?

#### 5.5 ITC's involvement in and lessons from Communicating as One/One Leader

This criterion will assess the effectiveness and relevance of the Communicating as One/One Leader pillars of the DaO initiative to ITC's strategic priorities documenting the successes and challenges that have been experienced at country level. Relevant questions arising are:

1. To what extent has 'Communicating as One/One Leader' strengthened ITC's ability to raise issues related to its mandate with the host government?
2. To what extent has 'Communicating as One/One Leader' galvanized the collective support of the UN Mission for ITC's mandate?
3. How were ITC relations with the UNRC and was the RC supportive of ITC involvement in the UNDAF or One UN Programme? What was the role of the RC regarding ITC access to One UN funds?
4. Does the joint communication strategy include messages relating to ITC's mandate on trade, export and entrepreneurship?



## 5.6 ITC's involvement in and lessons from 'Operating as One' and operational consistency of the DaO initiative with ITC's business practices

This criterion will review the operationalization by ITC of the different aspects of the 'Operating as One' pillar and will seek to assess their complementarity with ITC's own business practices (efficiency and coherence). It will seek to document the impact of ITC's participation in the Initiative on resources (both human and financial). The following are questions to analyze:

1. What aspects of 'Operating as One' has ITC adopted (common procurement, common logistics and transport, common ICT, common HR, common audit, common finance, harmonized approach to cash transfers, common premises?)
2. How well do these fit in the business practices of ITC and what are the main challenges and practical implications of operationalizing them?
3. Have transaction costs, particularly in terms of staff-time, been increased or decreased as a result of ITC's engagement with the DaO initiative?
4. What lessons can be learned/good practice can be identified from ITC's engagement with these shared business practices and the experience of other UN agencies.

## 7. Organization of the evaluation

### 7.1 Profile of the evaluation team and composition

The Evaluation will be led by an independent Senior Consultant/Team Leader who will work with another consultant team member, with the managerial, administrative and logistics support by IEU.

The team members will have considerable professional experience, with specific focus in the operations of UN development system at the country level. The consultants will sign a Declaration of 'Conflict of Interest' form of the ITC IEU.

1. The team will comprise of the following skill-mix
  2. Knowledge of UN development system institutions and experience at high-level policy issues of the UN;
  3. Development Evaluation
  4. Trade and export
  5. International Trade and export promotion
  6. Evaluation of complex institutional issues.

IEU will support the Evaluation Team with the following resources:

- The Chief of Evaluation Unit will provide substantive guidance and information on issues relating to ITC policy, strategies, structure, working mechanisms and procedures, project and programme management and evaluation methodology .
- The IEU Evaluation Analysts will collaborate through desk studies, survey management, preparation of synthesis documents and miscellaneous support.

### 7.2 Quality assurance mechanism and responsibilities

The Evaluation Team is responsible vis-à-vis ITC/IEU for the technical and substantive contents of the evaluation. The Evaluation Team Leader will be responsible for the quality of the substantive contents of the report; nevertheless, IEU through its internal review mechanism will retain the responsibility for ensuring the overall quality of the report in terms of comprehensiveness of the evidence gathered, robustness of the analysis, coherence, logic and clarity of the links between evidence and conclusions and recommendations.

### 7.3 The evaluation report

The evaluation report will illustrate the evidence found in response to the evaluation issues and questions and the Evaluation's assessment of ITC's performance against the evaluation criteria defined above. The report will focus on findings, conclusions and recommendations. It will include an executive summary. Supporting data and analysis will be annexed to the report when considered important to complement the main report.

The structure of the report should facilitate linkages between the body of evidence, analysis and formulation of recommendations. These will have to be evidence-based, relevant, focused, clearly formulated and actionable and should be addressed to the different stakeholders.

The Evaluation Team and the IEU Chief will agree on the outline of the report early in the evaluation process and the report will be prepared in English, following the Basic standards for IEU evaluation reports.

**7.4 The Evaluation team and deliverables** -The evaluation team will be composed of two professionals:

**Senior Evaluation/Lead Consultant**- He/She will be responsible for drafting the Framework Terms of Reference (FToR); the evaluation framework, design and data collection methods; managing the data collection process; carrying out the evaluation analysis and preparing the draft and the final evaluation reports. He/she will work under the direct guidance of the Head IEU.

The senior evaluation consultant will have the following deliverables:

- Desk/ literature review of documentation;
- Drafting of the Framework Terms of Reference for the evaluation including development of a theory of change of ITC's participation in DaO;
- Hold initial interviews with key stakeholders;
- Design data collection instruments and collection of data;
- Organizing field mission agenda's/questionnaires.
- Country mission reports; Data analysis , Draft final report

**Senior Trade and Development Consultant** - She/he will work in close coordination with the Senior Evaluation Consultant. She/he will be responsible for enriching the evaluation analysis with specialized knowledge in trade and development policy, input better contextualization to ITC's specific non-resident TRTA agency status within the DaO system context. She/he will support the data collection process and be responsible for providing thematic research and analytical inputs during the drafting phase of the different evaluation deliverables.

This work will entail the following deliverables:

- Thematic analyses to be used in the expanded terms of reference;

- Desk reviews and thematic analyses on issues of trade and development related to DaO results and impacts.
- Input in design of data collection instruments and collection of data;
- Inputs for Country mission reports; Inputs for data analysis
- Drafting selected chapters/ inputs of the draft final report
- Review and commenting on chapters of the expanded terms of reference and the draft final report to ensure enhanced accuracy with DaO and trade and development context.

**Evaluation Analyst**- Provision should be made of procuring the services of an evaluation analyst for about 40 days during December 2017 –March , 2018 to support literature review, support designing and conducting a survey, support data collection and data analysis. Special effort will be invested in relevant data mining from other UN agencies, Inter-Agency mechanisms like UNDG, DOCO and UN Cluster on Trade and Productive Capacity, EIF Secretariat. The Analyst will provide other coordination and logistics management support to the team during the evaluation process.

The Evaluation Analyst will work under the supervision of the senior Evaluation Consultant.

**National consultants** will be recruited for supporting the planned country missions. Approximately 15 days services will be required in each visiting country. The following will be the main tasks of national consultants:

- A position paper on trade and export sector of the country based on a literature review of the government strategies and plan documents, thematic papers produced by the UN system and development community/donors.
- An analysis of ITC contribution in UNDAF and the DAO projects including ITC contribution outside DaO through direct technical assistance.
- Identify list of government and non-government stakeholders for interview.
- Prepare and schedule a mission programme for the visiting team and provide logistic coordination/facilitation.

## Annex 2: Evaluation Matrix

### Overarching evaluation questions

- How relevant are DAO objectives and modalities to ITC's mandate, policies and business practices including their practical long-term implications?
- How effective were ITC's engagement/participation so far in the DaO initiative and its related programmes?
- To what extent engagement in DaO added value for ITC to fulfill its own objectives and overcoming constraints?
- What future strategies would be appropriate for ITC to gain better fit within and leverage from DaO, taking note of ongoing reform measures on coherence of UN development system?

Questions below in the matrix are organized according to some thematic criteria (A to E) for ease of analysis and are expected to respond to the overarching questions above when collective analyzed. Each of the questions are amenable for probing with sub-questions.

The evaluation criteria in second column applies collectively to the questions under each cluster.

Data sources and data collection methods apply across questions under each cluster.

MAIN QUESTIONS TO BE ADDRESSED	CRITERIA	DATA SOURCES	DATA COLLECTION METHODS
Strategic fit of DaO initiative with ITC mandate			
<p>1. How well does the DaO initiative fit with ITC's mandate and what are its practical implications for ITC?</p> <p>2. How relevant has the DaO initiative been in advancing ITC's strategic goals to find practical and sustainable solutions for export development and entrepreneurship and how effective has it been in galvanizing support from broader stakeholders</p> <p>3. To what extent, ITC participation in DaO contributed to greater impact for each one of these categories: policy makers and regulators, TSIS, SMEs and external partners? Has DaO proven to be an instrument to improve ITC efficiency in achieving its business-centered mandate?</p>	<p>Relevance</p> <p>Effectiveness</p> <p>Efficiency</p>	<p>ITC documents: Documents pertaining to ITC mandate, policies and procedures.</p> <p>ITC and DaO: Policy and guidance for ITC's engagement with the DaO initiative; reviews of ITC's engagement with the DaO initiative and lessons learned.</p> <p>DaO policies, procedures and analysis: DaO policy and procedure documents including factsheets, guidance documents, relevant resolutions and policy reviews, standard operating procedures, budgetary guidance, transaction costs, monitoring reports</p> <p>ITC staff, policy documents, DGO /DOCO staff, DaO documentation, CEB documents, ECOSOC documents, Country DaO documents, Country UNCT members</p> <p>Country Documents : UNDAFs, ITC project documents, ITC Hq</p>	<p>-Literature review, Desk reviews of Secondary data</p> <p>-Informant Interviews with : ITC policy and senior staff, UNDG staff, Permanent missions of member governments,</p> <p>-Other UN Headquarters staff: Staff members with responsibility</p>

		Regional desks, ITC project personnel, Government documents in DaO countries, UNDAF Reviews/Evaluations	for/knowledge of DaO implementation;  Country case studies: Field visits to selected Countries / projects  Survey: ITC field staff
ITC corporate measures for Internalization of DaO-			
<p>4. How the DaO reform process was introduced and taken into account in ITC policies and operations? How was the senior management and the staff informed and involved in this process? (Procedures, internal memos, information etc.).</p> <p>5. Was the DaO process seen by ITC as a way to look for interagency endeavours at the system level and at the field level, or was it seen as a mechanism that ITC should not afford to miss to avoid losing visibility and space?</p> <p>6. How relevant for ITC are the 5 pillars of the DaO Standard Operating Procedures (SOP): (1) One programme; (2) One common budgetary framework (known as the United Nations Development Assistance Fund – UNDAF); (3) One leader; (4) Operating as one; and (5) Communicating as one?</p> <p>7. Does the non-resident status of ITC and its substantial reliance on non-core donor resources for project funding pose any constraint for engaging in the DaO? How is this system-wide issue addressed by ITC senior management in the context of the DaO and future reforms?</p>	<p><b>Relevance</b></p> <p><b>Effectiveness</b></p>	<p>- ITC: Policy and guidance for ITC’s engagement with the DaO initiative; reviews of ITC’s engagement with the DaO initiative and lessons learned.</p> <p>ITC senior management staff, ITC Headquarter Regional Units, Country programmes, Administration and finance. Project/outcome Evaluation reports. -Progress reports on projects</p>	<p>-Desk reviews of secondary data</p> <p>-Interviews ITC Headquarter senior management, unit level managers ,</p> <p>-ITC Country project managers, Counterpart government officials of Govt. partners, Development partners, UNCT , project counterpart officials society partners, - Field visits to selected projects</p>

ITC's involvement in & lessons from participating in One Programme in DaO countries			
<p>8. In what ways has ITC been participating in joint planning and programming in DaO countries? What proportion of ITC's programming is delivered through the One Programme?</p> <p>9. In the cohort of One UN projects, how many have included trade content and included ITC? What was the level of ITC's performance in these projects?</p> <p>10. If ITC has not been associated with these projects, what was the reason? What has happened to those projects where ITC has not participated, and where there is no trade component?</p> <p>11. What are the main challenges faced by ITC in engaging with the DaO initiative and in implementing and reporting on DaO-funded Joint Programmes?</p> <p>12. Was the inclusion of ITC assistance in the UNDAF or One UN programme perceived as a value added as compared to previous operations when ITC's projects were not part of any interagency programme?</p> <p>13. What has been the perception at country level (Government, UNCT, funders and the private sector) in terms of ITC's projects' contribution to UNDAF expected outcomes? What are the learnings in terms of enhancing ITC's position as a credible long-term partner within DaO?</p> <p>14. How can ITC better exploit its focus on export development and entrepreneurship to better leverage partnerships with the private sector within UNDAF?</p> <p>15. How has ITC become involved in past joint projects funded by UNDAF, or other donors contributing to the DaO initiative? Considering ITC involvement in past UNCT efforts and projects, what has worked well and what has not? Why</p> <p>16. How are the DaO processes organized (UNDAF/P, Results Groups, Monitoring and Reporting) and to what extent do systems of programme/budgeting cycles, results-based management (RBM) and monitoring and reporting are consistent with ITC's existing practices?</p> <p>17. What resource implications does DaO pose for ITC (financial and human in particular)? What is the most efficient way for ITC Headquarter and /or field personnel to participate in the One Programme to maximize the use of its limited resources?</p> <p>18. What have been the main successes and challenges in implementing DaO-funded Joint Programmes? What lessons can be learned/good practice can be identified from ITC's engagement with the One Programme.</p>	<p><b>Relevance,</b></p> <p><b>Effectiveness</b></p> <p><b>Efficiency</b></p> <p><b>Impact</b></p>	<p>Country Documents: UNDAFs, ITC project documents, Country DaO documents, Government documents in DaO countries, UNDAF Reviews/Evaluations</p> <p>ITC Hq Regional desks at headquarters , ITC Country focal points at Headquarters, ITC field project staff, RC , RCO and Country UNCT members</p> <p>- Government partners - Beneficiary Institutions</p>	<p>-Literature review, Desk reviews of Secondary data</p> <p>-Key informants interviews of following :</p> <p>Country-based staff: RC and RCO staff, UNCT agency chiefs, ITC staff in each of the case study countries .</p> <p>-ITC headquarters staff: Senior staff from across different departments; -Select other UN Agency Hq staff: Staff members with responsibility for/knowledge of DaO</p>

			<p>implemen tation</p> <ul style="list-style-type: none"> <li>- UNDG/D OCO staff: New York-based staff with responsibility for leading and supporting DaO implementation</li> <li>- Development partners</li> <li>- Government partners</li> <li>- Beneficiaries institutions/Private sector</li> <li>Survey: ITC field staff</li> </ul>
<p>ITC's involvement in and lessons from the common budgetary framework/One Fund</p>			
<p>19. What effect (if any) have donor contributions to the joint programme had on ITC's direct funding?</p> <p>20. Specifically, how does DaO funding interact with ITC's financial procedures for preparing and implementing projects?</p>	<p><b>Effectiveness</b></p> <p><b>Efficiency</b></p>	<ul style="list-style-type: none"> <li>- Project documents- Project Progress reports, Internal reviews , Project/outcome Evaluation Reports</li> <li>- ITC Project Managers/staff</li> <li>- Development partners</li> <li>- Government partners</li> <li>- Beneficiaries</li> </ul>	<ul style="list-style-type: none"> <li>-Desk reviews of secondary data</li> <li>-Country-based staff: ITC staff in each of the case study countries.</li> <li>-Interviews of Govt. partners, Development partners, UNCT , Donors</li> <li>- Field visits to selected projects</li> </ul>

ITC's involvement in and lessons from 'Operating as One' and operational consistency of the DaO initiative with ITC's business practices		
<p>21. What aspects of 'Operating as One' has ITC adopted (common procurement, common logistics and transport, common ICT, common HR, common audit, common finance, harmonized approach to cash transfers, common premises?)</p> <p>22. How well do these fit in the business practices of ITC and what are the main challenges and practical implications of operationalizing them?</p> <p>23. Have transaction costs, particularly in terms of staff-time, been increased or decreased as a result of ITC's engagement with the DaO initiative?</p> <p>24. What lessons can be learned/good practice can be identified from ITC's engagement with these shared business practices and the experience of other UN agencies.</p>	<p><b>Effectiveness</b></p> <p><b>Efficiency</b></p>	<p>Project documents- Project Progress reports, Internal reviews , Project/outcome Evaluation Reports.-</p> <p>ITC Project Managers/staff</p> <p>- Development partners - Government partners - Beneficiaries</p> <p>-Desk reviews of secondary documents and data -Key informants interviews of following Country-based staff: RC Operations staff, UNCT agency chiefs, ITC staff in each of the case study countries. -ITC headquarters staff: Senior staff from across different departments including Finance, Audit and HR;  -Interviews of Govt. partners,  Development partners, - Field visits to selected projects</p>

The evaluation will seek to assess whether there has been potential benefits as outlined in the ToC and if not, what the effects (positive and negative) of the DaO has been on ITC's programme, funding and business practices. The evaluation will focus on the outcome level.



## Annex 3: UN General Assembly Resolution on Repositioning of UN Development system

United Nations A/RES/72/279

Distr.: General 1 June 2018

### General Assembly

#### Seventy-second session

Agenda item 24 (a)

#### Resolution adopted by the General Assembly on 31 May 2018

[Without reference to a Main Committee (A/72/L.52)] 72/279.

### Repositioning of the United Nations development system in the context of the quadrennial comprehensive policy review of operational activities for development of the United Nations system

*The General Assembly,*

*Reaffirming* its resolution 71/243 of 21 December 2016 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system and its general guidelines and principles for the United Nations development system, to better position the United Nations operational activities for development to support countries in their efforts to implement the 2030 Agenda for Sustainable Development,

*Taking note with appreciation* of the reports of the Secretary-General on the quadrennial comprehensive policy review,<sup>2</sup> and welcoming his efforts on the repositioning of the United Nations development system,

#### I A new generation of United Nations country teams

1. *Welcomes* a revitalized, strategic, flexible and results- and action-oriented United Nations Development Assistance Framework as the most important instrument for the planning and implementation of United Nations development activities in each country, in support of the implementation of the 2030 Agenda for Sustainable Development,<sup>1</sup> to be prepared and finalized in full consultation and agreement with national Governments;

2. *Requests* the Secretary-General to lead the efforts of the entities of the United Nations development system to collaboratively implement a new generation of United Nations country teams, with needs-based tailored country presence, to be built on the United Nations Development Assistance Framework and finalized through open and inclusive dialogue between the host Government and the United Nations development system, facilitated by the resident coordinator, to ensure the best configuration of support on the ground, as well as enhanced coordination, transparency, efficiency and impact of United Nations development activities, in accordance with national development policies, plans, priorities and needs;

3. *Also requests* the Secretary-General to work, through the United Nations Sustainable Development Group and in consultation with the Member States concerned, to determine appropriate criteria with regard to the presence and composition of United Nations country teams, based on country development priorities and long-term needs and the approved United Nations Development Assistance Framework, in accordance with the principles of the Charter of the United Nations and United Nations norms and standards;

4. *Further requests* the Secretary-General, in pursuance of General Assembly resolution 71/243, to conduct a review of the configuration, capacity, resource needs, role and development services of multi-country offices, in full consultation with the countries involved, to improve the contribution of the offices to country progress in

achieving the 2030 Agenda, to be presented to the Economic and Social Council at the operational activities for development segment of its 2019 session;

5. *Calls upon* the entities of the United Nations development system to strengthen capacities, resources and skill sets to support national Governments in achieving the Sustainable Development Goals and, where relevant, build capacities and expertise across United Nations agencies, funds and programmes to promote progress on those Goals lagging behind, in line with respective mandates and building on comparative advantages, and reducing gaps, overlaps and duplication across entities;

6. *Welcomes* measures by the Secretary-General to advance common business operations, where appropriate, including common back-offices, and with the target of 50 per cent common premises by 2021, to enable joint work and generate greater efficiencies, synergies and coherence, and requests the implementation of those measures in accordance with resolution 71/243;

## **II Reinvigorating the role of the resident coordinator system**

7. *Reaffirms* that the focus of the resident coordinator system should remain sustainable development, with the eradication of poverty in all its forms and dimensions as its overarching objective, consistent with the integrated nature of the 2030 Agenda and in line with the United Nations Development Assistance Framework and national leadership and ownership;

8. *Decides* to create a dedicated, independent, impartial, empowered and sustainable development-focused coordination function for the United Nations development system by separating the functions of the resident coordinator from those of the resident representative of the United Nations Development Programme, drawing on the expertise and assets of all United Nations development system entities, including non-resident agencies;

9. *Requests* the Secretary-General to strengthen the authority and leadership of resident coordinators, as the highest-ranking representatives of the United Nations development system, over United Nations country teams, and system-wide accountability on the ground for implementing the United Nations Development Assistance Framework and supporting countries in their implementation of the 2030 Agenda, through:

(a) Enhanced authority for the resident coordinator to ensure alignment of both agency programmes and inter-agency pooled funding for development with national development needs and priorities, as well as with the United Nations Development Assistance Framework, in consultation with the national Government;

(b) Full mutual and collective performance appraisals to strengthen accountability and impartiality, with resident coordinators appraising the performance of United Nations country team heads and United Nations country team heads informing the performance assessment of resident coordinators;

(c) The establishment of a clear, matrixed, dual reporting model, with United Nations country team members accountable and reporting to their respective entities on individual mandates, and periodically reporting to the resident coordinator on their individual activities and on their respective contributions to the collective results of the United Nations development system towards the achievement of the 2030 Agenda at the country level, on the basis of the United Nations Development Assistance Framework;

(d) Reporting by the resident coordinator to the Secretary-General and to the host Government on the implementation of the United Nations Development Assistance Framework;

(e) A collectively owned internal dispute resolution mechanism;

10. *Emphasizes* that adequate, predictable and sustainable funding of the resident coordinator system is essential to delivering a coherent, effective, efficient and accountable response in accordance with national needs and priorities, and in this regard decides to provide sufficient funding in line with the report of the Secretary-General,<sup>3</sup> on an annual basis starting from 1 January 2019, through:

(a) A 1 per cent coordination levy on tightly earmarked third-party<sup>4</sup> non-core contributions to United Nations development-related activities, to be paid at source;

(b) Doubling the current United Nations Development Group cost-sharing arrangement among United Nations development system entities;

(c) Voluntary, predictable, multi-year contributions to a dedicated trust fund to support the inception period;  
11. *Strongly urges* all Member States to contribute to the trust fund, in particular as front-loaded contributions for the inception of the reinvigorated resident coordinator system, and in a timely manner, to ensure necessary, predictable and sustainable funding for the inception period;

12. *Calls upon* all Member States in the relevant governing bodies of all United Nations development system entities to ensure that all entities double their agreed contributions under the current United Nations Development Group cost-sharing arrangement;

13. *Requests* the Secretary-General, in consultation with the United Nations development system entities, to present an implementation plan for the inception of the reinvigorated resident coordinator system, including on the operationalization of its funding arrangements, to the General Assembly, before the end of the seventy-second session;

14. *Emphasizes* the need to ensure full achievement of the efficiency gains envisioned in the report of the Secretary-General<sup>3</sup> in a timely manner and to redeploy these efficiency gains for development activities, including coordination;

15. *Requests* the Secretary-General to report annually, starting in 2019, to the Economic and Social Council at its operational activities for development segment on the implementation of the reinvigorated resident coordinator system, including its funding, to ensure accountability towards Member States;

16. *Also requests* the Secretary-General to submit for the consideration of the General Assembly, before the end of its seventy-fifth session, a review with recommendations on the functioning of the reinvigorated resident coordinator system, including its funding arrangement;

17. *Endorses* the transformation of the Development Operations Coordination Office to assume managerial and oversight functions of the resident coordinator system under the leadership of an Assistant Secretary-General and under the collective ownership of the members of the United Nations Sustainable Development Group, as a stand-alone coordination office within the Secretariat, reporting to the Chair of the Group, and requests the Chair to present a comprehensive report on an annual basis, including on the operational, administrative and financing aspects of the activities of the Office, to the Economic and Social Council at its operational activities for development segment;

### **III Revamping the regional approach**

18. *Reaffirms* the role and functions of the United Nations development system at the regional level, including the regional economic commissions and the regional teams of the United Nations development system, and underlines the need to continue to make them fit for purpose in supporting the implementation of the 2030 Agenda, and to revamp the regional structures, recognizing the specificities of each region and bearing in mind that no one size fits all;

19. *Emphasizes* the need to address gaps and overlaps at the regional level, and endorses a phased approach to revamping the United Nations development system at the regional level, and in this regard requests the Secretary-General:

(a) To implement, as part of the first phase, the proposed measures to optimize functions and enhance collaboration at the regional and subregional levels;

(b) To provide options, on a region-by-region basis, for longer-term reprofiling and restructuring of the regional assets of the United Nations to the Economic and Social Council at the operational activities for development segment of its 2019 session;

### **IV Strategic direction, oversight and accountability for system-wide results**

20. *Takes note* of the proposal of the Secretary-General on the repositioning of the operational activities for development segment of the Economic and Social Council, and looks forward to the outcome of the ongoing review of the implementation of General Assembly resolution 68/1 of 20 September 2013;

21. *Also takes note* of the proposal of the Secretary-General to gradually merge the New York-based Executive Boards of funds and programmes, and urges Member States to continue making practical changes to further enhance the working methods of the Boards with the aim of improving the efficiency, transparency and quality of governance structures, including through deciding on ways to improve the functions of the joint meeting of the Boards;

22. *Stresses* the need to improve monitoring and reporting on system-wide results, and in this regard welcomes the strengthening of independent system-wide evaluation measures by the Secretary-General, including improving existing capacities;

23. *Welcomes* the decision by the Secretary-General to brief the Economic and Social Council in his capacity as Chair of the United Nations System Chief Executives Board for Coordination, to ensure full transparency in the activities of the Board and improve its effective interaction with, and its responsiveness to, the Member States;

## **V Funding the United Nations development system**

24. *Recognizes* that significantly improving its voluntary and grant-based funding is vital to the successful repositioning of the United Nations development system, as well as to the strengthening of its multilateral nature, with the aim of better supporting countries in their efforts to implement the 2030 Agenda in line with national needs and priorities in a coherent and integrated manner;

25. *Welcomes* the call by the Secretary-General for a funding compact as a critical tool to maximize the investments of Member States in the United Nations development system and the system's transparency and accountability for system-wide actions and results, and, recognizing the need to address the imbalance between core and non-core resources, takes note of the proposals of the Secretary-General to bring core resources to a level of at least 30 per cent in the next five years and double both inter-agency pooled funds to a total of 3.4 billion United States dollars and entity-specific thematic funds to a total of 800 million dollars by 2023;

26. *Also welcomes* the proposal of the Secretary-General to establish a dedicated coordination fund, and in this regard invites Member States to provide voluntary contributions in the amount of 35 million dollars to the resident coordinator system, in support of system-wide activities on the ground associated with the implementation of the United Nations Development Assistance Framework;

27. *Invites* Member States to contribute, on a voluntary basis, to the capitalization of the Joint Fund for the 2030 Agenda for Sustainable Development at 290 million dollars per annum;

28. *Welcomes* the commitment of the Secretary-General to repositioning the United Nations development system in accordance with calls by Member States set out in resolution 71/243 and in the present resolution, recognizes that that commitment to reform is an essential component of a funding compact, and therefore requests the United Nations development system, as the starting point for its commitment to the funding compact:

(a) To provide annual reporting on system-wide support to the Sustainable Development Goals and present aggregated information on system-wide results by 2021;

(b) To comply with the highest international transparency standards to enhance transparency and access to financial information in all United Nations development system entities;

(c) To undergo independent system-wide evaluations of results achieved, at the global, regional and country levels;

d) To comply with existing full-cost recovery policies and further harmonize cost recovery by individual United Nations development system entities through differentiated approaches; e) To allocate, where applicable, at least 15 per cent of non-core resources for development to joint activities;

(f) To enhance the visibility of Member State contributions to core resources and pooled funds, and related results;

(g) To achieve efficiency gains as envisioned by the Secretary-General in his report;<sup>3</sup>

(h) To achieve common results at the country level;

29. *Also welcomes* the proposal of the Secretary-General to launch a funding dialogue in 2018 with a view to finalizing a funding compact in the form of a commitment between the United Nations development system and Member States, and requests the Secretary-General to report on the outcome of the funding dialogue at the operational activities for development segment of the 2019 session of the Economic and Social Council, noting that the funding compact relates to voluntary funding of the United Nations development system, as well as to other contributions;

## **VI Following up on the repositioning efforts of the United Nations development system at the global, regional and country levels**

30. *Requests* the heads of the entities of the United Nations development system, under the leadership of the Secretary-General, to submit to the Economic and Social Council at the operational activities for development segment of its 2019 session, for consideration by Member States, a system-wide strategic document, in the light of the present resolution and in line with resolution 71/243, and to ensure that it is specific, concrete and targeted in addressing gaps and overlaps;

31. *Reaffirms* the role of the Department of Economic and Social Affairs of the Secretariat, and looks forward to the update by the Secretary-General to the Member States on the alignment of the Department with the 2030 Agenda, in accordance with General Assembly resolution 70/299 of 29 July 2016;

32. *Requests* the Secretary-General to ensure an effective and efficient transition to a repositioned United Nations development system, in particular to a reinvigorated resident coordinator system, including by giving due consideration to the role of a responsive United Nations Development Programme as the support platform of the United Nations development system providing an integrator function in support of countries in their efforts to implement the 2030 Agenda;

33. *Also requests* the Secretary-General to report to the Economic and Social Council on progress made in the implementation of the mandates contained in the present resolution and the mandates contained in resolution 71/243, as part of his annual reporting to the Council at the operational activities for development segment of its 2019 session, and to the General Assembly at its seventy-fourth session for further consideration by the Assembly and to inform the next cycle of the quadrennial comprehensive policy review to be launched in 2020.

## Annex 4: Revamping UNDAF capacity development cycle

In 2017 the 2010 UNDAF Guidance document was updated<sup>1</sup> covering programming principles; common country analysis (CCA); the UN vision 2030; ToC; capacity development; communication and advocacy; monitoring and evaluation; and funding to financing.<sup>2</sup> In an effort to streamline processes, the capacity development cycle borrowed from best practices established by UNDP. In the 2009 UNDP Primer on Capacity Development the capacity development process contained five steps.<sup>3</sup> As a result, the 2017 document on capacity development provides a capacity development during the UNDAF cycle, which contains six steps. The document entails a substantive deepening of UN Agencies' coordination throughout the UNDAF cycle as demonstrated in Table X below (2017 enhancements in bold).

Comparison between 2009 UNDP and 2017 UNDAF Capacity Development Cycles

STEP	2009	STEP	2017
Central Focus	Capacity Development Process	Central Focus	Capacity Development <b>in the UNDAF Process</b>
1	Engage Stakeholders on Capacity Development	1	Engage Stakeholders on capacity development ( <b>continued throughout the process</b> )
2	Assess capacity assets and needs	2	Assess capacity needs <b>and needs within CAA (CAA identifies key capacity gaps, root causes and approaches at the individual, organizational and enabling environment levels)</b>
3 4	Formulate a capacity development programme	3	<b>Define capacity development objectives linked to development goals within the UNDAF results framework and theory of change (UNDAF theory of change articulate the pathways to capacity development, and the results framework lays out the intended results/goals/outcome of capacity development)</b>
		4	Formulate capacity development <b>content in programmes and projects with results linked to development objectives.</b>

<sup>1</sup> United Nations Development Group (2017). *Capacity Development – UNDAF Companion Guidance*. New York: UN. Available from <https://undg.org/wp-content/uploads/2017/06/UNDG-UNDAF-Companion-Pieces-8-Capacity-Development.pdf>

<sup>2</sup> See <https://undg.org/programme/undaf-companion-guidances/>

<sup>3</sup> United Nations Development Programme (2009). *Capacity Development: A UNDP Primer*. New York: UN. Available from [http://www.undp.org/content/dam/aplaws/publication/en/publications/capacity-development/capacity-development-a-undp-primer/CDG\\_PrimerReport\\_final\\_web.pdf](http://www.undp.org/content/dam/aplaws/publication/en/publications/capacity-development/capacity-development-a-undp-primer/CDG_PrimerReport_final_web.pdf)

4	Implement capacity development response	5	Implement capacity development <b>initiative in programmes and projects, monitor and analyse progress and make corrective action.</b>
5	Evaluate capacity development	6	Evaluate capacity development <b>(Monitoring and evaluation of the UNDAF assess progress against the intended capacity development outcomes and inform relevant decisions)</b>

UNDAF at the core of the new UN country programme cycle - Building on the 2009 UNDP cycle, the 2017 UNDAF cycle has an overall emphasis on UNDAF taking prominence at the centre of the cycle. Step 2 includes the CCA and UN Vision 2030 (both of these are discussed further below). Step 3 in the 2017 cycle is a new step that places emphasis on the UNDAF ToC, and step 4 takes this further with defining the ToC, factoring in innovation, knowledge transfer and sustainability, among other things. In the 2009 cycle, change was measured at the evaluation stage, while in the 2017 cycle change is central to monitoring throughout the cycle as well as at the stage of evaluation.

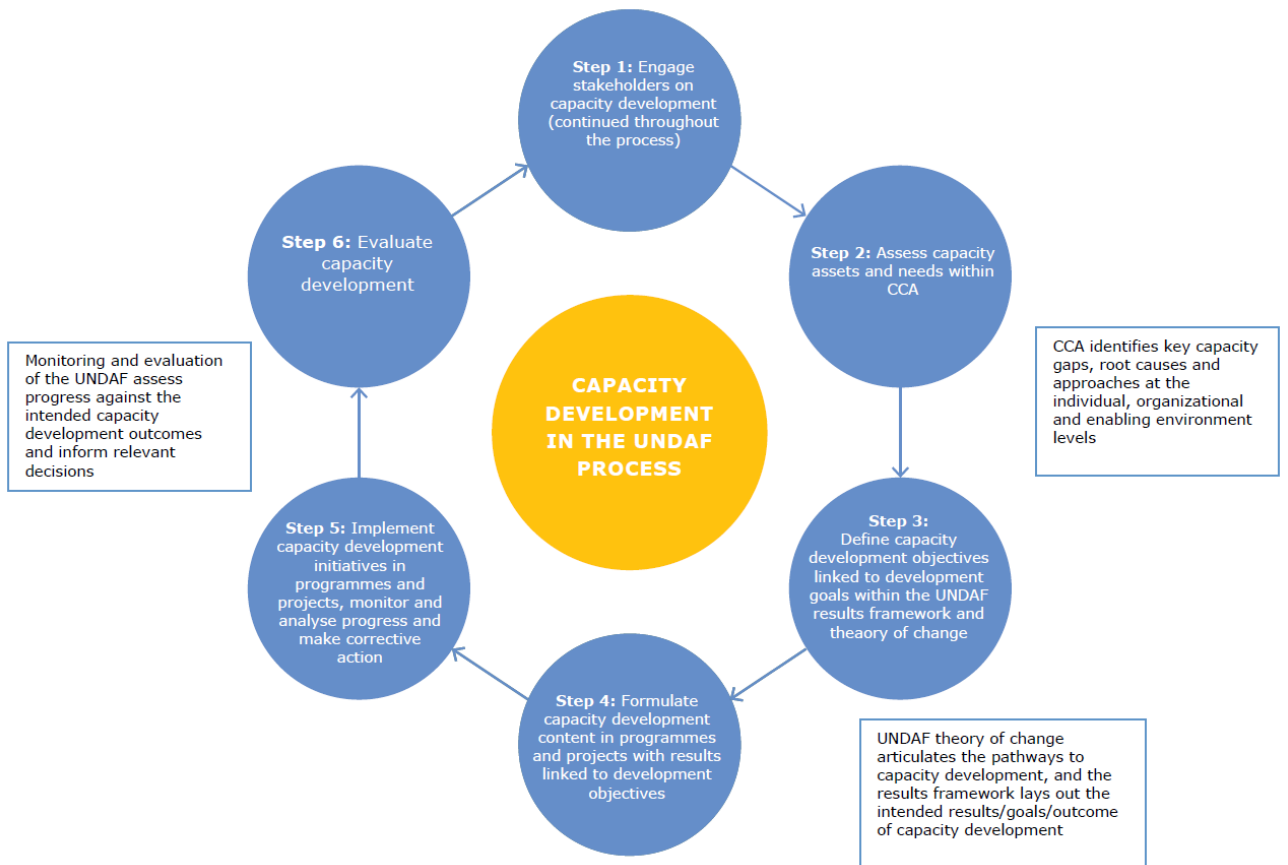
According to the 2017 UNDAF companion document, the six steps are to be applied whether distinct capacity development programmes and projects are being implemented within the UNDAF, or building capacities is part of the broader results planned in joint or individual programmes and projects. Regardless of the support frameworks in which capacity gaps are being addressed, using theories of change that pursue development progress through and towards stronger institutions, professionals and environments represents an effective approach to risk management, national ownership and sustainable results.<sup>4</sup>

## Capacity development during the UNDAF cycle<sup>5</sup>

---

<sup>4</sup> United Nations Development Group (2017), *op. cit.*: 8

<sup>5</sup> *Ibid*





## Annex 5: List of People Met.

### I. Government of Rwanda

- Mr. Michel Sebera Permanent Secretary, Ministry of Trade and Industry,
- Director of Industrial Development, Ministry of Trade and Industry
- Ms Inés Escudero, Consultant, Foundation Tony Blair
- Mr. Gerard Mugabe, External Resources Mobilization Officer, Ministry of Finance and Economic Planning
- Ms Diane Sayinzoga, Head of SEZs and Export Department, Rwanda Development Board (RDB)
- Mr. Stephen Ruzibiza, Executive Director, Private Sector Federation

### II. UNRCO / UNCT Rwanda

- Mr. George **Otoo**, Head of the UN Resident Coordinator Office,
- Ms. Solange Uwera, NRA Focal Point , UNRC Office
- Mr. Stephen Rodrigues, UNDP Country Director
- Mr Daniel Alemu UNFPA – Deputy Representative, Chair of the Programme Planning Oversight Committee (PPOC)
- Mr. André Habimana, Country Representative, UNIDO
- Mr. Otto Vianney Muhinda– Assistant Representative/Programme, FAO
- Mr. Yasser El-Gamal, Country Manager, World Bank
- Mr Jude Muzale, National Programme Officer ILO office
- Ms Claudine ITC/SITA Project Coordinator. (Supporting Indian Trade Assistance financed by DFID – India)
- Mr.Charles Rutagyengwa, National Consultant (former Long -Term ITC consultant in Rwanda)

### III. ITC/HQ (Geneva)

- Ms. Arancha Gonzalez ED
- Ms. Dorothy Tembo DED
- Mr. Ashish Shah, Director DCP
- Ms. Iris Hauswirth – Director, SPPG
- Mr. Ruben Phoolchund, Chief , Africa Section
- Mr. Silencer Mapuranga – Country Manager,
- Ramin Granfar , Country Manager
- Emal Beiosis
- Focus Group Meeting: DCP, Asia / Pacific (2 Representatives), Latin America (2 Reps), Arab Region (2 Reps)
- Planning (one rep.)
- Francesco Geoffrey – DCP Project Design

### IV. Country Missions:

- Edouard Jay, Swiss Mission at the WTO
- UNCTAD: Head of Technical Cooperation Section , Geneva

**V. UN New York:**

- Mr. Navid Hanif, Director, UN Reform, ECOSOC
- Ms. Kanni Wignaraja, Director, UNDOCO (Met Special Assistant of Director and One Programme Officer)
- Elliott Harris, UN Assistant Secretary-General, Director, New York Office, United Nations Environment Programme
- Ms. Chantal Line Carpentier, Director, UNCTAD Liaison Office, New York
- Mr. Yougesh Kumar Bhatt, Senior Evaluation Officer, Independent Evaluation Office UNDP, New York
- Mr. Marco Feroni, Chair UN Evaluation Group (UNEP), New York
- Ms. Riefqah Jappie, ITC Representative