UNCT-SWAP PERFORMANCE INDICATOR 1.2
Virtual Toolkit Resource

What?

Cooperation Framework Companion Package (UNSDG 2020)

Why?

The companion package complements the 2019 Guidance on the Cooperation Framework, providing tools, templates and other resources to support Cooperation Framework development and implementation. The UNCT-SWAP Scorecard requirements are referenced through the document (refer pages 26, 30, 33, 48, 58, 62) to ensure coherence and integration throughout the Cooperation Framework cycle in line with requirements for Performance Indicator 1.2 Cooperation Framework Outcomes, 2.3 M&E and 6.1 Financial Resources.

Performance Indicator 1.2 Cooperation Framework Outcomes

Approaches Minimum Requirements	a. Gender equality and the empowerment of women is visibly mainstreamed across **some** outcome areas in line with SDG priorities, including SDG 5.
Meets Minimum Requirements	a. Gender equality and the empowerment of women is visibly mainstreamed across all outcome areas in line with SDG priorities, including SDG 5; **or** b. One Cooperation Framework outcome specifically targets gender equality in line with the Cooperation Framework Theory of Change and SDG priorities, including SDG 5.
Exceeds Minimum Requirements	a. Gender equality and the empowerment of women is visibly mainstreamed across **all** outcome areas in line with SDG priorities, including SDG 5; **and** b. One Cooperation Framework outcome specifically targets gender equality in line with the Cooperation Framework Theory of Change and SDG priorities, including SDG 5.

Cooperation Framework Companion Package

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SDG

# Contents

ACRONYMS

BOS	Business Operations Strategy
CCA	Common Country Analysis
CSO	Civil Society Organisation
DCO	Development Coordination Office
FAO	Food and Agricultural Organisation
HCT	Humanitarian Country Team
HNO	Humanitarian Needs Overview
HRP	Humanitarian Response Plan
IATI	International Aid Transparency Initiative
IFAD	International Fund for Agricultural Development
IFI	International Financial Institution
IMS	Information Management System
ISF	Integrated Strategic Framework
ITC	International Trade Centre
LNOB	Leave No One Behind
MAF	Management and Accountability Framework
MEL	Monitoring, Evaluation and Learning Plan
MSMSE	Micro-Small Medium Size Enterprise
NGO	Non Governmental Organisation
ODA	Official Development Assistance
OMT	Operations Management Team
PBF	Peacebuilding Fund
PSG	Peer Support Group
RBM	Results Based Management
RC	Resident Coordinator
RCO	Resident Coordinator Office
SDG	Sustainable Development Goals
SWE	System Wide Evaluation
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNEG	United Nations Evaluation Group
UNIDO	United Nations Industrial Development Organisation
UNSDG	United Nations Sustainable Development Group
UN-SWAP	United Nations System Wide Action Plan

INTRODUCTION

This Companion Package complements the 2019 Guidance on the Cooperation Framework. While the latter focused on the 'what' of the new generation of planning and implementation instruments, this package provides the RCs and UNCTs with the 'how'. It provides tools, templates, examples and other resources. These will expand as the new Cooperation Frameworks are being designed and rolled out.

The chapters of this companion package broadly follow the stages of the programme cycle of the UN Sustainable Development Cooperation Framework (Cooperation Framework Guidance 2019).
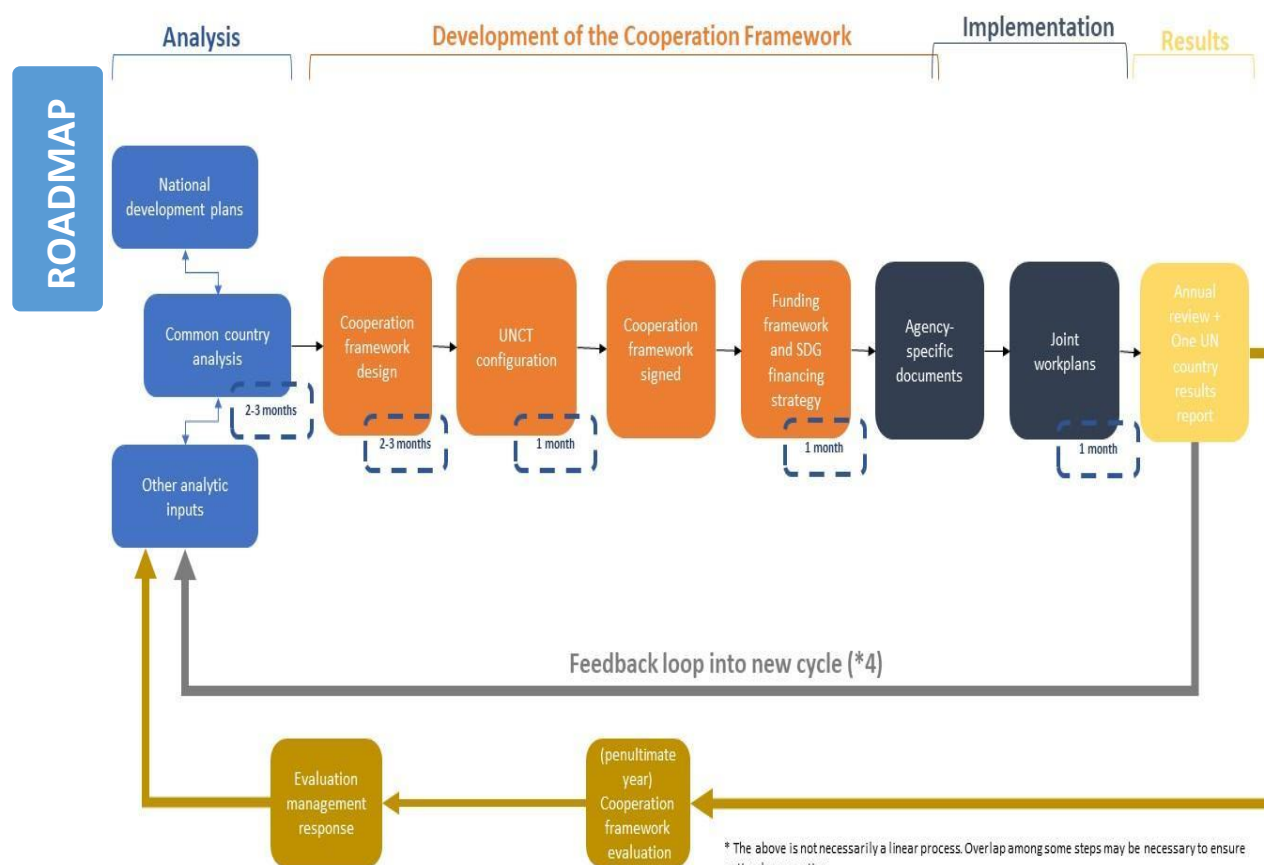
Source: Cooperation Framework Guidance (2019)

For each stage, the corresponding chapter provides 'key deliverables' or 'milestones,' in terms of both process and outputs. Meeting all milestones is important for a good quality process and product but the way the process evolves will need to be tailored to the specific country context.

CHAPTER 1: ROADMAP

The BIG Idea: Advance planning underpins a successful Cooperation Framework cycle

Preparing a roadmap for the new Cooperation Framework process is a mandatory exercise to be undertaken ahead of the Cooperation Framework process.

What it is

1. The Roadmap summarizes (in 2-3 pages) the agreement by the UN Country Team (UNCT) and the Government, after consultation with other stakeholders, on key milestones, timelines, support needs and roles in the Cooperation Framework cycle, in line with the 2019 Cooperation Framework Guidance.

2. It is prepared at least 12 months before the new Cooperation Framework cycle begins. This ensures that the design of the new Cooperation Framework is informed by the findings of the evaluation of the ongoing UNDAF/Cooperation Framework and the mandatory management response *(template in Annex X in Cooperation Framework Companion Package Consolidated Annexes*)

3. Preparation of the roadmap should not last more than one month.

4. The roadmap should cover the full period from evaluation of the ongoing Cooperation Framework/UNDAF as applicable, through the preparation of the Joint Work Plans of the new Cooperation Framework.

5. The roadmap ensures that the milestones (process and content) capture key Cooperation Framework design features:
   ● The Cooperation Framework cycle involves a broad range of stakeholders, including civil society organisations; youth; donors; academia; private sectors; and ensures people's meaningful participation, particularly those organizations and representatives of groups most left behind. In terms of UN participation, preparation of the Cooperation Framework should be inclusive not only of those that are part of the existing UNCT but also others with relevant expertise, including the Operations Management Team, regardless of location;
   ● The Guiding Principles *(hyperlink to companion piece on Guiding Principles)* for the Cooperation Framework are integrated throughout all stages, guiding process and content, and that they are applied in a holistic manner not as add-on modules. Refer to this mainstreaming matrix *(hyperlink to tool: Guiding Principles Companion Piece Mainstreaming Matrix)* to guide this exercise.
   ● The Common Country Analysis (CCA) *(hyperlink to chapter #2 & template)* underpins the Cooperation Framework.
   ● The CCA will be updated periodically at a frequency that the UNCT determines is appropriate for the country context, but at a minimum at least once annually.
   ● The Cooperation Framework is prepared in approximately 6-9 months (i.e., from preparation of the CCA to Joint Work Plans *(hyperlink to chapter #7 & template)*
   ● UN entity-specific country programmes are derived from the Cooperation Framework outcomes.
   ● The Joint Work Plans are derived from Cooperation Framework outcomes and outputs.
   ● The Cooperation Framework priorities drive the funding framework, not the reverse.

- The preparation of the [funding framework](#)[1] takes into account the overall Sustainable Development Goals (SDG) financing landscape of the country and National Development Plans.
- The [UNCT configuration](#) *(hyperlink to chapter #4)* responds to the agreed priorities of the Cooperation Framework.
- The Cooperation Framework is governed by the [Joint National-UN Steering Committee](#) *(hyperlink to chapter #7)* - co-chaired by the UN Resident Coordinator (RC) and Government – that oversees programme implementation. Other stakeholders such as major development partners/donors, international financial institutions, civil society and private sectors can be included in this structure to the extent possible in the country context.
- The Joint Work Plans will be monitored and updated, and an Annual Country Results Report prepared based on the [Annual Performance review](#) *(hyperlink to chapter #7).*
- The relevance of the Cooperation Framework will be revisited periodically at a frequency that the UNCT determines is appropriate for the country context, but at least once every year following the [Annual Performance review](#) *(hyperlink to chapter #7)*, that also sees an [update to the CCA](#) *(hyperlink to chapter #2)*.

6. The roadmap is developed by UN entities, both those present in-country or based elsewhere. In order to ensure maximum participation of the UN development system, the RC informs the regional Development Coordination Office (DCO) before the start of the roadmap preparation process, which then informs all UN entities. This ensures that all interested UN entities (even if not already part of the UNCT) can participate from the very beginning of the process.

7. In complex contexts[2] with humanitarian and peace operations, the roadmap should highlight synergies and complementarity with Humanitarian Needs Overview (HNO), Humanitarian Response Plans (HRP), and Integrated Strategic Framework (ISF) processes. The Humanitarian Country Team (HCT), inter-cluster/sector-coordination group and/or mission leadership and planners should be consulted and involved throughout the Cooperation Framework planning and implementation[3].

8. The Regional DCO will engage the Peer Support Group (PSG) to review the quality of the roadmap and identify needed technical assistance, either from the regional level or from specialised UN Agencies located elsewhere.

9. The roadmap is a public document made available on the United Nations Sustainable Development Group (UNSDG) website and country websites of the respective UN entities. It will be kept updated by the Resident Coordinator Office (RCO), reflecting changes that may occur during its implementation.

Please note: At the stage of preparing the roadmap, it is recommended that the standard text of the [Legal Annex](#) text be shared with the government counterpart that is to sign the Cooperation Framework. This will allow sufficient lead time to respond to any questions or concerns that the government may have about the legal annex before signature. Whilst the legal annex texts are standard agreements, some governments may propose amendments, in which case UN entities must consult their respective HQ legal

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[1] Refer to Companion Piece on [Financing SDGs and Funding Cooperation Framework](#) and [chapter #6 of Companion Package](#)
[2] Contexts where there is a multidimensional crisis (political, security, social, developmental or humanitarian). These include, but are not limited to, contexts with internationally coordinated humanitarian appeals and/or a political or peacekeeping mission presence.
[3] For additional guidance, please refer to the Humanitarian-Development-Peace Collaboration companion piece.

offices. Following the UNCT configuration exercise *(hyperlink to chapter #4),* the legal annex will include specific references to the host country agreement of each entity participating in the Cooperation Framework.

MILESTONE[4]: The timeline for preparing the roadmap for the new Cooperation Framework is agreed to by all stakeholders.		
What Success Looks Like	**Roles**	**Key Resources**
• Roadmap preparation is initiated in the last quarter of the penultimate year of the current programme cycle.	• RC informs regional DCO about the start of the process and DCO informs all entities. • RC/UNCT propose timeline for preparing the roadmap. • Joint National-UN Steering Committee decides on the timeline.	• Template for Cooperation Framework Roadmap *(Link to template in **Annex 1:** in Cooperation Framework Companion Package Consolidated Annexes)* • Guiding Principles *(hyperlink to companion piece on Guiding Principles)*
MILESTONE: A roadmap is drafted for preparing the new Cooperation Framework.		
• All UN entities (regardless of physical location) are Informed of the intent, template, quality criteria and timelines for drafting the roadmap, and provide initial inputs to RC. • A draft roadmap is prepared in standard template by the UNCT. • Regional DCO and all UN entities regardless of their physical location at regional levels, are consulted on the draft roadmap. • In complex settings, HCTs and missions are consulted. • Regional feedback is provided to UNCT based on quality criteria for roadmap. • UNCT incorporates feedback in revised draft.	• RC/UNCT prepares zero draft and shares with all UN entities regardless of physical location at country or regional levels. • Regional DCO shares draft roadmap with PSG and all relevant UN entities for feedback. • PSG provides feedback to UNCT through its chair. • Regional DCO facilitates country engagement dialogue with Regional Directors and RC/UNCT	• Template for Cooperation Framework Roadmap *(hyperlink **Annex 1:** in Cooperation Framework Companion Package Consolidated Annexes)* • Quality criteria for roadmap *(hyperlink to forthcoming **Annex 3** in Cooperation Framework Companion Package Consolidated Annexes)*
MILESTONE: The final roadmap for the new Cooperation Framework is agreed with Government		
• Key government ministries are consulted bilaterally or as a group. • Consultations are held with key development actors (IFIs, donors, National Human Rights Institutions, academia, private sectors civil society, representatives of groups that are other CSOs, those left behind, including children and adolescents,) on the draft roadmap to validate timelines and intent to work together. • Draft roadmap revised to incorporate feedback. • Advanced draft is submitted for Joint National-UN Steering Committee approval.	• RC arranges consultations with key stakeholders. • UNCT incorporates feedback and finalizes the roadmap. • RC presents roadmap for co-endorsement to government co-chair of Steering Committee.	

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[4] Milestones are 'key deliverables' for each step, which need necessarily be in the same sequence as presented here. The interplay of these milestones and related processes will need to be tailored to the specific country context.

• RC/Government co-sign the roadmap		
MILESTONE: The roadmap for preparing the new Cooperation Framework is published		
• The Cooperation Framework roadmap made available publicly. • The Roadmap is kept updated in DCO [Information Management System](#) (IMS) and the DCO [Cooperation Framework dashboard](#).	• RC disseminates the roadmap to government and all stakeholders. • RCO updates Cooperation Framework dashboard on the UNCT's public website	• [Good examples of Cooperation Framework Roadmap](#) *(link to template in **Annex 1** in Cooperation Framework Companion Package Consolidated Annexes)* • [UNSDG Information Management System](#) • [DCO Cooperation Framework Dashboard](#)

Tips for Success!

● Include the Cooperation Framework roadmap as an agenda item in the last Joint National-UN Steering Committee or Annual Performance Review Meeting, in the penultimate year. This will give the UNCT sufficient time to begin defining elements of the roadmap including key stakeholders to be consulted in the development and finalisation of the roadmap.
● In preparing the roadmap, consider the implications of events of national significance on planned timelines e.g., national long/medium term development planning, imminent change of government and their new priorities, national population censuses, etc.
● Keep in mind that the Cooperation Framework process should last no more than 9 months, from CCA to preparation of Joint Work Plans.
● Make sure to have a clear action plan for integrating the Cooperation Framework Guiding Principles throughout the roadmap processes and milestones, and train staff on these principles.
● Engage the government in a smaller working group with the UNCT to share periodic information and take decisions on the Cooperation Framework process.
● Think beyond the current UNCT membership and reach out to UN development system entities with relevant expertise. The roadmap preparation processes and meetings should consider the needs of UN entities located outside the country, in order to encourage their active participation.
● Actively engage the Operations Management Team to factor the operational context into the planning from the start.
● Engage in broad consultations across government ministries, including at the local level where appropriate, International Financial Institutions, bi-and multilateral development partners, and all other stakeholders as elaborated above.
● Aim to minimize transaction costs for all stakeholders. For example, individual entities should consider building on Cooperation Framework consultations when starting the design of their own country programmes, rather than repeating them to the extent possible. Similarly, evaluation processes should be linked, integrated, mutually reinforcing, not duplicating, while maintaining accountability to donor requirements.

CHAPTER 2: COMMON COUNTRY ANALYSIS

> **The BIG Idea:** *The UN's independent, collective, integrated, forward-looking, and evidence-based analysis of the country context.*

The new generation of CCA responds to the urgency of the 2030 Agenda by delivering **integrated, forward-looking and evidence-based joint analysis** of the context for sustainable development in a country. The CCA is no longer just a report prepared once at the start of the programme cycle, but rather, a signature function of the UNCT that generates tailored analytical products at the country level. It is part of a strategic pivot for the UN towards becoming the top source for independent, trusted analysis and policy advisory support on sustainable development in the 21st century. The analysis becomes the foundation for the design of the UN's programmatic response through the Cooperation Framework. At the same time, the analysis can inform decision-making processes of Government and other stakeholders.

The new CCA is **integrated**, i.e., connects the analysis of issues for the achievement of each SDG, and across SDGs, in line with the overall commitment to leave no one behind, UN Charter values and international norms and standards. It reflects systems thinking, an approach that captures the interlinked relationships, resources, information, institutions, and capacities necessary to identify and address pathways to achieve the 2030 Agenda. This approach spans national borders, factoring in the regional and trans-boundary issues that impact a country's SDG trajectory.

The CCA needs to beyond past or "snapshot" analysis to be **forward-looking**[5] and anticipatory, estimating, modelling and projecting to 2030 and beyond. With a heightened focus on risk and [foresight analysis](#)[6], the CCA will be more relevant and valuable for countries seeking to "future proof" their sustainable development strategies. This imperative also speaks to the UN Secretary-General's reference that "*we spend far more time and resources responding to crises rather than preventing them*."[7] The CCA thus examines the underlying and structural factors affecting the lives and livelihoods of women, men, girls and boys, and addresses historical, current and emerging political, security, social, economic, disaster and environmental risks. As such the CCA needs to draw upon the expertise, information and knowledge across the development, peace and security, human rights and, where relevant, humanitarian pillars of the UN system. As the **joint analysis of the development context by the UN system**, the CCA will identifies the underlying structures and root causes of inequalities, vulnerability, human rights violations, and crisis.

At every step, the new CCA will be data-driven and build an **evidence-base** that is sensitive to dynamic changes, going from problem identification to data collection and analysis to forecasting. As such, it will need to look beyond official national statistics to draw on all sources of qualitative and quantitative data from across the data ecosystem, including primary research as appropriate, non-traditional data sources and emerging technologies to address gaps in reliability, disaggregation or timeliness.[8]

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[5] Tools such as forecasting and nowcasting rely on trends analysis of key data sets and underlying drivers to predict the future. For example: https://unstats.un.org/unsd/statcom/51st-session/side-events/documents/20200302-2L-DESA.pdf

[6] See: https://unsdg.un.org/resources/applying-foresight-and-alternative-futures-united-nations-development-assistance

[7] https://news.un.org/en/story/2017/01/549122-security-council-un-chief-guterres-makes-case-new-efforts-build-and-sustain

[8] Refer to the UN Secretary General's Strategy on Data (under development)

The Guiding Principles of the Cooperation Framework apply throughout the analysis. The mainstreaming matrix *(hyperlink to tool Guiding Principles Companion Piece mainstreaming matrix)* and specific tools outlined in this chapter provide more details.

In addition to being the foundation of the Cooperation Framework programming cycle, the CCA is also an up-to-date source of information on the country context for the whole UN system, informed by and feeding into senior leadership discussions on emerging issues, early warning and prevention (e.g., Regional Monthly Reviews[9]).

An integrated analysis approach identifies new ideas, overlooked obstacles, and it questions assumptions about underlying causal relations across interconnected dimensions of sustainable development. The CCA exercise can thus also open space for innovation and identify targeted learning opportunities, new technologies[10] or non-traditional partners.

Please note: With its heavy data emphasis, the CCA and the Cooperation Framework will shift onto a digital platform: by 2021, the CCA is envisioned to be part of the core functionality of UN Info, the online planning, implementation and monitoring platform of the UNSDG. DCO has already initiated the establishment of internal data portal *(link to portal once operationalised)* for UNCTs to access automated country analytics, data sources and a repository for sharing datasets.

MILESTONE: A CCA methodology and workplan are developed		
What Success Looks Like	**Roles**	**Key Resources**
• A shared vision, methodology and work plan is developed for the CCA that maps out expertise and resources required for the first report, periodic (at least annual) reviews, and use of the CCA for specific thematic work over the five-year implementation of the Cooperation Framework. • The workplan should be aligned with other country and regional level processes.	• RC and UNCT establish an interagency team that leads the CCA process. • UN regional and global assets deployed to support CCA work plan • Stakeholders share evidence and research	TOOLS: • Data Portal for data and analytical tools • Minimum Standards for Multi-Stakeholder Partnerships • Mainstreaming Matrix of Guiding Principles *(hyperlink to tool Guiding Principles Companion Piece mainstreaming matrix)* RESOURCES: • System-thinking • Foresight analysis (forthcoming) • Forecasting (forthcoming) EXAMPLES: TBD

The RC and UNCT establish an interagency team at the country level that leads the CCA process and is the penholder of analytical products and reports. This team can be composed of existing interagency mechanisms as appropriate, e.g., Programme Management, Results or Monitoring and Evaluation Groups, and the Operations Management Team. In complex contexts, the interagency team should include representatives of the humanitarian community (e.g., inter-cluster/sector coordination group,

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[9] The RMR is a mechanism for senior level discussions focused on early warning and prevention.
[10] See UN Secretary General's Strategy on New Technologies

clusters/sectors) and mission experts/planners. This team will lead the formulation of a CCA methodology and work-plan.

At the outset, the interagency team needs to facilitate consensus on the approach and tools for integrated analysis to be deployed by the UNCT. This will allow a more systematic and targeted evidence-building, data collection, and understanding of data gaps, as well as enhance analytical efficiencies. It avoids the difficulties associated with the current practice of UN entities submitting all available data, research and reports, leaving the analysis team to make sense of a huge volume of data. Such agreement will also help nudge the UNCT to think about operational capacity for support (collaboration or consolidation of operations in support of CCA), and training needs relating to systems thinking and integrated approaches.

This consensus should be captured in the CCA methodology and work-plan, which should determine the scope, analytical methodology and tools, participatory and inclusive stakeholder engagement, frequency of updates, resource requirements, validation criteria, the composition of the interagency technical team, and capacity development needs for the UNCT and relevant stakeholders in support of the CCA process.

The CCA is not expected to collect primary data or conduct analysis from scratch but draw on existing sources of evidence and research for its analysis. The methodology should therefore outline how the CCA will draw on and detail the existing sources of evidence and identify gaps and how these are to be addressed.

The methodology should specify how the CCA is linked to other country analyses undertaken by national institutions and development stakeholders, including but not limited to: IFI analysis on SDG financing; reviews and recommendations of human rights mechanisms; regional/cross-boundary assessments; and disaster risk profiles. In complex settings, the CCA must include humanitarian assessments (e.g. Humanitarian Needs Overviews) and joint strategic assessments (Integrated Strategic Frameworks) as applicable.

Please note: Beyond the standard resource allocation by DCO under the Special Purpose Trust Fund for the CCA and Cooperation Framework design process, the annual Coordination Fund allocation (*link to Advisory Note on Coordination Fund; shared by DCO with RCs in March 2019*) can be used to support additional joint analysis.

MILESTONE: Country Analysis Support is sourced from across the system		
What Success Looks Like	**Roles**	**Key Resources**
• Specific expertise sourced from across the UN system regardless of physical location, to complement the UNCT's own capacities.	• RC contacts DCO regional director to request additional specific expertise needed • DCO reaches out to entities at global and regional level • UN entities and inter-agency networks/technical teams contact the RC to offer analytical support • Interagency technical teams support RC and UNCT with SDG related data, information and statistics to enhance CCA	• DCO country dashboard *(hyperlink to DCO dashboard)* • DCO Data Portal (forthcoming) • Regional SDG Gateway *(hyperlink)*

	• PSG provides quality assurance, technical and process facilitation support at specific stages	

As the CCA reflects the UN's collective intelligence about the country context, it is important to ensure that all relevant expertise is available to support the exercise. Beyond the expertise available locally within the UNCT, the RC can request country analysis support for specific technical areas, including from specialised entities as well as humanitarian entities or political/peace operations departments. DCO will work with partners to facilitate a timely and appropriate response, pulling together capacities from across the UN system (individual agencies as well as inter-agency mechanisms). The Cooperation Framework dashboard and the mapping of inter-agency expertise *(DCO dashboard – forthcoming)* are useful resources for this process.

MILESTONE: An evidence base is established		
What Success Looks Like	**Roles**	**Key Resources**
• The UNCT has access to a range of updated reliable and disaggregated data on key quantitative and qualitative indicators. • New sources and means of gathering evidence are identified to address data gaps and an HRBA approach to data collection is applied. • Periodic refresh of CCA data is agreed as well as a mechanism for horizon scanning which feeds into regular discussions on the monitoring and reporting of the Cooperation Framework and joint workplans.	• Interagency team undertakes desk review and data collection in accordance with methodology and work plan • RCO maintains data in data portal; supports research team in coordinating stakeholder engagement, and in updating of analysis	• Multiple resources made available through the DCO Data Portal (forthcoming)[11] • Data from National Statistical Offices and other National Institutions • Unconventional data sources (social media, mobile, geospatial, etc.) EXAMPLES : • Kyrgyzstan: Vulnerability Atlas • Turkmenistan: micro-narratives approach to address data gaps • North Macedonia: sensemaking approaches • Mexico: consultation of vulnerable groups (all links to UNCT websites)

The interagency analysis team will start the process with an initial desk review of available data and analyses. To access data sets more readily, the desk review should take advantage of the DCO data portal that will include cross-pillar data sources and provide automatically generated data analytics. An obvious starting point is traditional data, especially official data sources obtained from National Statistics Offices.[12] Additional sources include UN thematic (national and regional) analysis, global and regional progress reports (e.g., Human Development Report, World Development Report; human rights, corruption, transparency, freedom of information), while drawing on local UN knowledge and lessons learned. As relevant, the CCA will draw on humanitarian data such as multi-sectoral needs assessments, vulnerability analysis and mapping, displacement tracking matrix, refugee data as well as data on conflict evolution, trends and dynamics.

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[11] This portal will include amongst other links to existing internal (UN) and external data sources

[12] Data on national SDGs indicators (National Statistics Offices; SDG Voluntary National Review reports), national and sub-national surveys (household, employment, Census, MICS, NHDS etc.), national and sub-national development strategies and plans, including sectoral plans.

Given the vast changes in the data landscape over the past decades, however, the UN system needs to broaden and innovate in terms of data from all sources, ranging from qualitative research (e.g., participatory action research and ethnographic approaches) to new data sources such as big data, crowd-sourced data, geospatial data and others in order to complement and enrich traditional data analysis.

CCA preparation offers a valuable opportunity to engage a diverse range of stakeholders and ensure an inclusive lens in the analysis, especially where data is poor or scarce. Primary research can provide crucial insights about, *inter alia*, gendered impacts, intersecting discriminations, geographic differences and overlooked resilience or vulnerabilities. Thus, the CCA should be able to identify unintended negative consequences of development policies and practices as well as patterns of exclusion and other risks that could potentially exacerbate conflict.

When engaging such stakeholders, the interagency team will apply the human rights-based approach to data collection[13] to ensure that consultation and participation mechanisms are meaningful and accessible to all groups, including safeguarding the consultative process of people with disabilities, linguistic minorities, illiterate people, slum dwellers, children and adolescents, and those who are socially marginalized or geographically isolated. Such processes can help strengthen relevant multi-stakeholder platforms at national and sub-national levels to enable meaningful participatory processes in efforts to achieve the 2030 Agenda.

Beyond the initial CCA report for the Cooperation Framework, the CCA must be kept up to date as agreed in the CCA workplan or with any major change in national circumstances (e.g., new political risks, changing human rights context, disasters, population displacements, etc.). At a minimum, it should be updated at least once annually. CCA data can serve many purposes, informing thematic reports, programme adaptation, vulnerability mapping, disaster risk assessment, and early warning systems. As such the UNCT may find it necessary to institute a practice of periodic 'horizon scanning' or trend analysis between annual refreshes in line with the practice around monitoring on the joint workplans and Cooperation Framework. The CCA should also map where data gaps remain or quality issues such as disaggregation and reliability exist in order to have a plan to address these through the future refresh of the database. Where relevant, CCA updates should also be informed by HNOs or Strategic Assessments, to maximise capacity and availability of information. Datasets should be uploaded and kept updated in the data portal.

MILESTONE: The CCA report is prepared, with a strong emphasis on integrated analysis.		
WHAT SUCCESS LOOKS LIKE	ROLES	KEY RESOURCES
• The CCA provides integrated SDG analysis, including joined-up cross-border, cross-sectoral and cross-pillar analysis of the country context for achievement of the SDGs.	• RC leads cross-team thinking and analysis • UN entities lead technical analytical exercises • Inter-agency team drafts report, supported by	• DCO Data Portal *(link to portal once operationalised)* • Quality criteria for CCA *(hyperlink to forthcoming Annex 8 in Cooperation Framework* • SDG Primer (document and online course)

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[13] Minimum Standards on Multi-Stakeholder Engagement and the Operational Guide on LNOB provide guidance on meaningful participation and consultation. HRBA to Data provides detailed guidance on participation, self-identification, transparency, privacy and accountability in data collection.

	additional country analysis support	- Companion Piece on Guiding Principles - UNSDG Operational Guidance on LNOB

One useful approach at this stage is to think through assessment (description of how things are) vis-à-vis analysis (examination of why things are the way they are). The **assessment** includes analysis of dimensions such as: (i) progress towards the 2030 Agenda and the SDGs; (ii) the SDG financing landscape; (iii) leaving no one behind; and (iv) multi-dimensional risks. The **analysis** emphasizes dimensions such as: (a) economic transformation, (b) social exclusion, (c) environment and climate change, (d) governance and institutional gaps, and (e) Humanitarian-Development-Peace collaboration. An overview is provided below, with links to the detailed description of relevant methodologies and tools.

Assessment

(i)   Progress towards 2030 Agenda and the SDGs

The CCA examines a country's progress towards the 2030 Agenda and the SDGs,[14] looking at the existing country situation, short, medium and long-term needs, vulnerabilities and risks. It looks at trends, including for those SDGs that seem to be static or regressing.

A starting point is official progress reports on the 17 SDG targets and indicators against national baselines. National baselines are available in most Voluntary National Review.[15] Drawing on all aspects of the 2030 Agenda (see graphic), the CCA also assesses completeness of follow-up and review (including existing reports and gaps in data and its disaggregation and the applied partnerships and means of implementation. (*UNSDG Foundational Primer on the 2030 Agenda offers a detailed overview of the 2030 Agenda and its implications for sustainable development*)

THE 2030 AGENDA

VISION
— & —
PRINCIPLES
Reflected in declaration

RESULTS FRAMEWORK
Sustainable Development Goals

Global Partnership Means of Implementation (MoIs)
IMPLEMENTATION

FOLLOW-UP & REVIEW

At the same time, it is critical to go beyond goal-by-goal analysis and look at **SDG integration**. The ambitious 2030 vision of sustainable and inclusive development demands a broad and integrated approach to answering the biggest and most complex challenges of the 21st century, across a multitude of sectors and actors. Considering integration at each step in the Cooperation Framework programming process will help UNCTs stay on course to deliver solutions that take a whole-of-society and whole-of-government approach to development,   acknowledging the interlinkages and tradeoffs across the economic, social and environmental dimensions of development, ensuring that no one is left behind.

In this respect, it is useful to recall the key parameters of integration as articulated in the UN System-wide Strategic Document:[16]

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[14] A/RES/70/1 – Transforming our world: the 2030 Agenda for Sustainable Development
[15] See data portal for access
[16] United Nations System-Wide Strategic Document (SWSD) (June 2019),

- Integration <u>brings together development expertise from across the system</u>, across all levels[17]. The Cooperation Framework helps bring together such collective analysis and response, for a specific SDG and across SDGs.
- Integration includes <u>cross-pillar connections</u>: continuing efforts to make the pillars of the UN system come together even more effectively to support national and regional prevention, resilience and risk reduction efforts, recognizing that transformative development is needed to address the root causes of crises. This means more joint analysis, and greater focus of efforts towards shared and collective outcomes. "
- <u>Integration is addressed in each part of the Cooperation Framework process</u>: (i) The CCA will identify the gaps, connections, synergies and potential trade-offs between SDGs, considering the social, economic and environmental dimensions of sustainable development, as well as international norms and standards and the principles of the Charter; (ii) Policy advice include options for sequencing, convergence and integration of SDG efforts in national policy, budget and integrated financing frameworks, with due consideration given to gender perspectives and those lagging behind; and (iii) It will be operationalized through 'whole of response' approaches, linking data/evidence to policy options, financing models, partnerships, and implementation solutions to ensure sustainability of responses.
- Integration <u>links country-level analysis with regional dimensions</u>, to make positive use of cross-border and regional assets.
- Integration <u>links country-level analysis to global and regional normative and policy agendas</u> in line with the Guiding Principles *(hyperlink to companion piece on Guiding Principles)*. This includes a focus on: shared data and analytics; advocacy on SDG progress; alignment of operational work with international norms and standards; coalitions for SDG financing at scale; sharing of good practice on integrated cross sector solutions at scale.

For the application of **a comprehensive and integrated lens for the CCA**, it must identify the gaps, connections, synergies and potential trade-offs among SDGs, across the social, economic and environmental dimensions of sustainable development. This includes an analysis of interlinked sustainable development challenges and opportunities, across a breadth of thematic or sectoral issues (i.e., across multiple SDGs) and deep-rooted or structurally entrenched challenges (e.g., climate change; entrenched and systemic inequalities, protracted conflict; urbanization, comprehensive response to pandemics; human mobility.)[18] Incorporating such analysis into CCAs is critical to respond to complexity in sustainable development, including through non-linear and iterative approaches to development planning and implementation. An integrated approach will also enable UNCTs to better leverage the full breadth and depth of development expertise across the system.[19]

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[17] The SWSD notes that "in line with General Assembly Resolution 72/279 (para 32), which calls on UNDP to be '…the support platform of the UN development system providing an integrator function in support of countries in their efforts to realize the 2030 Agenda', the UN development system can furthermore rely on UNDP in assisting the RC and UNCT to deliver an integrated and multi-dimensional approach to the SDGs using country platforms as well other tools. For instance, UNDP has led the application of the UNSDG Mainstreaming, Acceleration and Policy Support (MAPS) approach to a large number of country contexts.

[18] See also: https://sdgintegration.undp.org

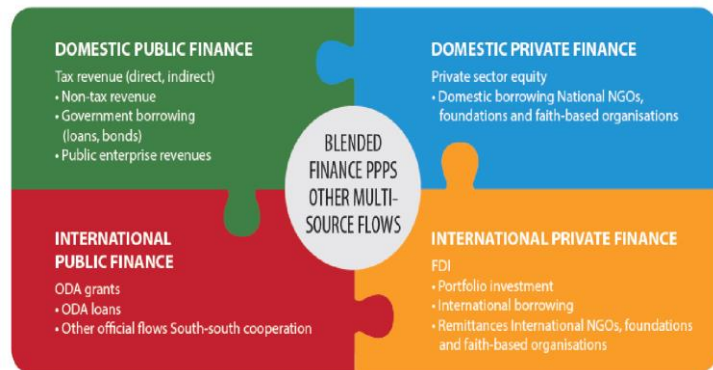[19] UN integrated policy and programming resources and processes include cross-disciplinary UNCT working groups, MAPS engagements, joint programming, emerging UNDP integrator platforms and regional-level issue-based coalitions, each enabling the UN to provide more concrete and longer-term integrated support packages for countries.

(ii)   SDG Financing Landscape

Given the estimated $3-5 trillion of financial investments required to achieve the SDGs, the CCA needs to assess the SDG financing landscape, i.e., identify and examine all significant financing flows – public and private, domestic and international - and determine the extent to which these can contribute to and align with the SDGs *(see Companion Piece on Financing SDGs and Funding the Cooperation Framework for a more comprehensive overview of these issues as well as detailed methodological guidance).* This is in line with the Addis Ababa Action Agenda's call for "nationally owned sustainable development strategies, supported by integrated financing frameworks"[20] that help governments mobilize and align all sources of finance to implement national plans to achieve the SDGs.

Understanding the financial landscape starts with mapping the volume, mix, duration and sequencing of finances by source, namely international, domestic, private and public as well as their alignment with national development strategies or SDG plans where they exist. It then identifies barriers to mobilizing financing and new financing sources/instruments; and targets SDG financing flows for populations vulnerable to being left behind.

DOMESTIC PUBLIC FINANCE
Tax revenue (direct, indirect)
• Non-tax revenue
• Government borrowing (loans, bonds)
• Public enterprise revenues

DOMESTIC PRIVATE FINANCE
Private sector equity
• Domestic borrowing National NGOs, foundations and faith-based organisations

BLENDED FINANCE PPPS OTHER MULTI-SOURCE FLOWS

INTERNATIONAL PUBLIC FINANCE
ODA grants
• ODA loans
• Other official flows South-south cooperation

INTERNATIONAL PRIVATE FINANCE
FDI
• Portfolio investment
• International borrowing
• Remittances International NGOs, foundations and faith-based organisations

Experience from over 50 interagency MAPS country engagements[21] shows that support SDG financing and financing national development priorities is one of the most consistent areas of demand. These typically help provide an appraisal of financing options and challenges at the country level, including through Development Finance Assessments (DFAs), identifying entry points for SDG support through budget reform, private sector initiatives, public private partnership and aid flows. An emerging area now is on developing Integrated Financing Frameworks (INFF)[22], which will enable countries to explore the mix of financing instruments available that can be leveraged in support of critical growth sectors and strategies for attracting financing.

(iii)   Leaving no one behind, Human Rights, Gender Equality and Women's Empowerment

The CCA must place specific attention on the most vulnerable populations and the factors affecting their capacity to claim their rights and benefit from the country's development gains. It includes a rights-based analysis of root causes and drivers, and a multidimensional analysis of interconnected risks driving people's vulnerability.

Beyond identifying and mapping relevant international human rights obligations and commitments, the CCA will consider the linkages between development challenges and the human rights and gender situation in the country, leveraging data, trends and recommendations from UN human rights mechanisms and National Human Rights Institutions. The **human rights-based approach** formulates development challenges as human rights issues and is essential for identifying root and underlying causes

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[20] https://www.un.org/sustainabledevelopment/financing-for-development/
[21] https://unsdg.un.org/resources/maps-mainstreaming-acceleration-and-policy-support-2030-agenda
[22] https://developmentfinance.un.org/2019-integrated-national-financing-frameworks-sustainable-development

of development challenges and the non-fulfilment of rights. It places people at the centre, identifying rights holders and corresponding duty bearers and their obligations for each key development challenge. For each development challenge, it identifies the capacities of people as rights holders to claim their rights as well as of governments and institutions as duty bearers to fulfil their obligations and ensure inclusive sustainable development (capacity gap analysis). This must include in-depth **gender analysis** on the structural causes of gender inequality and discrimination, using sex-disaggregated, gender-sensitive data, and assessing women's empowerment.

The UNSDG Operational Guidance on Leaving No One Behind offers RC and UNCTs a framework to examine sustainable development, the environment, human rights, gender equality and women's empowerment, and the shift from response to preparedness and risk mitigation. It will identify who is being left behind and likely to be furthest left behind, in what ways, and how this might change in the future because of gender-based discrimination, spatial inequality, and multiple deprivations, disadvantages and discrimination. In this way, the framework captures **intersectionality**, the manifestation of multiple types of inequality and discrimination, and how these reinforce exclusion.

At the intersection of factors, people face multiple, reinforcing sources of deprivation and inequalities, making them more likely to be left behind

DISCRIMINATION

GEOGRAPHY

VULNERABILITY TO SHOCKS

SOCIO-ECONOMIC STATUS

GOVERNANCE

The exclusion frameworks present significant **challenges to data collection**. These will require data that are disaggregated by gender, race, ethnicity, class, age, disability, religion, language, caste, national or social origin, sexual orientation and gender identity and other forms of discrimination prohibited by international law. They will also necessitate consulting marginalized people in transparent, participatory and meaningful ways to ensure voice and agency.

(iv)   Multi-dimensional Risks

Applying a multi-dimensional SDG-based Risk Framework *(hyperlink to **Annex 7** Cooperation Package Companion Piece Consolidated Annexes)*, plus considerations of economic and financial risks, the CCA should examine the probability, impact and priority of existing, emerging and future risks on a country's development trajectory, particularly its impact on those furthest left behind. This should point to challenges and opportunities with regards to early warning and prevention. Being used as the analytical framework for the Regional Monthly Reviews, a risk informed CCA feeds into and is informed by senior leadership discussions on emerging issues, early warning and prevention. As each risk dimension is assessed, there should be consideration of its scope and potential impact on existing vulnerable groups as well on people made vulnerable through crisis. In addition, it will be useful to map the roles and capacities of actors working in or across the development, humanitarian, human rights and peace domains. High quality CCAs should include early warning indicators and innovative data sources to inform UN and government preparedness while undertaking horizon scanning for resilience and adaptative practices.

Where available, the CCA can draw upon the HNO to get information on the disaggregated populations in need as well as underlying and structural factors affecting the lives and livelihoods of all people, causes and drivers of crises and vulnerability; and entry points to anticipate, prevent and mitigate risks.

Analysis

(i)   Economic Transformation

The 2030 Agenda calls on countries to reframe economic policies and practices for inclusive, diversified and job-intensive economic transformation that leaves no one behind, protects the planet and strengthens the ecological foundations of economies. Economic *transformation is understood here to comprise "fundamental changes in the economy that raise the overall productivity level while ensuring adequate quantity and quality of employment, equitable distribution of income and wealth, and access to quality public services, and protection of environment."* (For a more comprehensive understanding of the topic, please consult the Cooperation Framework [Companion Piece on Economic Transformation](#)).

The challenges to sustaining economic performance should be understood and addressed in specific country contexts against a fast-changing and uncertain backdrop of shocks and fluctuations, crime, conflict, and climate related risks that threaten hard-won development gains. Getting onto a sustainable development trajectory implies often fundamental changes to the economy. The CCA will therefore assess potential for economic transformation that raise overall productivity and, at the same time, address inclusivity and sustainability, including: adequate and quality employment, equitable distribution of income and wealth, access to quality public services for all, protection of the environment, responding to the challenges of climate change, and integrating disaster risk reduction and the wider prevention agenda.

In integrating social, environmental and economic objectives, economic transformation will require a departure from past practices in production and consumption. It will involve upholding commitments to the [Guiding Principles](#). And moving towards valuing ecosystems and embracing new technologies and behaviours that sustain low-carbon and resource- and energy-efficient growth.

As such, the CCA will address the linkages between macroeconomic and structural policies and economic resilience as well as the impact of national and international policies and public spending with respect to maximizing available resources for social, environmental and economic outcomes. These include social protection, investments in quality health, education and other public services, and redistribution to reduce vulnerability and inequalities and bolster individual resilience. The CCA will also embrace a prevention and forward-looking focus, identifying investments and enabling factors to improve income distribution, integrate entrepreneurship of the informal sector to industry and services, increase diversification of agriculture, industry and service sectors, strengthen production capabilities (skills, technologies, management and infrastructure), and prevent economic crime. And it will prioritize gender equality and women's economic empowerment, valuing non-monetized economic activities such as unpaid care work, community and volunteer work, and informal labour and accessibility while addressing externalities in the provision of essential services to all, including women and girls.

The key steps include the following: assessment of the global and regional context, economic cycles, and latest trends and emerging issues; review of relevant strategic documents, policies, data, selected indicators and previously undertaken analyses; and identification of critical challenges and opportunities. This will inform the identification of selected forward-looking priorities.

At the same time, it is essential to include a **political economic analysis**[23] to help countries assess the trade-offs that are inevitably part of attempts to transform their economies, making visible the early identification of potential winners and losers of economic transformation. Analysis of this kind contributes to an understanding of motives and influence of various economic and political actors while building foresight around policies and institutions to ensure transitions are just and leave no one behind. It will examine the relationship between global and regional economic governance architecture, trade regimes, foreign direct investment, as well as vulnerabilities and risks to financial crisis. And at country level, legal/policy regulatory frameworks, provision of services, poverty eradication, financialization, liberalization, deregulation, and monopolistic tendencies.

The CCA should interrogate contemporary power relations from the perspective of historical patterns of distribution in land, natural resources and capital, where appropriate considering the legacy of colonial and post-colonial periods. It also analyses political economy geographically by mapping the spatial distribution of population and poverty, by examining urbanization, infrastructure investment, city networks, and rural-urban linkages, and, at regional level, levels of industrialization by analysing land-locked countries and nations with direct access to sea-based trade. Importantly, the CCA will consider the state of labour rights, the capacity and autonomy of trade unions and other forms of organized labour, as well as the participation of women and youth in the labour market, access of refugees and other displaced populations to labour markets the informal sector and its integration into regulated industry and services, decent work, and the nature of explicit and implied nature of the social contract.

(ii)   Social Exclusion
The CCA must necessarily include an exclusion analysis to identify the underlying social structure impede equitable development and identify possible shifts and openings for catalyzing social change to enable more inclusive and sustainable development. Importantly, the CCA will help to ensure UN engagement in the country reinforces positive trends and avoids unintentionally exacerbating latent conflicts of patterns of inequality and exclusion or fuel the dynamics that perpetuate them (e.g., do no harm).

As such, the CCA identifies the main social groupings and historical hierarchies in the country (ethnic, geographic, gender, migration status, disability status, etc.) and patterns of discrimination or exclusion of particular social groups (on the basis of gender, age, ethnic or religious group, disability, indigenous identity, religion, language, caste, national or social origin, etc.). It will consider the ways these are enshrined in the discriminatory laws, customs, traditions, norms, institutions, policies and social practices. The CCA then reviews the laws and norms that aim to promote equality and non-discrimination (e.g., special measures to reverse patterns of exclusion and discrimination); and stigmatization or criminalization of specific social groups (e.g., ethnic groups, minorities, LGBTI, migrants, persons with disabilities, homeless people). And patterns of social conflict and risks of declining social cohesion, forms of spatial exclusion and how exclusion is magnified by physical segregation of regions, neighborhoods and slums. To learn more, see Social Exclusion Analysis *(hyperlink to Social Exclusion Annex of CCA Companion Piece)*.

(iii)   Environment and Climate Change[24]
Current production and consumption practices threaten the environment and biodiversity, while also exacerbating climate change – and with it, any prospects for advancing the social, environmental and economic objectives of the 2030. This is as true for post-industrial societies as it is for emerging and low-

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[23] Link to consolidated annex 5 which provides a step by step explanation on how to conduct this.
[24] Link to consolidated annex 5 which provides a step by step explanation on how to conduct this.

income countries, and small island developing nations. Environmental analysis together with a specific focus on mitigating and adapting to the effects of climate change offer insights into the underlying causes of ecological degradation and climate change that can inform understanding of prospective pathways toward sustainability.

The CCA will assess barriers to sustainable management of water, forests, land, and other natural resources, and obstacles to the reduction of waste and other residuals that enter the natural environment, and the protection of ecosystems and biodiversity. And it will identify factors that exacerbate conflicts over management of natural resources and the vulnerability of people to disasters. It examines the causes and negative impacts of climate change on water scarcity, natural hazards, pollution and environmental and resource degradation. Attention will be given to transboundary environmental concerns, including the diverse impacts of climate change and environmental degradation, particularly on the human rights and socially marginalized groups. The critical inquiry of environmental sustainability will also assess the evolution of national environmental norms, regulations policies, and protections and how these have impacted on society.

The CCA identifies pathways for transition towards an inclusive green economy based on principles of circularity, i.e., an economic system aimed at eliminating waste and the continual use of resources. Towards this end, the CCA considers economic models, natural resource use and depletion, dependency on fossil fuels and subsides, the quality of ecosystem services, and the generation of waste and other residuals (e.g., emissions, waste, chemicals, water pollution). The analysis will conclude by highlighting policies, strategies, tools and measures for promoting sustained, inclusive, and sustainable economic growth while staying within ecological limits, making sure to identify gaps in implementation such as ability of the State to use data for evidenced-based policy making.

(iv)   Governance and Institutional Capacity[25]
While peace, justice and strong institutions, is one goal (SDG16), it is the glue that binds all the SDGs. Yet how durable are the State and government institutions? How autonomous are local governments? What is the nature of State-society relations? And what are the historical antecedents that have given rise to the current governance structures and institutional capacities? The governance and institutional capacity analysis considers these and related questions to inform our understanding of SDG performance, commitment to leave no one behind, multidimensional risk and prevention, and the viability of pathways to inclusive, environmental economic development.

In applying the analysis, the CCA will examine the state of democratic governance as regards effective representation, participation and inclusion, accountability and rule of law, and equality and non-discrimination. It will consider the political and institutional structure of the country in terms of the legal, the role of parliament in providing effective legislation, representation, and oversight, and the regulatory frameworks governing state/society relations and checks and balances between different arms of government. It will analyse the devolution of public administration, the nature of central/local government dialogue, the capacity of local government to implement policy and provide services, and the quality and independence of the civil service at all levels.

Equally important, the CCA will examine the channels for participation that are indispensable for public trust and the ability of the State to address grievances and manage conflicts in a non-violent manner. It will analyse human rights and access to justice particularly for the marginalized and vulnerable, as well as

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[25] Link to consolidated annex 5 which provides a step by step explanation on how to conduct this.

mechanisms and protections available for legal representation. It will consider meaningful participation and engagement as part of the social contract, including the degree to which people have access to relevant information, can express their views online and offline without fear of reprisal, and are able to seek remedies when their rights are violated.

The CCA will assess transparency and integrity mechanisms, and key elements to reduce corruption risks. Regarding data quality and availability, the CCA will analyse the commitment of the State to develop policy that is informed by evidence and independent statistical systems. It will examine the capacity of State and non-State actors at all levels, to implement the SDGs and corresponding obligations under international law, including the commitment to leave no one behind.

(v)   Prevention and Humanitarian-Development-Peace Collaboration[26]

In today's world, there are few countries that are untouched by social, political and economic crisis, disasters, conflict, or public health emergencies. To preserve gains against poverty and inequality, all countries must become more vigilant in identifying, monitoring, and preparing for a wide variety of risks. The Secretary-General has made crisis prevention a priority, noting that the UN needs to be "*doing everything we can to help countries avert the outbreak of crises that take a high toll on humanity undermining institutions and capacities to achieve peace and development.*"[27]

Prevention is a shared but differentiated responsibility of all UN actors across the system and at country level. A comprehensive **whole-of-system understanding of and response to underlying causes of risks, vulnerabilities and needs** is required to prevent crisis, particularly in contexts with UN peacekeeping, special political missions or large-scale humanitarian operations underway. Through a cross-pillar approach, the CCA should analyse: (i) multi-dimensional risks, including (potential) disruptors of peace, current and emerging climate and disaster risk and how different communities and population groups are affected differently; (ii) early warning and early action to reduce the humanitarian impact of disasters; and (iii) platforms and coalitions to galvanize action.

The CCA Report should include a summary of the main findings of the analysis. UNCTs may consider highlighting the top ten challenges and opportunities that can serve as a basis for the design of the Cooperation Framework.

MILESTONE: Quality assurance of the draft CCA report is undertaken		
What Success Looks Like	**Roles**	**Key Resources**
• The regional UN development system endorses the CCA report as a high-quality analysis of a country's SDG context	• RC submits to PSG via DCO Regional Director • PSG reviews and provides feedback • UNCT integrates feedback • The RC and UNCT share, as appropriate, with the government and other key stakeholders who participated in the CCA preparation. This can be done through a multi-stakeholder workshop or formal launch. • RC publishes and disseminates CCA, including through UN Info and the UNCT website.	EXAMPLES: • Papua New Guinea: CCA Infographic *(hyperlink to UNCT website)*

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[26] For more information see *Companion Piece on Humanitarian – Development – Peace collaboration*

[27] https://www.un.org/en/chronicle/article/meeting-prevention-challenge

	• UNCT updates data and analysis at least annually, or as needed.	

The CCA report developed under as part of the Cooperation Framework elaboration will be submitted for quality review to the regional level. The PSG (chaired by the Regional DCO Director) will review the draft against [quality criteria](#) and [checklists.](#) The PSG provides feedback on areas of improvement, particularly focusing on the inclusion of cross-border, regional and sub-regional issues. Best practice is for the UNCT to respond to feedback by providing a memo on actions taken to address the quality concerns raised, which will be part of the documentation of future quality reviews that are undertaken during the programme cycle (as mutually agreed by the UNCT and the PSG, as well as whenever there are significant changes to the country context).

At any point in time, the UN system should be able to obtain an up-to-date view of the country context in all its sustainable development dimensions through the data portal. Accordingly, the UNCT will be responsible for updating the data and analysis at least annually, or when needed.

The CCA is made public by the RC and UNCT and included into UN Info and the UNCT website. A formal launch of the main findings of the CCA with government and stakeholders involved in the process is an important opportunity to share the CCA, have it validated by stakeholders, and do advocacy around the 2030 Agenda.

> **Tips for success:**
> - When addressing issues relating to human rights and the exclusion of vulnerable groups, leverage available data and analysis from human rights mechanisms and processes, including the Universal Periodic Review.
> - In addition to engaging government and stakeholders in preparation, present and discuss the draft findings with the key stakeholders to facilitate buy-in.
> - Present the final analysis to key stakeholders. This can be done through a multi-stakeholder workshop.
> - Consider a formal launch – ideally jointly with the Government and other stakeholders – of the CCA Report.
> - In addition to the typical CCA report, additional products can help make the information more accessible (e.g., a dashboard or set of infographics)

CHAPTER 3: COOPERATION FRAMEWORK DESIGN

The BIG Idea: A Cooperation Framework is prepared that articulates the UN development system's collaboration with the country to achieve the 2030 Agenda

The focus at this stage is to prioritize the challenges and opportunities identified in the CCA and translate them into a Cooperation Framework agreed with government. This requires the UNCT, government and other stakeholders to make deliberate choices and zoom in on the areas with the greatest potential for transformative and inclusive development and speak to the comparative advantage of the UN development system. This prioritization exercise applies a [Theory of Change](28) approach and reflects the value proposition of the UN development system in relation to all other development actors. (Refer to this [mainstreaming matrix](#) *(hyperlink to tool Guiding Principles Companion Piece mainstreaming matrix)* to guide the integration of the [Guiding Principles](#) during this step). The UN's contribution to agreed priorities are subsequently translated into the Results Framework.

Prioritization is:
1. A process: not limited to a workshop or prioritization retreat but built through a series of dialogues and consultation processes.
2. Participatory and inclusive: co-led by the RC and the coordinating government entity, and with full engagement of the UN development system – regardless of physical presence in the country – and government departments, the process should involve a broad range of stakeholders[29] from national to local levels, such as communities, civil society organizations, private sector, academia, parliament, IFIs, national human rights institutions, international NGOs, media, labour unions and other relevant parties. The process should place emphasis on involving representatives of those left behind or at risk of being left behind. Where applicable, it should also involve humanitarian partners, as well as UN Peacekeeping and Special Political Missions.
3. Iterative: Prioritization may require testing, re-considering and changing priorities throughout the process, based on the various criteria outlined in this chapter.

MILESTONE: Catalytic development solutions for the country's SDG achievement are identified		
What Success Looks Like	**Roles**	**Key Resources**
• Government, UNCT and other stakeholders jointly identify the most critical (3-5) catalytic development solutions for 2030 that the UN is best placed to support, considering the role of other actors.	• RC and government co-lead the process • UN entities and Government proactively involve stakeholders • The RC identifies and reaches out to regional DCO for additional needed technical expertise from across the UN development system as identified by the UNCT	TOOLS: • Prioritization matrix to identify SDG catalytic development solutions *(hyperlink to tool in Annex 10 in Cooperation Framework Companion Package Consolidated Annexes).* • Prioritization matrix to assess UN's value proposition against catalytic development

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[28] Refer to Companion Piece of [Programme Design and Management](#)
[29] See [Minimum standards for multi-stakeholder involvement](#)

	• DCO Regional Director facilitates engagement with relevant entities	solutions *(hyperlink to tool in Annex 11 in Cooperation Framework Companion Package Consolidated Annexes)* • Comparative advantage analysis *(hyperlink to tool in Annex 12 in Cooperation Framework Companion Package Consolidated Annexes)* • SDG Acceleration and Bottleneck Assessment • *(hyperlink to tool in Annex 13 in Cooperation Framework Companion Package Consolidated Annexes)* • Drivers of Change Analysis *(hyperlink to tool in Annex 14 in Cooperation Framework Companion Package Consolidated Annexes)* • Guiding Principles RESOURCES: • Minimum standards for multi-stakeholder involvement

The prioritization process consists of three iterative steps:

(1) Review group challenges and opportunities identified in the CCA from an integrated, systems perspective. This helps focus the dialogue and reflection among the UNCT, the government and other stakeholders on the country context and critical challenges and opportunities to be addressed. It creates an appreciation for the country context and serves as an advocacy platform on critical priority issues for advancing the 2030 Agenda in the country.

(2) Identify key catalytic development solutions to achieve the SDGs in country, considering the Guiding Principles. This enables the joint identification of the top 5-10 development interventions with the greatest ripple effect (integrated across multiple SDGs/dimensions) for the country, using various tools (e.g., prioritization matrices (*link to tool in Annex 9 in Cooperation Framework Companion Package Consolidated Annexes Guiding Principles Companion Piece*).

(3) Narrow down to those development solutions that the UN is best placed to support, both through direct action and through leveraging other stakeholders. This will yield 3-5 development solutions applying two additional criteria: UN comparative advantage and value proposition in relation to other partners; and convergence with government priorities, including their budgetary frameworks. The above components should be Informed by the findings of evaluations and lessons learned during the previous programme cycle, as well as the CCA, particularly the latter's assessment of national priorities, including budgetary frameworks, and stakeholder capacities *(link to tool forthcoming)*.

In [complex settings](#) *(link to Companion Piece on HDP collaboration)*, humanitarian, development and peace actors should work simultaneously to identify collective priority areas. This can provide a common vision that bridges short-term assistance, medium-term outcomes and long-term development programming and peacebuilding objectives to incrementally contribute to achieve the SDGs.

Tips for Success!
- Ensure there is strong government engagement and agree on how to co-lead the consultation process.
- Proactively involve a wide range of national and international stakeholders in the prioritisation process, creating space for active and meaningful engagement, including for the most vulnerable groups.
- In scheduling consultations, be mindful of costs, risks (including protection of vulnerable groups) and potential consultation fatigue (e.g. risks and costs for women from rural areas to attend consultations).
- Use online tools to the fullest extent to minimize the cost of participation for all stakeholders.
- Look beyond the existing UNCT in country. Reach out to UN entities from across the development system and beyond, including humanitarian UN entities. Check the offerings of UN entities that have not traditionally been part of the UNCT to identify those with necessary expertise to support the prioritization. Offer the possibility of virtual participation for such entities.
- Ensure a unified UN voice ahead of engagement with stakeholders. Contradictory or competing messages can have serious reputational implications for the entire UNCT and the Cooperation Framework.
- Engage with some groups of stakeholders in separate discussions as appropriate. Wherever possible, aim at reaching consensus with everyone in the same room.
- Share relevant documents prior to any consultations, including the roadmap, CCA findings and information about the prioritisation process and tools.
- Document and communicate the discussions and agreements at each step of the process.
- Refine and communicate the process timeline based on stakeholder dialogues.
- Ensure adequate facilitation and communication (including language) during dialogues.

MILESTONE: A Theory of Change is prepared: moving from prioritized catalytic development solutions to determining UN contributions

What Success Looks Like	Roles	Key Resources
● The CCA is kept as the analytical foundation for the theory of change. ● For each of the 3-5 catalytic development solutions, the UNCT identifies desired development changes and pathways of change, with a focus on greatest possible impact for SDG achievement in the country. ● The UNCT jointly develops, agrees upon and facilitates ownership of the theory of change by Government and relevant stakeholders. ● The process involves and reflects the needs of the most vulnerable and marginalized individuals and groups in society. ● The roles and capacities of all relevant stakeholders vis-à-vis the change pathways are mapped and understood, including those of all relevant duty-	● RC and Government department co-lead and coordinate Theory of Change dialogue process ● RC and UNCT incorporate CCA findings into the dialogue with partners. ● UNCT and Government departments involve relevant stakeholders as part of the consultation process ● RC and UNCT document discussions and emerging Theory of Change and maintain stakeholders fully Informed and involved.	TOOLS: • Theory of Change • [Process Map](#) *(hyperlink to tool in **Annex X** in Cooperation Framework Companion Package Consolidated Annexes)* • [Bottleneck analysis](#) *(hyperlink to forthcoming tool in **Annex 15** in Cooperation Framework Companion Package Consolidated Annexes)* • [Comparative advantage analysis](#) *(hyperlink to forthcoming tool in **Annex 12** in Cooperation Framework Companion Package Consolidated Annexes)* • [Forcefield analysis](#) *(hyperlink to forthcoming tool in **Annex 16** in Cooperation Framework Companion Package Consolidated Annexes)* • [Stakeholder analysis](#) *(hyperlink to forthcoming tool in **Annex 17** in*

bearers to fulfil their obligations and rights holders to claim their rights. ● The strategic contribution of the UN development system to the catalytic development solutions is clearly identified and agreed upon amongst stakeholders.		*Cooperation Framework Companion Package Consolidated Annexes)* ● Capacity Gap Analysis *(hyperlink to forthcoming tool in **Annex 18** in Cooperation Framework Companion Package Consolidated Annexes)* ● Refining development pathways *(hyperlink to forthcoming tool in **Annex** in Cooperation Framework Companion Package Consolidated Annexes)* ● Causality analysis *(hyperlink to forthcoming tool in **Annex 19** in Cooperation Framework Companion Package Consolidated Annexes)* ● Fishbone frameworks *(hyperlink to forthcoming tool in **Annex 20** in Cooperation Framework Companion Package Consolidated Annexes)* ● Problem or driver trees *(hyperlink to tool in **Annex 21** in Cooperation Framework Companion Package Consolidated Annexes)* TEMPLATES ● Theory of Change diagram *(hyperlink to tool in **Annex 23** in Cooperation Framework Companion Package Consolidated Annexes)* RESOURCES: ● An Introduction to Theory of Change ● Theory of Change Thinking in Practice ● Theory of Change in International Development ● Review of the use of 'Theory of Change' in international development ● Creating Your Theory of Change NPC's Practical Guide ● Theory of Change: UN-SWAP - Reporting of System-wide Strategic Gender-related Results to support the 2030 Agenda ● Theory of Change: UN-SWAP - FAQs ● Prevention Agenda ● Human Rights Up Front Action Plan EXAMPLES: TBD

Theory of Change

A Theory of Change is a process of reflection to explore change and how it happens. For the Cooperation Framework, the Theory of Change translates the identified catalytic development solutions into pathways of change, and maps the UN's contribution in each area. It outlines how the interaction and layout of events is expected to lead to desired SDG results and the role of different actors in the process.

The Theory of Change process engages government, relevant stakeholders and the UNCT in a change dialogue to articulate a unified vision towards and communicate how the country will achieve the ambitions of the 2030 Agenda. Engaging political and technical actors in the change dialogue ensures the Theory of Change is the product of critical reflection, based on the best available evidence, and jointly owned by all. The participatory process enables the government, UNCT and other stakeholders to identify and map actors' mandates and interventions against the desired changes.

These pathways are not static. This means that in a constantly changing country context, the Theory of Change needs to be revisited regularly and – based on continuous learning - adjusted as necessary.

Designing a Theory of Change process

There is no single 'correct' approach to a Theory of Change process; rather, a selection of tools can be considered and combined to suit the context. In general, a sTheory of Change process for the Cooperation Framework consists of four key elements:

1. Determining desired changes by 2030 for each identified solution and determine change pathways and drivers of change, making explicit underlying assumptions;
2. Communicating the collective view of the pathway for change in a simple and concise manner;
3. Identifying the potential changes, the UN can meaningfully contribute to, in the context of the larger development ecosystem;
4. Periodic review of the validity of the Theory of Change to allow adaptive and flexible programming especially through joint workplans.

For each of the previously identified solutions, a desired change to be achieved by 2030 must be determined, and change pathways identified. While this will be largely based on the CCA, more detailed additional analysis specific to each solution may be required at this stage. For each prioritized solution, this step should:

- Map the change pathways to reach the desired development change in 2030;
- Identify actors who can influence (positively and negatively) and/or are affected by these changes;
- Identify the required conditions (i.e., assumptions) for these development changes to happen;
- Identify the risks and factors that may change those assumptions and determine how this changes the identified pathways;
- Identify where the UN can bring value-added, reflecting on its evolving role through 2030;
- Review lessons from the past (e.g., evaluations from previous programme cycle) to Inform the process.

The assumptions and the role of stakeholders will be affected by changes in the country context. Change pathways and identified interventions are therefore not static but need to respond in an agile manner. The Theory of Change therefore needs to be Informed by the multi-dimensional risk analysis in the CCA (*hyperlink to tool in **Annex 6** in Cooperation Framework Companion Package Consolidated Annexes*).

The questions to consider when determining the change pathways include:
- What has been achieved so far?

- What are success factors and constraints? How can we integrate them to maximise success and address constraints?
- What are the institutional, social, behavioural or legislative/policy changes that would need to happen in order to reach the desired development change?
- What are the changes in knowledge of individuals or institutions, capacities and skills, or services that would need to happen in order to reach the desired development change?
- What are the required conditions (i.e., assumptions) for development change? Based on what evidence are we making these assumptions?
- What are the critical risks to realising the Theory of Change?
- Who can make each development change happen?
- What is the role of the different stakeholders? How do they and should they work?
- What is the capacity and willingness of different actors to contribute to the change?
- Who is currently not involved in the change but should be?
- In what ways can the UN best contribute to the change?
- In complex contexts and humanitarian settings, have collective change pathways been articulated to reduce need, risk and vulnerability?

The UN development system, led by the RC and in consultation with the government and other stakeholders, will now identify those changes the UN can most strategically contribute to, either through direct action or as a catalyst. This will require the UN to make strategic choices where (not) to work, and whom to partner with to collectively make the desired development change happen.

A visual representation (*hyperlink to template in **Annex 23** in Cooperation Framework Companion Package Consolidated Annexes)* of the Theory of Change should be produced for each catalytic development solution, accompanied by a narrative. The narrative should be concise, often expressed as "if… then…because" statements, capture the implications of interlinkages among the various changes and the areas of comparative UN advantage.

The visualization and narrative can support advocacy, strategic partnership development, and collective accountability for results. They will also serve as a basis for revisiting the Theory of Change and for future evaluations. This should be done as part of the Results Groups' engagement through Joint Work Plans, and feed into and be documented as part of the annual performance review of the Cooperation Framework, and/or when significant changes to the country context require so.

Tips for success:

- Refer to various sources -- CCA, national development and sectoral plans, other relevant research and sources as relevant -for each of the prioritized solutions.
- Undertake preparatory work to ensure a unified value proposition for the multi-stakeholder discussions.
- Involve stakeholders early on and throughout the process, not only to validate an already prepared theory of change but also to facilitate a common understanding and ownership.
- During consultations, factor in power imbalances across stakeholders and find ways to overcome them. Since convening arrangements make a difference in participation, either bring all stakeholders around the same table or, if this format could exclude specific groups, engage in separate consultations with different groups.
- Provide all stakeholders with the opportunity to give feedback on the final product.
- Ensure common understanding of concepts amongst different stakeholders.

MILESTONE: Risks and risk management measures are identified successful Cooperation Framework implemenetation		
What Success Looks Like	**Roles**	**Key Resources**
● The CCA multidimensional risk analysis is incorporated in the Theory of Change process. ● Risks are classified as external (risks to the country, to the UN) and internal (those emanating from UN interventions). ● Risks are categorized in terms of likelihood and impact. ● Mitigating measures are identified.	● RC and UNCT incorporate CCA findings into the dialogue with partners. ● Government, UNCT and other stakeholders identify and discuss risks ● Risk monitoring by Results Groups informs dialogue with government and other stakeholders	TOOLS: ● Risk Communication and Community Engagement ● Programme Criticality Assessment ● Toolkit for Social and Environmental Safeguard TEMPLATES ● Risk Analysis and Mitigation Measure Table *(hyperlink to template in **Annex 24** in Cooperation Framework Companion Package Consolidated Annexes)* RESOURCES ● 'Do no harm' approach *(link forthcoming)* ● Conflict prevention *(link forthcoming)* ● Disaster risk reduction *(link forthcoming)* ● Social and environmental safeguards ● Human Rights Due Diligence Policy EXAMPLES TBD

The Cooperation Framework must articulate difficult strategic choices and commitments. Inevitably uncertainties that may affect the intended results and carry institutional risks to the UN need to be managed in all programmes. These must be balanced against the risks of not delivering on the 2030 Agenda, and especially the impact on the most vulnerable groups.

A crucial element of programme design is the incorporation of external multidimensional risks (*hyperlink to tool in **Annex 6** in Cooperation Framework Companion Package Consolidated Annexes)* **to the country** (from the CCA and prioritization steps) and the measures to address or reduce these risks.

In addition to these, this step also needs to identify **risks to the UN**, which includes the risk linked to choices around the UNCT's positioning and responsiveness to take advantage of future opportunities (e.g. lack of capacities, funding, difficulties in targeting specific population groups/locations and flexibility to re-think approaches etc.) and new partnerships (e.g. possible conflicts or tensions among the perspectives, interests and demands of partners; ability to mobilize financing and maintain commitment across all stakeholders adequate to SDG achievement). The step should also look at **new unintended risks created by** the prioritization **choices and intervention strategies of the UN**, including interventions that may (unconsciously) exacerbate inequality, social and environmental safeguards, the enjoyment of human rights, disaster risk, or conflict dynamics in the country.

Government and the UNCT may want to undertake a Risk Stress Test for Cooperation Framework Design *(hyperlink to tool in **Annex 25** in Cooperation Framework Companion Package Consolidated Annexes)* to

identify additional risks to implementation. This stress test can be conducted internally, facilitated and recorded by the RCO, or together with Government and other partners.

The UNCT needs to work together with Government and other stakeholders needs to identify suitable measures to address or help manage and mitigate identified risks. During this design stage, it is not always possible to anticipate and prepare for the full range of risks, so it is essential to isolate the most important ones so that if critical risks materialize, the UNCT and partners can revise assumptions and adapt change analysis, and the related development strategy underpinning the Cooperation Framework. Hence, special attention needs to be focused on risks that are more likely to materialize with serious consequences. Programme Criticality Assessments can be used to determine acceptable levels of risk for Cooperation Framework interventions and modalities critical for the population.

Results Groups and the Joint National-UN Steering Committee – through close Joint Work Plan monitoring and the (at least) Annual Performance review - play a crucial role in monitoring assumptions and risks, adjusting development interventions accordingly, and integrating them into research, and the monitoring, evaluation and learning approaches. *(all hyperlinks to relevant sections of chapter #7)*

MILESTONE: Theory of Change translated into a Results Framework		
What Success Looks Like	**Roles**	**Key Resources**
● Results Framework reflects agreed priority outcomes, which capture the totality of the UN development system' footprint in a country. ● Roles and responsibilities for UN entities are clear. ● Partnership and joint ownership of the Results Framework amongst government and stakeholders has been fostered. ● The Results Framework provides the basis to establish coordination mechanism for implementing the Cooperation Framework. ● It builds the basis for accountability, monitoring of progress and learning.	● RC and leading government department coordinate process ● UNCT in coordination with government leads formulation of Results Framework ● UNCT, government departments and other stakeholders discuss emerging Results Framework	TOOLS: ● SDG monitoring and reporting toolkit for UNCTs ● UNEG Evaluability Assessment Tools and Technical Note *(hyperlink to UNSDG website forthcoming)* TEMPLATES: ● Results Framework *(hyperlink to template in **Annex 27** in Cooperation Framework Companion Package Consolidated Annexes)* RESOURCES ● UN Common Guidance for Resilience ● Guidance on women, peace and security ● UNCT SWAP Scorecard on Gender Equality ● SWAP Scorecard on Mainstreaming Disability Inclusion (forthcoming) EXAMPLES: TBD

In this step, the UN's contribution to the Theory of Change needs to be translated into a Results Framework *(hyperlink to template in **Annex 27** in Cooperation Framework Companion Package*

Consolidated Annexes). It translates this contribution into a detailed results chain and specifies the necessary conditions (assumptions) for and risks to achieving the results.

Since a Results Framework simplifies the UN's contribution to desired change into linear causal relationships between levels of results (outcomes and outputs), the government, **UNCT and other stakeholders remain aware of and revisit the complex interlinkages between these results in line with the Theory of Change process**. These include measures to address the interlinkages among the Guiding Principles.

Translating the Theory of Change into the Results Framework should take place in two iterative steps:
1. Address results and assumptions: Define the results for the duration of the Cooperation Framework and clarify which assumptions you make. Show the link between the results and the assumptions in the Results Framework. **Key questions include:**
   ● Is the desired change expressed in the Theory of Change explicit enough to be translated into results statements at all levels?
   ● Does the Theory of Change capture the conditions for change explicitly enough to be translated into assumptions in the Results Framework?
   ● Are there any additional elements needed to yield the desired change?
   ● What is a realistic result target for the duration of the Cooperation Framework?

2. Address issues of setting and measuring performance and progress: **Key questions include** (also refer to Chapter 7 – Implementation, Monitoring and Learning)**:**
   ● What are the appropriate performance indicators for each result level?
   ● What is the most recent, reliable baseline?
   ● Who (Government, UN entities, stakeholders) collects the data/information and how often and how can they be utilised for the Cooperation Framework monitoring processes?
   ● What are the costs involved in collecting the data/information, and how can value for money/maximum efficiency be ensured?

Please note: The details of data/information collection are at the core of the Monitoring, Evaluation, and Learning Plan (*hyperlink to template in **Annex 36** in Cooperation Framework Companion Package Consolidated Annexes)* and need not be part of the Results Framework.

Elements of a Results Framework
The Results Framework contains six critical elements: 1) Results, 2) Assumptions, 3) Performance Indicators, 4) Baselines, 5) Targets and 6) Data Sources and Means of Verification.

Results
The Results Framework follows Results-Based Management (RBM) terminology and logic and has three results levels:
• **Result level: Impact |** Impact implies a change in people's lives and improvement in the realisation of rights. They are the intended long-term effects of the implementation of planned interventions for a country in achievement of the 2030 Agenda, the SDGs and SDG targets, human rights obligations,

national development priorities and regional development frameworks and the SDGs and SDG targets. In the Results Framework, the impact level can be captured as a **Strategic Priority Area**[30].

- **Result level: Outcomes |** Outcomes are at the heart of the Cooperation Framework. They represent *key institutional, behavioural or legislative changes* that are critical for catalysing progress towards the desired impact, and which the UNCT and other development stakeholders can collectively make a substantial contribution to. The outcomes are translated and/or derived from the Theory of Change. Outcomes that cover various elements across the humanitarian-development-peace nexus are also referred to as 'collective outcomes[31]'.
- **Result level: Outputs |** Outputs in the Cooperation Framework results framework reflect *changes in capacities, knowledge of individuals or institutions,* or the *availability of new or improved products and services* that result from the collective contribution of the UN development system towards the outcomes. They are inter-agency by nature, and the UNCT has direct control over outputs. Like outcomes, they are translated and/or derived from the Theory of Change.

Please note: Developing outputs is an integral part of the results chain and should be part of the Theory of Change development. Outputs are optional for the Results Framework of the Cooperation Framework but mandatory for the Joint Work Plans. However, including outputs into the Results Framework is recommended as it increases:

- the level of accountability of all signatory UN entities to the Cooperation Framework results;
- the level of transparency for the UN's planned contribution; and
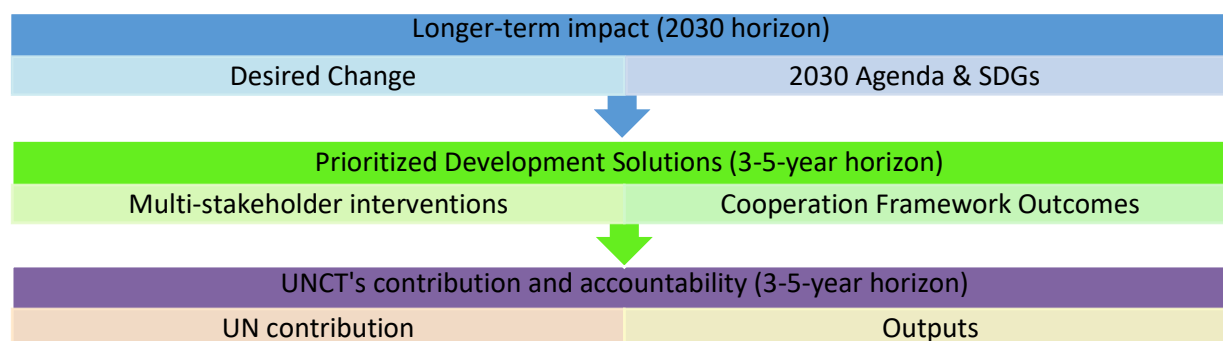- the commitment to partnership.

Longer-term impact (2030 horizon)	
Desired Change	2030 Agenda & SDGs

Prioritized Development Solutions (3-5-year horizon)	
Multi-stakeholder interventions	Cooperation Framework Outcomes

UNCT's contribution and accountability (3-5-year horizon)	
UN contribution	Outputs

Figure: Result Levels for the Cooperation Framework

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[30] Formulating Strategic Priority Areas under the Cooperation Framework is optional. This category can help cluster several outcomes. UNCT and partners can move directly to the outcomes and outputs, provided that they follow the theory of change process. If Strategic Priorities are developed, it is recommended to limit them to 3-5 and reflect the catalytic development solutions identified at the beginning of the design process.

[31] For further details, see: https://www.agendaforhumanity.org/sites/default/files/resources/2018/Apr/OCHA%20Collective%20Outcomes%20April%202018.pdf

Tips:
- The greater the agreement on the development pathways and the contribution of the Cooperation Framework to them, the easier the process of preparing the Results Framework.
- 'Strategic Priority Areas' can be used as an organizing principle to cluster outcomes Results Framework.
- Limit the number of outcomes and outputs, preferably not more, on average, of 3 outcomes per Strategic Priority Area, and an average of 3 outputs per outcome.
- Choose priorities based on the best CCA evidence and the Theory of process - rather than by combining existing/planned programmes of UN entities. Where evidence about what works is limited, the Cooperation Framework should be designed to test and generate new evidence about new results areas.
- Identify at least one learning outcome: this could involve exploring different means of delivery, bringing in a new partner, or something experimental like introducing a new technology.

Outcomes
- Outcomes are intersectoral. Be mindful to identify and manage the trade-offs, address the multi-dimensional risks, the root and underlying causes identified in the CCA and maximize synergies across the SDG targets
- Outcomes need to be achievable within the timeframe of the Cooperation Framework.
- The outcome statement should specify the direct target beneficiary group(s) and the desired change.
- Apply an HRBA perspective: outcomes should reflect changes in the performance of rights-holders to exercise their rights, including the most marginalized, and duty bearers to respect, protect and fulfil those rights;
- The achievement of the outcomes is a collective responsibility of all involved stakeholders.
- Ensure that gender equality is clearly addressed through gender-specific outcomes and/or clearly evidenced integration of gender across all outcomes.[32] The commitment to groups left behind should be addressed in the same manner.
- In complex contexts, the Cooperation Framework should outline how development support is complementary to and mutually reinforcing humanitarian assistance and peacebuilding,[33] with cross-pillar outcomes that are reflected in their respective planning frameworks. For instance, if collective outcomes[34] have been articulated in country, the Cooperation Framework should reflect them and how the UNCT will work with humanitarian actors for their achievement.

Outputs:
- Ensure clarity of how outputs contribute to the achievement of the outcomes.
- Outputs need to be achievable within the timeframe of the Cooperation Framework.
- The achievement is under the control of and attributable to the UNCT.
- Generally, outputs in the Cooperation Framework are shared by two or more agencies. Only in exceptional circumstances should single-agency outputs be considered. Contributing UN entities are accountable for the achievement of specific outputs.
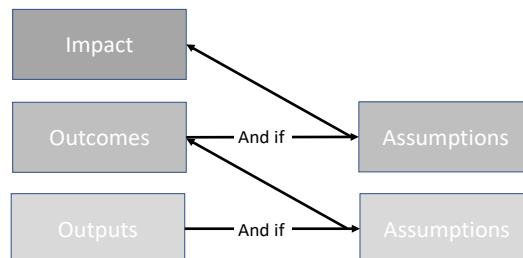
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[32] In line with the UNCT SWAP Gender Scorecard
[33] For additional guidance, please refer to the Humanitarian-Development-Peace Collaboration companion piece.
[34] Collective outcomes are tangible and measurable results that humanitarian, development, peace and other relevant actors commit to prioritize jointly over a period of three to five years. They provide a common vision that bridges short-term assistance, medium-term outcomes and long-term development programming and peacebuilding objectives to incrementally contribute to achieve the SDGs.

Assumptions

Assumptions are the necessary positive conditions external to the Cooperation Framework that allow for a successful cause-and-effect relationship between the different levels of results (i.e., outputs, outcomes, impacts). In a constantly evolving development context, identifying, making explicit and regularly monitoring key assumptions underpinning pathways of change is essential, as cause-and-effect relationships may be affected, and the Theory of Change-underpinned programme interventions be

adjusted accordingly. Capturing assumptions in the Results Framework is therefore essential. They should be stated in positive language, as illustrated in the mock-up results framework *(hyperlink to template in Annex 27 in Cooperation Framework Companion Package Consolidated Annexes).*

Assumptions to be considered include, for example, those about:

- **Causality**: What leads to what, and how? Through what mechanism(s)? This includes how the proposed solutions contribute to the intended high-level development change and what other actors are expected to contribute.
- **Non-linearity:** Are results expected to move with a solely forward trajectory? Is the pathway more complicated with regression possible and expected at certain points?
- **Implementation**: Assumptions about how Cooperation Framework interventions should be designed and targeted in order to deliver the intended results for the intended target groups.
- **Efficacy**: Assumptions about how well particular development interventions work in a given context to trigger causal relationships.
- **External factors**: Assumptions about the influence of issues outside the area of work that can facilitate the expected change.
- **Risks**: What are risks that can impact the change pathways and development solutions, and the assumptions underpinning them (refer to milestone on identifying and assessing risks *(hyperlink to risk section in this chapter)*?

Performance Indicators

For all results levels, performance indicators with baselines and targets need to be included. The national (or alternatively global) SDG target and indicator framework should serve as the default. Other officially accepted indicator sets may also be drawn upon.[35]

Each outcome and output of the Results Framework should have at least one performance indicator to which multiple agencies contribute. Costs of data-collection for performance indicators that are not yet gathered by any stakeholder can be included into the UN development system programmes or may be charged to the recommended monitoring budget *(hyperlink to chapter #7)* of the Cooperation Framework.

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[35] A core set of indicators on violence against women available from the United Nations Statistical Commission (ECOSOC (2011). 'Report of the Friends of Chair of the United Nations Statistical Commission on violence against women', E /CN.3/2011/5). A set of 48 suggested indicators for monitoring gender equality and women's empowerment in the SDG framework, UN Women (2015): Indicators For Monitoring Gender Equality And Women's Empowerment In The SDG Framework.

The final choice of performance indicators set should:
- Be drawn from the global, regional and national SDG target and indicator sets for impact and outcome levels;[36]
- Use nationally available data;
- Apply a mix of quantitative and qualitative measurements;
- Measure development process and results through the lens of the Guiding Principles.

Common criteria for performance indicators:

Criteria	Guiding questions
Validity	Does it measure what it ought to? How frequently needs/can the data be collected? Does it use data from official/national sources?
Reliability	Is it a consistent measure over the period of the Cooperation Framework?
Sensitive	Will it be sensitive to emerging risks and changes in the situation?
Simple	Will it be easy to collect and analyse the information?
Utility	Will the information be useful for decision-making and learning?
Affordable	What method and technique are needed to collect and analyse the data? Is it cost-effective? Is it already collected by a stakeholder? And if not, is its collection feasible within the budget?

Disaggregation: The disaggregation of indicators will enable the UNCT to measure the extent to which the Cooperation Framework has contributed to development results that "leave no one behind" and uphold the Guiding Principles in an intersectional manner. The dimensions of data disaggregation and, where necessary, definitions, for selected indicators must be specified. Disaggregation should include age and sex, at a minimum, and to the extent possible, variables of exclusion identified in the CCA - disability, rights-holders/duty-bearers, those left behind or at risk of being left behind, profile, type, geographic location/area. In line with UNSDG-agreed SDG gender targets, between one third and one half of outcome and output indicators should measure changes in gender equality and women's empowerment. Guidance to mainstream disability-inclusion is expected in the forthcoming UN Disability Inclusion Strategy and the UNCT Disability Inclusion Scorecard (forthcoming).

Baselines: The baseline needs to indicate the point in time the data was collected.

Targets: When setting targets, make sure they are in alignment with the duration of the Cooperation Framework. Extrapolating data could be used by UNCTs as method to calculate targets in where no national targets exist.

Data sources and Means of Verification: Indicate where the data/information is to be found (database, document, etc.) and clarify who (persons, organizations) collects the data and through which methods. Additional elements such as data collection frequency, responsibilities, use of information etc. are included in the Monitoring, Evaluation and Learning (MEL) Plan) *(hyperlink to template in **Annex 36** in Cooperation Framework Companion Package Consolidated Annexes).*
- **Source**: Data/information and the documents where it is to be found
- **Means of verification:** Methods to collect data/information, identification of the responsible person or organization

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[36] In instances where the use of national, regional or global SDG targets and indicators is not feasible or sub-optimal, the performance indicators used for output and outcome measurement need to be tagged to an SDG target.

▪ Examples of methods: surveys, questionnaires, case studies, research, interviews, focus groups

Consultation, validation and monitoring

The draft Results Framework should be shared with all relevant stakeholders involved in the Theory of Change process for commenting and validation, including all entities of the UN development system independently of their prior involvement. The cause-effect chains validated in this process may trigger an adjustment of the Theory of Change and hence its visualization and narrative.

As part of the monitoring of the Joint Work Plans during implementation, the Results Groups monitor the Results Framework, including assumptions. This takes place in close consultation with stakeholders, including through the Annual Performance Review[37] of the Cooperation Framework.

MILESTONE: A monitoring, evaluation and learning plan (MEL) is established		
What Success Looks Like	**Roles**	**Key Resources**
● A MEL Plan is developed for the duration of the Cooperation Framework, in line with UN development system standards. It outlines how joint and agency-specific MEL activities mutually reinforce each other, and specifies respective roles, responsibilities and accountabilities. ● Evaluability and Learning Needs assessments are conducted and Inform the MEL Plan ● It determines the most relevant and feasible indicators to measure the hierarchy of results. To the extent possible indicators should be aligned to SDG indicators. ● Monitoring plans are regularly reviewed (preferably annually) to ensure the relevance and utility of selected indicators. ● It establishes a common definition and methodologies, including the source of the data, frequency for collection, identifies data and monitoring gaps and strategies to address them and stewardship for each indicator. ● Identifies feedback loops with beneficiaries and creates opportunities to correct or adapt the approach. ● It establishes means to monitor the context so as to Inform the UNCT of changes affecting the implementation strategy. ● It identifies key learning objectives.	● RC and Government lead department coordinate the process ● UNCT leads development of MEL Plan in collaboration with UN development system entities ● UN development system entities provide inputs in consultation with partners	TOOLS: ● *Evaluability Assessment (hyperlink to tool in Annex X in Cooperation Framework Companion Package Consolidated Annexes)* ● Learning Needs Assessment ● *(hyperlink to tool in Annex X in Cooperation Framework Companion Package Consolidated Annexes)* TEAMPLATE ● MEL Plan template *(hyperlink to template in **Annex 36** in Cooperation Framework Companion Package Consolidated Annexes)*

The Theory of Change, prioritized development pathways and the Results Framework need to be used, revisited and adapted as needed throughout the Cooperation Framework cycle to reflect changes in the country context. Measuring and documenting the change process as it evolves is essential for monitoring, evaluation, learning about what works and building an evidence base.

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[37] Refer to Companion Piece of Programme Design and Management

Based on the Theory of Change, outcomes, outputs and indicators selected, the UNCT should consider an evaluability assessment *(hyperlink once UNEG tool is developed)* of the framework. The purpose of this exercise it to ensure that measurement of progress towards Cooperation Framework results will be possible and final evaluations will be able to yield robust evidence on results and learning to feed into the next programme cycle. An alternative is to undertake such an assessment during the first year of implementation, to also draw on actual implementation experience. A Learning Needs Assessment *(hyperlink tbc once tool developed)* could also be conducted for UN staff. Subsequently, a high-level MEL plan *(hyperlink to tool in **Annex 36** in Cooperation Framework Companion Package Consolidated Annexes)* for the full duration of the Cooperation Framework cycle is developed by the UNCT and relevant partners.

As an integral part of the Cooperation Framework document, a first draft of the MEL plan needs to be prepared ahead of signature. At the same time, it should be reviewed and updated regularly during implementation, providing direction, overview and diagnostics.

Please note: A ***mid-term review*** of the Cooperation Framework is not only not required, they are discouraged. Instead, there is a requirement to undertake an Annual Performance Review, Informed by ongoing monitoring *(hyperlink to chapter #7)* through established structures and processes *(hyperlink to chapter #7)*.

Checklist of issues to be considered for the Cooperation Framework MEL Plan *(Annex 36):*
- ✔ The plan outlines and serves as the basis to implement and monitor agency-specific and joint / system-wide MEL activities, in way that it allows for timely planning, reduce transaction costs, while maximizing the opportunities to undertake processes and learn from the substance jointly.
- ✔ MEL activities include, but are not limited to, national stakeholder and/or UN-commissioned surveys and studies, UN joint monitoring activities, and annual or more frequent review exercises of the Cooperation Framework.
- ✔ A rights-based MEL Plan requires concrete mechanisms of participation and accountability to which rights-holders and duty-bearers are called to contribute as information providers and interpreters.
- ✔ It establishes channels for population groups to voice issues and grievances, including women, youth, persons with disabilities and other groups who are marginalized and/or discriminated against, to establish mechanisms for accountability to affected populations are required.

MILESTONE: Regional PSG provides support for both process and content in Cooperation Framework development		
What Success Looks Like	**Roles**	**Key Resources**
● The Cooperation Framework document is drafted using the agreed template. ● The document is refined through a quality review process and incorporation of feedback ● The government and other key stakeholders are kept abreast of draft versions as it evolves ● Government and stakeholders agree on the substance of the Cooperation Framework document	● RCO and/or committee draft Cooperation Framework document ● RC and UNCT consult with government and stakeholders. ● RC shares draft with DCO Regional Desk Director ● DCO Regional Desk Director share with PSG for quality review ● DCO Regional Desk provides consolidated feedback to RC/UNCT, including on the	● Cooperation Framework document template *(hyperlink to template in **Annex 9** in Cooperation Framework Companion Package Consolidated Annexes)*

	integration of the Guiding Principles. ● RC arranges consultations with stakeholders ● UNCT addresses PSG feedback and finalizes document ● DCO Regional Director convenes country dialogue with Regional UN development system entities and RC for final guidance and endorsement. ● RC arranges consultations with stakeholders for final agreement and initiation of UNCT configuration dialogue	

The RC and relevant government counterpart lead the drafting of the Cooperation Framework document in line with the Cooperation Framework document template *(hyperlink to tool in **Annex 9** in Cooperation Framework Companion Package Consolidated Annexes).* This can be done through a small drafting committee composed by UN development entities and relevant government partners.

The PSG accompanies the RC and UNCT to support the process and ensure quality of content throughout the process, and not just for the review of the final draft Cooperation Framework document. The earlier and the more often the PSG is involved throughout the process, the less likely the review of the final draft document will lead to big and unexpected changes.

To make most out of available PSG support:
- As in the case of the roadmap *(hyperlink to chapter #1)* and the CCA *(hyperlink to chapter #1)* the DCO Regional Desk facilitates consultation with the PSG throughout the above milestones of designing the Cooperation Framework.
- This includes but is not limited to the review of draft versions of the Cooperation Framework document and includes the PSG's perspectives on the (sub-)regional and cross-border dimensions.
- Once the UNCT has addressed PSG feedback, the RC – through the DCO Regional Desk – shares the revised draft document with the members of the Regional UN development system for a country dialogue, final guidance and endorsement.
- The RC then shares the draft with Government and partners, and finalizes for signature.
- The final legal annex is shared with the Government at this stage. A draft of the legal text should be shared with the Government as early in the Cooperation Framework design process as possible. This will allow for sufficient time to consider any suggested amendments early on.

CHAPTER 4: UNCT CONFIGURATION

The BIG Idea: *A UNCT that is fit for purpose*

The configuration of UNCT capacities is a new step introduced in the 2019 Cooperation Framework Guidance. It address the importance of ensuring that available UNCT capacities[38] must respond to the agreed priorities of the Cooperation Framework and needs of the present country context, rather than automatically renewing previous or existing UNCT arrangements.

In consultation with relevant sectoral ministries and technical counterparts[39] and in line with host country agreement, individual UN development system entities must decide how to ensure availability of capacities needed to deliver Cooperation Framework commitments, in accordance with the principle of "needs-based, tailored country presence" called for in the UN development system repositioning resolution. This includes application of new business models (e.g., representative office; liaison capacity in RCO or another UN entity; through a regional, sub-regional or multi-country office; through HQ) to ensure optimal access to and use of their resources, irrespective of location (e.g., building Business Operations Strategies and mutual recognition of each other's policies).

UNCTs need to make several key strategic shifts when assessing capacity needs under the Cooperation Framework model, including ensuring that the configuration of UNCT capacities:
● Results from a collective and thorough internal needs assessment;
● Maximizes the collective strength of the United Nations development system by better leveraging specific comparative advantages of entities across the system;
● Maximize efficiency gains through collaboration or consolidation of the business operations;
● Results from a participatory process (ideally within four weeks), involving government, donors and other key stakeholders;
● Remains dynamic; if needed, it can be adjusted by individual entities throughout the Cooperation Framework cycle in response to revised CCAs and programming priorities.

The configuration exercise is not necessarily a discussion of who is "in or out" or of physical presence, but rather, enables an examination of the capacities available and needed (programmatic and operational), and potential synergies to deliver on the Cooperation Framework. This would:
• Ensure the most adequate, needs-based and responsive configuration of support to countries drawing on the wider UN development system capacities;
• Enhance coordination, transparency, efficiency and impact of UN development activities, in accordance with national development policies, plans, priorities and country needs.
• Ensure implementation of the UN's responsibilities in line with the principles of the UN Charter and international norms and standards.

The UNCT configuration exercise should be done in conjunction with the Management and Accountability Framework (MAF), which includes provisions on the definition and membership of a UNCT. The MAF states that UNCT member entities are those that carry out operational activities for development in support of countries, irrespective of where the UN entity is physically located, including entities with a project presence and, as such, all are required to sign the Cooperation Framework.

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[38] While there is no formal definition of "capacities" it should be understood to mean the totality of human, financial and technical resources, irrespective of their physical location, that a UN system entity is able to utilize to support its activities in a country.
[39] Provision for this consultation is made in the MAF.

The following steps illustrate how the configuration analysis may be conducted within the recommended four-week limit. In order to enable the UN development system to learn from implementation experience, documentation of experience and good practice is strongly recommended.

MILESTONE: Assessment of entity-specific capacities is undertaken and discussed		
What Success Looks Like	**Roles**	**Key Resources**
• Transparent mapping of UN entities (global, regional and country level) offerings is available, reflecting potential contribution, capacity, expertise and resources, including operational resources that could lead to cost and quality efficiencies • In-country workshop enables consideration of gaps, synergies and overlaps in capacities, operational resources and informs needed UNCT configuration.	• RC invites consideration of expertise and potential contribution to support this exercise from UN partners at the country level. • RC provides support and information exchange for agencies who are not based in the country • DCO Regional Director shares the draft Cooperation Framework with all UN development system entities[40] inviting a consideration of expertise and potential contribution to anticipated results. • Each UN entity shares, as an input into the configuration workshop, a draft statement of its capacities and plans to deliver on the Cooperation Framework commitments and operational efficiencies to support the cooperation framework implementation. • Each entity considers more integrative, effective and agile business models for its contribution.	TEMPLATE: • Agency capacity and statement for planned contribution *(hyperlink to template in **Annex 29** in Cooperation Framework Companion Package Consolidated Annexes)* • Capacity Mapping and Assessment tool *(hyperlink to tool in **Annex 30** in Cooperation Framework Companion Package Consolidated Annexes)*

On the basis of the Cooperation Framework commitments, the RC leads the UNCT in an internal assessment/mapping of capacities - including consideration of individual entities' mandate, comparative advantage and added value - to priority areas. This aims to ensure best match and to identify gaps, synergies and overlaps: a **gap** is understood as the difference between the current and/or planned capacity and the recommended capacity to deliver on the Cooperation Framework; **synergies** are areas where two or more UN entities have joint interests, and their combined efforts promise to deliver greater development dividends than the sum of their individual efforts could achieve; an **overlap** is when there is a common area of interest with a risk of duplication of activities by more than one UNCT member.

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[40] If a UN entity is not a member of the PSG, DCO will ensure that the relevant entities receive the relevant documentation through their HQs.

An in-country dialogue should be convened to consider these inputs in relation to key questions, including:
- How are the "asks" of this Cooperation Framework different from previous ones (e.g., by sectors or the type of assistance required)? This needs to delineate both programmatic and operational needs, the latter being reflected in the Business Operations Strategy (BOS) and common back office initiatives to address existing or future bottlenecks and existing collaboration opportunities in joint operational support needs.
- What kind of expertise and services will the UNCT need to provide to deliver on the Cooperation Framework? From which entities can these be sourced, or can it be sourced through common business operations? i.e., to what extent does the new Cooperation Framework imply a major increase in delivery capacity by one or more UN entities? What would that require?
- To what extent would these services be delivered by a physical in-country presence vis-à-vis other more efficient, effective and agile business models? What new implementation modalities could be leveraged? To what extent can some services be delivered by local service providers and implementing partners? What services could be outsourced as location independent services where the programme delivery rely on UN global shared services centres and improve the cost efficiency while acquiring quality service?
- What has been the previous experience of "non-resident" entities and how can innovative business models be used to streamline physical presence without compromising on expert services/support coming from the system but located outside the country?
- What residual entity-specific programme commitments and associated resources continue from the ongoing programme cycle and what is their relevance vis-à-vis the new Cooperation Framework?

The dialogue should include UN entities in-country (programme and operations) and engage the regional architecture of the UN development system; therefore, the consultation must offer facilities for remote participation. In addition to the internal exercise, the configuration exercise must be consulted with the government and development partners to ensure that their views with regards to the UN's configuration and required capacity are taken into account. A recommended option is to hold a workshop (with an experienced and impartial facilitator), with government and other relevant stakeholders being invited for parts of the workshop. The workshop should be moderated by an experienced and impartial facilitator. Four sessions could be envisaged.
- Session 1: Plenary review - inclusion and review of comments made by the PSG on the draft Cooperation Framework.
- Session 2: Group discussions - configuration/capacity required per Strategic Priority/Outcome in the Cooperation Framework.
- Session 3: Plenary reports and synthesis - recommended configuration/capacities.
- Session 4: Plenary discussion - gaps, synergies and overlaps analysis and recommendations for UNCT action.

Beyond the workshop, the RC will invite entities to provide responses on their gap-filling actions and means, including for consultation with government where applicable (suggested timeframe - two weeks but could be longer at the discretion of the UNCT).

MILESTONE: Configuration concept paper is prepared		
What Success Looks Like	Roles	Key Resources
- Configuration concept paper is prepared with: - Statement of individual entity contributions	- RCO consolidates, working with an internal taskforce of UN entities	TEMPLATES: - Structure for Joint Concept Paper

- Differences between existing and proposed configuration - Resourcing of additional capacity - Timeframe to implement configuration changes (collectively and individually) - Monitoring of implementation	• UNCT validates	*(hyperlink to template in **Annex 31** in Cooperation Framework Companion Package Consolidated Annexes)*
MILESTONE: Consultation is undertaken with Government		
• Government is engaged in inclusive dialogue on alignment of proposed UNCT capacities with the Cooperation Framework commitments	• **RC** leads UNCT-government consultation on the joint concept paper • **Government** is consulted during the process and provides feedback but does not sign-off.	
MILESTONE: Final UNCT configuration is agreed		
• Configuration concept paper is finalized, signed by all UN entities involved in the Cooperation Framework.[41] • By signing, entities commit to provide needed capacities to deliver on the Cooperation Framework • Based on the signed configuration, the legal annex is edited to include specific references to the host country agreement of each entity participating in the Cooperation Framework. The final legal annex is shared with government.	• The RC shares draft document with relevant partners, including DCO • UN entities provide last feedback • RC shares final document with relevant partners together with[42] the signed Cooperation Framework • RCO consolidates feedback on the Legal Annex, which is shared by RC with Government ahead of signature of the Cooperation Framework. • UN entities implement new UNCT configuration	TEMPLATE : • Legal Annex Template *(hyperlink to tool in Annex 45 in Cooperation Framework Companion Package Consolidated Annexes)*
MILESTONE: UNCT configurated revisited at the Annual Performance Review		
• The UNCT configuration is revisited at the Annual Performance Review of the Cooperation Framework, to ensure regular updates between country situation and UNCT capacities	• Joint National-UN Steering Committee reviews configuration during the Annual Performance Review	

A Joint Concept Paper is prepared that encapsulates the contributions of **each UN entity involved in the Cooperation Framework** to deliver on Cooperation Framework commitments, looking at different capacities available (see more information below).

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[41] As per the MAF, to sign the joint concept paper "*the UNCT members must be nominated by their agency and empowered with sufficient decision-making authority over country-level development activities and resources on behalf of that agency.*"
[42] It is not an Annex to the Cooperation Framework, but rather a separate document.

Based on the signed configuration, the draft legal annex – shared during the roadmap stage (refer to Chapter 1: Roadmap) is edited to include specific references to the host country agreement of each entity participating in the Cooperation Framework. The final legal annex is shared with government ahead of signature of the Cooperation Framework.

Please note: *For any amendments to the legal annex proposed by the Government, all member entities of the newly configured UNCT should seek advice from their respective Legal Offices.[43]*

Once agreed, it should be noted that the configuration is not static. The Cooperation Framework Annual Performance Review is a good moment to reflect annually whether the current country configuration still is the most effective and efficient one in light of an evolving country context.

Frequently asked questions:
- What happens when there is a disagreement on the proposed capacity configuration by a UN entity? *Any disagreements that cannot be resolved are subject to the dispute resolution mechanism of the MAF.*
- What happens in the event that a UNCT entity's capacity is not required anymore in the country and a new UN entity capacity is required*? Entities will need time to implement changes to their capacity arrangements so there will be a phase-out of current outstanding Cooperation Framework commitments and a phase-in for any new entities as relevant.*
- What happens when a government decides to request additional UN capacities that are not part of the configuration determined through the Cooperation Framework process? *The concerned UN entity informs the RC and UNCT of the government request and subsequent changes are made to the Cooperation Framework and UNCT capacity configuration, as necessary. Any UN development system entity starting to operate in a country is bound by agreed UN development system policies and procedures concerning UNCT participation (e.g., the MAF) and the Cooperation Framework guidance.*

Tips for Success!

- Early planning is key to success. RCs to engage the UN entities, regardless of physical presence, at the start of the roadmap, not at the time of the finalization of the Cooperation Framework or the UNCT configuration exercise. In particular contact the DCO Regional Desk who can facilitate partnerships with relevant entities.
- UN Development System entities (HQ and regional in particular) to proactively reach out to RCs at the start of the CCA if they believe they have expertise (needs) that might be useful for the country and/or have ongoing initiatives (using the UNSDG dashboard once operationalised)

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[43] The RC and all Secretariat entities are serviced by the Office of Legal Affairs (OLA).

CHAPTER 5: SIGNATURE OF THE COOPERATION FRAMEWORK

The BIG Idea: The Cooperation Framework is signed, signifying approval of and accountability for the new planning and implementation instrument.

As stipulated in the country level [Management and Accountability Framework](#) of the UN development and RC System, "all UN entities that carry out operational activities for development in support of the countries, irrespective of where the UN entity is physically located, including entities with a project presence" are required to sign the Cooperation Framework. This is done together with the RC, as the "highest-ranking representative of the UN development system at country level"[44], and the relevant Government counterpart. This signature determines UNCT membership, and reflects **the agency's endorsement and acceptance of, as well as accountability for the Cooperation Framework**.

The signature page is signed by the relevant Government counterpart, the RC and all relevant UN entity representatives. In cases where UN entities are not physically located in the country, the Cooperation Framework should be signed by a global or regional representative sign. Signatory UN entities that were previously not part of the Cooperation Framework should liaise with Government for an exchange of letters.

If the Government requests that only the RC signs on behalf of the system, the [joint concept note](#) of the [UNCT configuration exercise](#) *(hyperlink to chapter #4)* serves as the UN internal agreement among entities that equates to the Cooperation Framework signature.

MILESTONE: The Cooperation Framework is signed		
What Success Looks Like	**Roles**	**Key Resources**
• In a signature ceremony the Government, RC and UN entities contributing to the Cooperation Framework sign the document. • Signatories fully understand, approve and accept the Cooperation Framework. • Signatories are accountable for the collective commitment manifested in the Cooperation Framework. • RC and UN entities adhere to the individual and mutual accountabilities stipulated in the Management and Accountability Framework.	• Government counterpart, RC and all relevant UN entity representatives sign the signature page • New signatories (not previously not part of the UNDAF/Cooperation Framework) should liaise with Government for an exchange of letters.	RESOURCES: • [Management and Accountability Framework](#) TEMPLATES: • [Signature Page *(hyperlink to template in **Annex 32** in Cooperation Framework Companion Package Consolidated Annexes)*](#)

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[44] MAF: The term "highest-ranking" recognizes the role of the RC as having the highest decision-making authority, as delegated by the Secretary-General, for the UN's system-wide efforts and collective results on operational activities for development in a country and has no bearing on the grade of the position

CHAPTER 6: FUNDING THE COOPERATION FRAMEWORK

The BIG Idea: *Preparing a Cooperation Framework Funding Framework aligned with overall SDG financing*

The Cooperation Framework covers two concepts that are distinct yet mutually reinforcing: (1) 'Financing the SDGs' and (2) 'Funding the Cooperation Framework'. The concept of 'Financing the SDGs' is based on the Addis Ababa Action Agenda's call for "nationally owned sustainable development strategies, supported by integrated financing frameworks" to achieve the 2030 Agenda, i.e., mobilizing and aligning all sources of finance to implement national plans to achieve the SDGs. The concept of 'Funding the Cooperation Framework' refers to the traditional concept of mobilizing resources through UN accounts in order to close budgetary gaps of the Cooperation Framework as the UN's primary planning and implementation instrument to contribute to the achievement of the 2030 Agenda at the country level. (Additional details provided in the Companion Piece on SDG Financing and Funding the Cooperation Framework).

This means that the Funding Framework emphasizes the allocation of UN resources in the context of much larger flows. UN resources should be seen as playing a complementary and catalytic role in order to: (i) address barriers to SDG financing; (ii) help facilitate dialogue with diverse partners and enable governments identify new sources of SDG financing (that do not go through the UN); and (iii) better align existing financial resources with national SDG plans.

Accordingly, the Cooperation Framework (document template) should document how the UNCT links SDG Financing and the Funding through the Cooperation Framework. This should address:
- The key findings of the CCA's financial landscape analysis[45], including available SDG costing assessments;
- The UNCT's approach to SDG financing, including how it plans to: address barriers to mobilizing SDG financing; identify SDG financing sources or instruments; support alignment of existing financial resources with national SDG plans; promote leaving no one behind within SDG financing; catalyse financing for risk reduction and prevention; and forge key partnerships to leverage SDG financing, including the IFIs, private sector, national and regional development banks and others;
- The UNCT's approach to mobilize and allocate funding for the Cooperation Framework: catalytic role of funding to leverage SDG financing; periodic joint UN-government funding dialogues to fill the funding gap of the Cooperation Framework; funding instruments to be established or strengthened for resource mobilization;
- The UNCT's approach to meeting the requirements of the Funding Compact: ensuring transparency and clarity on the planned use of financial resources and their impact; credible and strategic communication of results; efforts towards data standardization and compliance with international standards for financial reporting vis-à-vis the Cooperation Framework, its evaluation, and country-level reporting to national governments; and efficiency gains.

While the UNCT should have already reviewed the country's SDG financing landscape through the previous steps, **the Funding Framework is developed *after* the Cooperation Framework has been signed**. This ensures that development priorities drive the Cooperation Framework budget and not vice versa. To achieve this, realistic results-based budgeting, rather than a aspirational and supply-driven approach, is

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[45] Refer to Companion Piece on Financing the SDGs and Funding the Cooperation Framework & Chapter #2 (CCA)

required. This, together with smart resource mobilization, needs commitment from all UNCT members. The UNCT should therefore ensure that certain conditions are in place, including:
- Well-articulated outcomes and outputs of the Cooperation Framework;
- All UNCT members should engage share the minimum set of financial information required for the Funding Framework and engage in joint resource mobilization efforts under RC leadership and share in a timely manner;
- The Cooperation Framework governance structure (Joint National-UN Steering Committee, UNCT, UN Results Groups) carry out resource requirement/projection exercises.

The Funding Framework responds to the requirement of the [Funding Compact](https://undocs.org/A/74/73/Add.1)[46] agreed by Member States, committing the UN development system to be more transparent and accountable for its spending, more effective and efficient in the use of limited resources, and to communicate more clearly on what it does and what it achieves. As such, it is a consolidation of the agreed, costed results of the Cooperation Framework - including operations and communications. It provides an overall picture of the **(1) amount, (2) type, (3) source, (4) duration, and (5) sequence of financial resources, including the required amounts, available resources and resource mobilization needs.** It functions as a financial planning, resource management and mobilization tool at the disposal of the UNCT, Government, and other stakeholders.

The Funding Framework thus provides the following benefits:
- Increased transparency and accountability with regards to what the UN does with the resources it has been entrusted with, and what is achieved with these resources.
- Data standardization and compliance with international standards for financial reporting.
- Realistic costing of programmatic initiatives rather than predetermined resource envelopes of various entities, aligned against prospective sources of financing;
- Increased UN coherence in mobilizing and managing resources for implementation of agreed results areas of the Cooperation Framework;
- Potential for more coordinated UNCT resource mobilization approaches, as well as establishing effective instruments for the same, including Joint Programmes and country-level pooled Funds.

The Funding Framework consists of: (1) a **multi-year Funding Framework** (overall budget) that puts a price tag to the agreed Cooperation Framework and its outcomes covering the full duration of the programme cycle; and (2) an **annualized Funding Framework** as part of annual Joint Work Plans.

Both the multi-year and annual Funding Framework are embedded, monitored and updated as part of the Joint Work Plans and [UN Info](), and hence does not require a separate process for endorsement or signature by UN agencies and the government.

Refer to the [mainstreaming matrix](https://undocs.org/A/74/73/Add.1) *(link to tool Guiding Principles Companion Piece mainstreaming matrix)* to help you with the integration of Guiding Principles throughout this step.

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[46] https://undocs.org/A/74/73/Add.1

MILESTONE: Multi-year Funding Framework is formulated		
What Success Looks Like	**Roles**	**Key Resources**
• Results-based budgeting approach at Cooperation Framework output level is applied to develop costing and required budget projections • 15% of costing is dedicated to gender equality programming • Realistic resource mobilization targets projected, based on inter-agency analysis and consultations with donors and other stakeholders • Targets are adjusted as appropriate, if the funding gap is not realistic • Estimates are consolidated into the multi-year Funding Framework through UN Info.	• Results Groups, OMT, UN Communication Group, UNCT staff draft results-based budget • RCO consolidates estimates into the Funding Framework	**TOOLS** • Results-based Budgeting • Development Finance Assessment Guidebook • Mainstreaming guiding principles and key concepts • Gender Equality Marker **TEMPLATES** • Multi-year Funding Framework *(hyperlink to template in **Annex 33** in Cooperation Framework Companion Package Consolidated Annexes)* **RESOURCES** • Spectrum of UN Grant Financing Instruments[47] • UN Coordination Levy Operational Guidance • FAQs on Coordination Levy • Checklist on Coordination Levy • UN SG Financing Strategy 2018-2021 • Financing for Sustainable Development Report 2019. • 'Financing the 2030 Agenda – An Introductory Guidebook for Country Offices', UNDP, 2018 • R-UNSDG Asia-Pacific for workshop on Funding and Financing *(Link to report of workshop)* • UNCTAD Country Factsheets; • UNCTAD investment Policy reviews • UNCTAD Investment promotion and facilitation • Investment Policy Framework for Sustainable Development (IPFSD) • Increasing custom's revenues through ASYCUDA • SDG Pulse • Regional Development Outlooks, such as ADB's ADO; • World Bank's World Development Indicators; OECD's TOSSD; • Development Initiatives Data Hub • IMF Article IV Consultations

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[47] Dag Hammerskjold Foundation: Financing the UN development system - Time for Hard Choices, September 2019

		• Innovative Financing and the SDGs: Where are we and what role?
		• ITC SME Competitiveness Surveys
		• UNCT SWAP Gender Scorecard
		• Blended Finance in the Poorest Countries, ODI, 2019
		EXAMPLES *(to be hyperlinked, currently below)*
		• AgrInvest
		• 3ADI+
		• Alliances for Action
		• SDG500 Platform Investment Opportunity
		• CARE-SheTrades Fund

The UNCT – under leadership of the RC – develops the multi-year Funding Framework[48] for the overall duration of the Cooperation Framework. The costing and required budget projections are results-based, not on resources available by UN entities. Budgeting is therefore done at the level of Cooperation Framework outputs. The traditional or incremental budgeting approach that uses historical budget and expenditure data *should not* be used.

UNCT agency staff, including members of Results Groups, the UN Communications Group, and the Operations Management Team (OMT) together with staff from budget/finance sections prepare the costing for the full programme cycle and enters them into UN Info. Revisiting the multi-year Funding Framework is done by consolidating the Annual Funding Frameworks that are part of Joint Workplans (see next milestone for more details).

SDG Financing and Funding Frameworks in Crisis Contexts

In 2016, approximately 65% of total earmarked Official Development Assistance (ODA) was spent in complex settings, of which approximately, 77% was channelled through bilateral mechanisms.[49] Given the limited UN development footprint in these contexts, engaging with development donors at the country level and helping them shape their programme decisions and funding allocations is critical to have a significant impact on the way development assistance is planned and delivered towards collectively agreed priorities and outcomes.

Ensuring continuity of financial resources can be particularly challenging during Mission transition and drawdown since voluntary funding of UN programmes is unlikely to match the resources of the assessed budget of peacekeeping operations and to a lesser extent of the Special Political Missions budget. Therefore, sustaining financial support and mobilizing predictable donor funding for the Cooperation Framework is critical during and beyond transition processes. The UNCT should work with the Mission to prepare transition plans that address long-term resource requirements and include strategies on how to fill resource gaps. In eligible countries, the Peacebuilding Fund (PBF) should be explored as an important tool to fill emergency gaps and to catalyze long term national peacebuilding processes, programmes and sustainable donor support[50].

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[48] Refer to Companion Piece on Financing the SDGs and Funding the Cooperation Framework
[49] OECD, 2019. DAC Recommendation on the Humanitarian-Development-Peace Nexus
[50] See Secretary-General's Planning Directive for the development of consistent and coherent UN Transition processes, Feb 2019

MILESTONE: Annual Funding Framework is formulated		
What Success Looks Like	**Roles**	**Key Resources**
• Annual Funding Frameworks are based on the Joint Workplans, which should also include operational and communications budgets • Estimates are included for outcomes and outputs, drawn from Joint Workplans *(hyperlink to chapter #7)* and the costing of inputs and services based on agency standard costs[51] • Information is entered in UN Info	• Results Groups, UN Communication Group, OMT and UNCT staff draft results-based budget • RCO consolidates estimates into the Funding Framework	<u>TEMPLATES:</u> Annual Funding Framework • *(hyperlink to template in **Annex 34** in Cooperation Framework Companion Package Consolidated Annexes)* <u>RESOURCES:</u> TBD <u>EXAMPLES:</u> TBD

The annual Funding Framework disaggregates the multi-year Funding Framework by year. Developed as part of the Joint Workplans[52] and hence based on the most up-to-date financial information from UNCT members and progress in resource mobilization of the UN development system, it ensures a more accurate estimates of annual resource requirements, availability and gaps by type and source.

Please note that any ongoing programmes that are not derived from the new Cooperation Framework should be reflected in the funding framework as "available resources."" There is no need to foreshorten these programmes/projects. Instead, they should be phased out at the end of their existing cycle.

The Results Groups together with the Operations Management Team (OMT) and UN Communication Group *(all hyperlinks to chapter #7)* along with finance and budget staff of UN agencies – are responsible for elaborating the more specific detailed projection for each of the outputs and then outcomes in the Cooperation Framework using the annual Funding Framework format within the Joint Workplans *(hyperlink to template in **Annex 37** in Cooperation Framework Companion Package Consolidated Annexes)* and their planning and monitoring processes.

The UNCT member entities enter the information into UN Info via the Results Groups, OMT and UN Communication Group, making it available for review and consideration by the UNCT. If updated regularly, UN Info allows monitoring of all Funding Framework categories and updating the multi-year Funding Framework based on the changing resource picture throughout the implementation years.

MILESTONE: Monitoring of and reporting on Annual and Multi-Year Funding Framework		
What Success Looks Like	**Roles**	**Key Resources**
• Cooperation Framework funding gap is monitored closely • Periodic UN-Government funding dialogues are undertaken with stakeholders	• Results Groups update and monitor annual funding framework through their Joint Workplan in UN Info	<u>LINKS:</u> To be added <u>RESOURCES</u>

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[51] Detailed budgets at the activity level do not need to be reflected in the annual Funding Framework. However, preparing a realistic budget estimate per output level may require information drawn from work plans at the activity level and the costing of inputs and services based on agency standard costs (activity-based, bottom-up budgeting approach). This should be weighed against the costs of gathering such data.

[52] Refer to Chapter #7 and JWP template

• Implementation progress reports are prepared based on UN Info, compiling bi-annual and annual financial reports and/or periodic financial updates • Joint Workplans implementation is monitored regularly • UN agencies track their annual resource situation and regularly update the Information in UN Info • Information from the annual funding framework is used to update the multi-year Funding Framework	• OMT and CG provide financial inputs into the Joint Workplans • Finance and budget staff of agencies supports Results Groups with realistic budgeting. • UNCT agencies track respective resource Information and update in UN Info • RCO consolidated and runs reports through UN Info • RC and Government counterpart convene funding dialogue with stakeholders • UNCT updates the Multi-year Funding Framework, using UN Info • RC and Government counterpart convene funding dialogue with stakeholders	

The monitoring and reporting requirements of the **annual Funding Framework** are an integral part of the monitoring and reporting processes for Joint Workplans. The responsibilities are as follows:

● Results Groups - together with the OMT and UN Communication Group - monitor resource requirements, mobilization and allocation, as well as financial delivery through Joint Workplans. The UNCT compiles the annual financial updates through UN Info.

● All individual UNCT member entities track the resource situation including available resources, actual expenditure, potential new resource commitments and the funding gap related to the projects/programmes they are managing/executing; and provide updated financial data to the Results Groups through UN Info.

The **multi-year Funding Framework** is updated, monitored and reported on by the UNCT, by drawing from the updated annual funding framework Information inserted by Results Groups in UN Info.

MILESTONE: Joint resource mobilization is initiated		
What Success Looks Like	**Roles**	**Key Resources**
• Joint resource mobilization strategy is prepared • Pooled funding mechanisms are explored and established as appropriate	• RC and Government counterpart lead formulation of a joint resource mobilization strategy • UNCT contributes to the resource mobilization strategy • RC and UNCT discuss with Government possibility of	RESOURCES: • Guidance for RC/UNCT on country-level pooled fund *(hyperlink to UNSDG/MPTFO website)* EXAMPLES • Peacebuilding Fund

	establishing a country-level pooled fund in support of the Cooperation Framework	• Country Level Pooled Funds (Colombia, Papua New Guinea etc.) • Experience of channelling the global Peacebuilding Fund through country-level fund (PNG etc. - TBD)

If the Funding Framework is kept updated, based on regular monitoring of the funding gap vis-a-vis implementation of Cooperation Framework outcomes and outputs over time, it – combined with UN Country Results Report *(Link to forthcoming template in **Annex 39** in Cooperation Framework Companion Package Consolidated Annexes; also reference to Chapter #7)* – forms the basis for collective resource mobilization by the UNCT and Government for the Cooperation Framework. This includes funding dialogues with other stakeholders, including sponsoring Member States. These dialogues can attract funding and further incentivize joint programming.

The Funding Framework – combined with the UN Country Results Report - is the basis for the development of a resource mobilization strategy for the Cooperation Framework, and the periodic (e.g. trimestral), collective UN-Government funding dialogues with other stakeholders, including sponsoring member states. Based on funding gaps for the Cooperation Framework and its JWPs, and under the leadership of the Resident Coordinator and the respective Government counterpart, these dialogues can attract funding and thus encourage joint programming.

Based on the above-outlined elements of SDG financing and Funding the Cooperation Framework, the resource mobilization strategy should outline, how the Cooperation Framework links SDG Financing and the Funding for the UNCT. More specifically, it should:

1. Based on the CCA and Cooperation Framework priorities identified, **highlight the catalytic role of funding to leverage SDG financing** (i.e. describe how the UNCT will support addressing barriers to mobilizing SDG financing; identify SDG financing sources or instruments; support alignment of existing financial resources with national SDG plans; promote leaving no one behind within SDG financing; catalyse financing for risk reduction and prevention; and forge key partnerships to leverage SDG financing, including the IFIs, private sector, national and regional development banks and others; etc.)
2. Based on Multi-Year Funding Framework, **describe the UN's funding requirements of the Cooperation Framework** specified by amount, type, source, duration/sequence of funding.
3. Specify how the UNCT will – jointly with Government - **initiate and maintain periodic funding dialogues with donors and other partners** to fill the funding gap of the Cooperation Framework and its Joint Work Plans.
4. Outline what **funding instruments the UNCT will establish and/or draw on** for resource mobilization (e.g. country-level SDG/pooled fund; Joint Programmes etc.) and the linkages and complementarities amongst them.
5. Illustrate how the **UNCT's approach will meet the requirements of the Funding Compact**, particularly (a) ensuring transparency and clarity on the planned use of financial resources and their impact; (b) credible and strategic communication of results; (c) efforts towards data standardization and compliance with international standards for financial reporting vis-à-vis the Cooperation Framework, its evaluation, and country-level reporting to national governments; (d) and efficiency gains.

The UN and Government are strongly encouraged to consider the establishment of a country-level pooled fund (*link to UNSDG/MPTFO website for Guidance on establishing country level pooled fund*s) that helps mobilize funding – independently of the sources - for the implementation of the Cooperation Framework. Pooled funds bring the UN entities together, strengthen coherence, reduce fragmentation, broaden the donor base, allow sharing risks with partners and tackle multi-dimensional challenges with comprehensive, innovative solutions. In complex settings, country-level pooled funds in support of the Cooperation Framework should be complementary to and coordinated with other pooled funds, such as humanitarian funds, to ensure coherence of necessary investments in both immediate humanitarian needs as well as longer-term in risk reduction, peacebuilding and sustainable development.[53]

For resource mobilization from private sector entities, please refer to the UNSDG Common Approach to Prospect Research and Due Diligence for Business Sector Partnerships.

> **Tips for Success!**
> - Cost results at output level (and 'rolled-up' to outcome level), irrespective of budgets of UN entities. The starting point has to be an understanding of how much it costs to deliver the Cooperation Framework, irrespective of UN entities existing budgets.
> - To ensure the overall budget envelope of the Cooperation Framework is realistic and the programme can still be adjusted, start a results-based budgeting at the time the outcomes and outputs have been agreed upon with Government (also refer to chapter 3).
> - Provide a rational and reasonable budget structure for the programme based on realistic costing of programmatic initiatives, aligned against a prospective source of financing.

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[53] For additional guidance, please refer to the Humanitarian-Development-Peace Collaboration companion piece.

CHAPTER 7: IMPLEMENTATION, MONITORING AND LEARNING

The BIG Idea: Ensure UN coherence, relevance, effectiveness and agility during implementation

The signed Cooperation Framework is implemented through the country programme instruments of the UN development system entities, which are derived from the Cooperation Frameworks. They come together in Joint Work Plans *(hyperlink to template Annex 37)* which reflect the Cooperation Framework outputs. The Guiding Principles are systematically applied throughout the process of implementation, monitoring, reporting and learning (see mainstreaming matrix) *(hyperlink to tool Guiding Principles Companion Piece mainstreaming matrix).*

MILESTONE: Cooperation Framework governance and management structures and systems are established and operationalized		
What Success Looks Like	**Roles**	**Key Resources**
• The Cooperation Framework Governance Structure is set up. • All results groups are headed by UN development system entity country representatives and meet at least once a quarter. • Results Group membership includes UN development system entities not physically located in the country and are functional (meet and execute their TORs).	• RC prepares an updated TOR for Governance structure and consults with Government counterpart on updated membership of Joint National-UN steering Committee • RC calls the inaugural UNCT meetings/retreat to build the team and develop a common understanding of their TOR/way forward. • UNCT proposes a management structure for RC to present to the Joint National-UN Steering Committee for endorsement • RC designates via a letter, UN development system entity country representatives as co-leads of Results Groups. • RCO sets up mechanisms for virtual engagement of Results Groups. • RC & the Government counterpart calls the inaugural the Joint National-UN Steering Committee to present management structure and discuss UN planned results & budget for year 1. • The Joint National-UN Steering Committee holds the final annual meeting to review progress towards achieving planned results as well as planned results for the following year.	• Mainstreaming guiding principles and key concepts • Sample TOR for Joint National-UN Steering Committee *(hyperlink to template in **Annex 42** in Cooperation Framework Companion Package Consolidated Annexes)* • Management and Accountability Framework • Sample TOR for results group *(hyperlink to template in **Annex 41** in Cooperation Framework Companion Package Consolidated Annexes)* • TOR for Communication Group • TOR for MEL Group *(hyperlink to template in **Annex 43** in Cooperation Framework Companion Package Consolidated Annexes)* • TOR for Technical Advisory Groups *(hyperlink to template in **Annex 44** in Cooperation Framework Companion Package Consolidated Annexes)* • Link to UN Info for joint work plan format • COUNTRY EXAMPLES

A mandatory and inclusive governance and management structure for the Cooperation Framework fosters greater ownership, accountability and enhances the chances of achieving planned process and results: The key structures are: Joint National-UN Steering Committee as the highest governing body; UNCT; Results Groups; Monitoring, Evaluation and Learning Group; Operations Management Team (OMT), and Communication Group. *(hyperlinks to TOR once finalized)*

The membership of the Joint National-UN Steering Committee for the new Cooperation Framework should be reviewed. For instance, discussions should be held with the government on the possibility of including key development partners such as the World Bank, bilateral development partners/donors, or representatives from private sector, including national small and medium enterprises, civil society, youth, and other specific population groups.

The UNCT may, depending on context, establish additional structures such as Programme Management Team/Group *(hyperlinks to TOR once finalized)*; and cross-cutting Thematic Technical Advisory Group (comprising of Peace and Development Advisor, Human Rights Advisor, Gender Advisor, Economic Advisor, Environment Advisors Humanitarian/Transition Advisors, Disaster Risk Advisors etc.) to enhance effective and coherent delivery of the Cooperation Framework. The UNCT may decide on the number and constellation of these groups but should be very mindful of the potential transactional costs for UN development system entities physically present in the country and those operating remotely from regional or headquarter levels.

MILESTONE: UN entity country development programming instruments are developed and resourced		
What Success Looks Like	**Roles**	**Key Resources**
• All country programming instruments are finalized within two months of signing the Cooperation Framework. • The RC confirms to Regional UN development system entities the alignment of draft entity-specific country programmes with the Cooperation Framework. • Entity-specific country programming instruments are finalised incorporating feedback from UNCT members. • Entity-specific country programme instruments are endorsed and resourced by governing entities as applicable. • Entity-specific country programme instruments are published on UNCT websites.	• UNCT members draft country programming instruments in line with Cooperation Framework and their HQs guidance. • UN development system entities involve RC and other UNCT members in their programme formulations as relevant. • UN development system entities submit draft country programme instrument to RC for review of alignment with the Cooperation Framework. RC may call for a collective UNCT discussion to ensure alignment and complementarity of outputs. • UN development system entity representatives finalise their instruments and submit to governing body, as applicable.	COUNTRY EXAMPLES TBD

The Cooperation Framework Guidance (2019) offers three options for UN development system entities to derive their country development programming instruments, namely:

i. **Option A**: UN development system entities adopt the Cooperation Framework as their own country development programme document; they do not prepare a separate entity document.

ii. **Option B**: UN development system entities develop an entity-specific country development programme document with Cooperation Framework outcomes copied verbatim.

iii. **Option C:** UN development system entities develop an entity-specific country development programme document with Cooperation Framework outcomes copied verbatim, plus additional outcomes that are not in the Cooperation Framework, included only on an exceptional basis to capture normative and standard-setting activities not prioritized in the Cooperation Framework.

Each UN development system entity shall follow the guidelines provided by its own HQs on how to derive their country development programming instrument from the Cooperation Framework.[54] **To minimize transaction costs, it is strongly recommended to use Option A**.

UNCT members are accountable for achieving the Cooperation Framework outputs which they committed to contribute to during the UNCT configuration stage. NB: Cooperation Framework outcomes and outputs are formulated simultaneously (Refer to Chapter 3 Cooperation Framework Design).

In line with the Management and Accountability Framework, the UN entities should involve the RC in key stages of their entity-specific strategic planning and formally solicit her/his feedback on the alignment to the Cooperation Framework before submission to the respective governing mechanisms and processes as applicable. This serves to assure that the agency-specific country programme instrument is directly derived from and contributes to the Cooperation Framework. UN entities also should identify roles, responsibilities and inter-relationships; monitor their commitments; and establish an Informal mechanism for resolving disputes regarding the implementation of the agreements contained in the Management and Accountability Framework for UNCT.

In reviewing the collective contributions of UN entities, the UNCT should reflect on whether the sum and synergy of all agency interventions adequately contribute to achieving the Cooperation Framework outputs. In doing so, the UNCT should be careful to remain true to the overall Theory of Change of the Cooperation Framework formulated from the outset. If gaps remain, the UNCT should decide how this will be addressed given its accountability for achieving the Cooperation Framework outputs, including by reaching out to UN entities not physically located at country or regional levels. They may as well as explore the possible engagements with non-UN entities to close the gaps.

MILESTONE: Joint Work Plans are prepared and endorsed by UNCT and national Joint Steering Committee		
What Success Looks Like	**Roles**	**Key Resources**
• The Joint Work Plans are prepared directly in UN Info, which captures the Cooperation Framework outcomes, outputs, resources, SDG Targets and indicators, gender and human rights and any other system wide markers. • All UNCT members (regardless of physical presence) are involved in preparing Joint Work Plans. • Technical advisory groups and MEL groups are involved in preparing the Joint Work Plans.	• RCO coordinates and meets with co-leads of results groups on timelines for preparing Joint Work Plans and coordinate the scheduling of the different meetings. • Results groups hold meetings to agree timelines to complete Joint Work Plans in UN Info. • UN development system entities complete their work and budgets in UN Info as per timeline agreed. • MEL groups review Joint Work Plans to complete/validate data on performance	• Joint Work Plans Template in UN Info *(hyperlink to template in **Annex 37** in Cooperation Framework Companion Package Consolidated Annexes)*

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[54] See paragraph 79 of the Cooperation Framework guidance

• Each UN development system entity's contributions (sub-outputs and resources) to the Cooperation Framework outputs are clear and aligned to the theory of change. • There are no gaps and overlaps. Potential complementarity, synergies and joint programmes are identified and harnessed. • Joint Work Plans approved by UNCT. • UN planned results for each year endorsed by the Joint National-UN Steering Committee. • Approved Joint Work Plans published/accessible in UN Info	indicators, baselines and targets as well as the MEL Plan. • Each Results Group meets to review and validate their Joint Work Plans, streamline gaps, overlaps and identify potential synergies and areas for joint work or programmes. Technical Advisory Groups review and provide inputs into Joint Work Plans during these discussions. • All Results Groups co-leads meet to collectively review all Joint Work Plans for potential overlaps and synergies. • Joint Work Plans presented to UNCT for endorsement. • The planned results for the year, presented by RC to the inaugural Joint National-UN Steering Committee meeting for endorsement.	COUNTRY EXAMPLES (TBD)

Joint Work Plans present the planned programmatic sub-outputs[55] and resource contributions of each UN development system entity to Cooperation Framework outputs. They serve to reduce fragmentation, avoid duplication and ensure coherence and synergy of UN entity collective programming in the country. Depending on the relative stability of the country context, Joint Work Plans can be one to three years in duration and are to be updated at least on annual basis or when required.

Individual UN entity contributions or "sub-outputs" in the Joint Work Plans are consistent with the Pathway of Change/Theory of Change of the Cooperation Framework and contribute directly to the Cooperation Framework Outputs and Outcomes. They can be either unique to an agency or shared by two or more UNCT members. To allow for meaningful levels of disaggregation of Information and thus better coordination, it is recommended to that the level of sub-output finds a balance between the granular micro level (e.g. event such as training) and the generic macro level (big programme with significant resources). Together, UN development system sub-outputs must enable the achievement of Cooperation Framework Outcomes, measured by performance indicators and associated baselines and targets and be aligned with the Cooperation Framework's Guiding Principles.

The Joint Work Plans also reflect the funding framework[56] for its duration i.e. total resources needed, resources available and resources yet to be mobilized by type, source and duration for each output, outcome and strategic priority. To reduce transaction costs, all Joint Work Plans should be prepared online in UN Info[57], and not as separate off-line documents. UN Info provides markers to give visibility to SDGs, human rights, gender equality and women's empowerment, and environment.

To improve reporting efficiency, agencies publishing to International Aid Transparency Initiative (IATI) standards[58] should define the Cooperation Framework "Agency Contributions/sub-outputs" at the IATI activity level. Cooperation Framework/Joint Work Plan Output and "Agency Contributions/sub-outputs" indicators should be aligned or tagged to SDG indicators, in a logical hierarchy so that UN Info can

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[55] Previously referred to as key activities
[56] Refer to Companion Piece on Financing the SDGs and Funding the Cooperation Framework
[57] Access to UN Info will be provided by DCO to all UNSDG entities.
[58] https://iatistandard.org/en/iati-standard/

automatically 'roll-up' reported "Agency Contributions/sub-outputs" to the Cooperation Framework Output level. Cooperation Framework Outputs may also include additional indicators that capture system-wide contributions, such as coordination, but these will require separate monitoring and reporting processes and so should be used sparingly.

The Joint Work Plans should be discussed within and across Results Groups to ensure that gaps and overlaps are identified and streamlined. Furthermore, the potentials for synergy and joint programmes should also be identified early on and responded to as appropriate.

The Joint Work Plans should be endorsed by the UNCT and the Joint National-UN Steering Committee. The endorsed Joint Work Plan is the basis for the Annual Performance Review which feeds directly into preparation of the Annual UN country results report to Government.

MILESTONE: Joint Work Plans are implemented, monitored and adapted		
What Success Looks Like	**Roles**	**Key Resources**
• Results groups' membership reflects government and non-government stakeholders and are aligned to national structures to the extent possible. • Cooperation Framework Outputs are implemented by more than one UN agency. • Results Groups are functional. • The MEL plan implemented collectively and in alignment with government processes, where applicable. • National/sector monitoring system strengthened. • UN Info updated regularly. • UNCT abreast of UN performance, emerging learning and evolving country context. • Joint Work Plans adjusted as needed throughout the year in response to changing context. • UN CCA updated with new information outside of UN programming. • The updated CCA and Cooperation Framework discussed by UNCTs and updated as appropriate. • UNCT contributions to 2030 Agenda highlighted/published.	• Co-leads of Results Groups invite relevant key stakeholders to join. • MEL further detailed and implemented in consultation with Results Groups. • UN development system entities develop and implement and monitor their projects/programmes. • UN development system entities use their monitoring reports to update UN Info. • Co-leads of Results Groups call bi-monthly meetings to discuss progress, challenges, opportunities and new learning, as well as how to adapt implementation of joint work plans. • MEL Group prepares periodic reports for their respective entities and update UN Info. • Based on UN Info records, RCO prepares highlights of periodic reports, new learning, recommended work plans adjustments and evolving CCA and/or Cooperation Framework for UNCT reflections. • UNCT may recommend a major CCA and/or Cooperation Framework update through the Joint National-UN Steering Committee. • UN Communication Group highlight UNCT achievements.	• Monitoring, Evaluation, and Learning Plan *(hyperlink to template **in Annex 36** in Cooperation Framework Companion Package Consolidated Annexes)* • UN Info Joint Work Plan Report Format *(hyperlink to template in **Annex 37 in** Cooperation Framework Companion Package Consolidated Annexes)* COUNTRY EXAMPLES

Monitoring of the Cooperation Framework is an ongoing action-learning cycle that takes place throughout the implementation phase, ensuring that the UNCT is delivering on its commitment to achieve results that uphold the Guiding Principles.

The Monitoring, Evaluation and Learning (MEL) Group executes the Cooperation Framework MEL Plan, developed at Cooperation Framework design stage, in conjunction with Results Groups. They track progress actively and continuously towards planned results, monitor risks and assumptions, identify challenges and opportunities, and reflect learning to Inform decisions and course correction, including the next Cooperation Framework, in the evolving country context. The MEL Group is also responsible for establishing multi-agency accountability mechanisms, processes and procedures, where applicable, for ensuring that UNCT meets minimum standards for soliciting, receiving and handling feedback from affected populations.

The minimum standard for **gender-responsive monitoring** of the Cooperation Framework should meet at least two of the following criteria: data needed to report on indicators related to the Guiding Principles is actually gathered as planned; progress against these indicators is assessed; and/or that the MEL Group has received technical training in gender-sensitive monitoring techniques at least once during the current Cooperation Framework cycle.[59] A combined training session on monitoring techniques for all the Guiding Principles is recommended.

As with UN development system entity-specific programmes, the UN development system entities' monitoring plans should be derived from and support the MEL Plan of the Cooperation Framework. Therefore, UN entity monitoring plans should be well synchronized as well as combining and streamlining the substance (thematic content) and processes (consultations, monitoring visits etc.) to the largest extent possible to support the Cooperation Framework MEL. Also, essential linkages must be established with Government monitoring activities (surveys, census, voluntary national reviews, poverty studies, etc.) which are important sources of data and evidence for the UN's contribution to development changes. UN joint monitoring systems should be clearly linked to and contribute to the strengthening of national data and information systems. All UN development system entities report on their "Agency Contribution" by regularly recording directly in UN Info their progress against the planned sub-outputs and resources.

The key mechanisms for monitoring the Cooperation Framework include the following:
-   UN Results Groups: UN development system entities have a role to strengthen national monitoring systems. Alignment of Cooperation Framework performance indicators to national SDG indicator indicators frameworks enables use of national monitoring data for Cooperation Framework progress.
-   UN development system entity monitoring (Agency Contributions): Each UN development system entity is responsible for monitoring, reporting and learning from their specific project/programmes (i.e., sub-outputs) contributing to the Cooperation Framework results, and updating this information in UN Info. A common timing for annual reporting should be agreed upon, especially where UN entity reports rely on national government generated data.
-   UN development system entities' joint monitoring of development interventions. UN development system entities may come together to jointly monitor their development intervention in a geographical area or sector. The MEL Group will lead in designing and executing such joint activities and feed the results into the Results Group meetings.
-   (Extended) Results Group meetings: These meetings will collectively reflect on monitoring reports including learnings from individual, joint and national systems. On the basis on these review meetings, Results Groups will decide on course corrections to the JWPs and will flag any issues to the UNCT.

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[59] UNCT SWAP GE Scorecard Indicator 2.3.

Through the Results Group mechanisms, UN development system entities have the important opportunity to collectively discuss the evolving country context, implementation progress, challenges, emerging lessons/learning and how the UN should respond appropriately, based on UN Info data. This ensures continued coherence, relevance and effectiveness and coherence in programme implementation.

The summary of consolidated highlights of progress, challenges, opportunities and new learning from all Results Groups should in turn be discussed by the UNCT, based on UN Info data. The significance of the evolving country context may trigger updates of the CCA and/or Cooperation Framework. The progress and new learning should be used by the UN Communication Group to create visibility for the UN's support to the 2030 Agenda.

The UNCT should regularly collect data/reports and related analyses to keep abreast of the evolving country context. For example, in humanitarian crisis contexts the Analysis and Information Management Working Group, have the inter-agency responsibility of regularly collecting, analysing and reporting data on international assistance and the evolving situation, in complementarity and collaboration with relevant humanitarian partners. The MEL Group should be a part of this working groups where possible.

MILESTONE: Joint Annual Performance Review is undertaken		
What Success Looks Like	**Roles**	**Key Resources**
• UN Info data updated for the year ending. • Annual Performance Review completed by Results Groups ahead of Joint National-UN Steering Committee performance review. • Key messages for the year ending agreed.	• Results Group co-leads call for Annual Performance Review meeting involving all stakeholders. • RCO shares UN Info print out of all results groups for their discussion. • MEL further update their UN Info after Results Group Annual Performance Review	• *Format for Joint Annual Performance Review (hyperlink to template in Annex 38 in Cooperation Framework Companion Package Consolidated Annexes)* COUNTRY EXAMPLES (TBD)

UN Results Group Annual Performance Review. Each Results Group should conduct an Annual Performance Review with its stakeholders to discuss achievements, challenges, opportunities and lessons learned in the last quarter of the year, ahead of the last Joint National-UN Steering Committee meeting. UN Info reports will be the basis of the discussion. Based on this review and the evolving country context, the Results Groups shall propose to the UNCT amendments to the Cooperation Framework and or the follow year's Joint Work Plan to ensure continued relevance and effectiveness of UN support to the country.

The Joint National-UN Steering Committee Annual Performance Review *:* In the last quarter of the year, the Joint National-UN Steering Committee reflects on the results captured in the draft Annual UN Results Report. The RC presents the UN's understanding of how the country context evolved in the past year, the UNCT's achievements, challenges, opportunities, learning and adaptations in implementing the Cooperation Framework. Given the evolving context's implication for the theory of change and key learnings in the year, the RC shall propose UNCT key outputs for the following year.

MILESTONE: UN Country Results Report is prepared		
What Success Looks Like	**Roles**	**Key Resources**
• A high quality UN Country Results Report that captures the full footprint of UN development Results (not activities) in support of the 2030 Agenda, well received by Joint National-UN Steering Committee.	• UNCT prepares the first draft of the annual UN Country Results Reports and shares with DCO Regional Desk for quality review. • RCO finalises the report for UNCT/RC endorsement. • RC presents the Annual UN Country Results Report to the National-UN Joint Steering Committee for endorsement. • RCO publishes and UN Communication Group disseminates the report.	• [Format for UN Country Results Reports](#) *(hyperlink to template in **Annex 39** in Cooperation Framework Companion Package Consolidated Annexes)* • [Criteria for quality review of UN Annual Results Report](#) *(hyperlink to template in **Annex 40** in Cooperation Framework Companion Package Consolidated Annexes)* COUNTRY EXAMPLES (TBD)

The Annual UN Country Results Report must reflect the totality of results achieved by UN development system entities in supporting the Government to advance progress towards the 2030 Agenda. Therefore, this report should be validated with all UNCT members.

> **Tips for Success!**
> • Advocate for more inclusive membership of the Joint National-UN Steering Committee once the Theory of Change for the Cooperation Framework has been formulated, focusing on key stakeholders for outcome level results.
> • Balance membership and processes bearing in mind transaction costs, avoiding redundancy and duplication.
> • Establish virtual Results Groups through online teleconferencing platforms, scheduling meetings in a way to facilitate (remote) participation of all members. Share recordings of meetings.
> • Decide meeting dates as much in advance as possible. All entities should update their progress on UN Info at least a week in advance, so that results group members can review the status of implementation ahead of the meeting
> • Bring together the UNCT and results groups twice in a year – at mid-year and end of year, ahead of the Joint National-UN Steering Committee Meeting.
> • JWPs should be informed by the MEL group, to formulate outputs and performance indicators as well as MEL plans. Linkage to national systems is key, especially with the national statistics office.

CHAPTER 8: EVALUATING THE COOPERATION FRAMEWORK

The BIG Idea: Ensuring accountability of UNCTs and learn for subsequent programming cycles.

The UN's System-Wide Evaluations Policy (SWE) *(Link to policy which is currently under development)* operationalizes the UN Secretary-General's commitment to the General Assembly for a system-wide evaluation function. The policy aims to improve coordination across the evaluation functions of UN entities, address systemic gaps to improve coverage, support joint work and coalitions, and advance system thinking on evaluative evidence on progress to the 2030 Agenda. In short, to better position the UN development system to meet the objectives set out in the 2030 Agenda.

The independent evaluation of the Cooperation Framework translates the system-wide evaluation at the country level. **It is a mandatory system-wide country level evaluation** that adheres to the norms and standards of the UN Evaluation Group (UNEG). It is the main instrument to ensure accountability of the UN development system's collective contribution to the country's SDG achievement, support learning, and Inform decisions regarding the design of subsequent Cooperation Framework cycles. Its focus is both on development results, as well as the identification of internal and external gaps and overlaps. This will include a critical appraisal of the CCA process, the Theory of Change, the Cooperation Framework design and implementation, the application of the Guiding Principles, and the Funding Compact and Management and Accountability Framework. *(hyperlinks to relevant chapters)*

Cooperation Framework evaluations are to be Informed by country programme evaluations of agencies (and vice-versa), as well as other agency-specific or joint evaluations undertaken at the country level. To the extent possible, evaluation processes should be linked, integrated, mutually reinforcing, not duplicating, while maintaining accountability to donor requirements. Under the leadership of the RC and the Government counterpart, the UNCT and Government will be responsible to set out – as part of the Monitoring, Evaluation and Learning (MEL) Plan outlined in Chapter 3 Cooperation Framework Design- an evaluation plan for the cycle, consisting of the joint and system-wide evaluations of UNCT programming to be carried out, and for other (e.g. agency-specific) evaluations to Inform these.

The Cooperation Framework evaluation must be conducted in an inclusive manner and promote national ownership through the active and meaningful engagement of relevant national stakeholders throughout the evaluation process. Evaluation design, procurement and processes should build on and strengthen national evaluation capacities. This includes the use of national evaluators to the extent possible and appropriate. **A joint National-UN Steering Committee management response** *(hyperlink to template in Annex 52 in Cooperation Framework Companion Package Consolidated Annexes)* **is also mandatory**.

The independent evaluation must be completed during the penultimate year of the ongoing Cooperation Framework programme cycle, and be finalized prior to the CCA so that the evaluation findings can feed into the latter and the subsequent design of the next Cooperation Framework. The timing should also take into account the country context and national processes, for example, elections or the national budgetary process, in order to secure maximum participation of government counterparts and other key stakeholders. In consultation with the Government and UNCT, the RC will decide the actual timing and launch the process.

In line with UNEG Norms and Standards on conflict of interest avoidance, Cooperation Framework evaluations will be quality assured and approved through a regional quality review and assurance

[mechanism](#)[60] that is external to the RC and UNCTs. Cooperation Framework evaluations are funded through a standard resource allocation of US$ 50,000 to the UNCT under the Special Purpose Trust Fund.

For a detailed description of the independent evaluation process and roles and responsibilities of each stakeholder refer to the [Cooperation Framework Evaluation Guidelines](#).

MILESTONE: Establish governance and management arrangements		
What Success Looks Like	**Roles**	**Key Resources**
• Joint National-UN Steering Committee assumes the role of the Evaluation Steering Committee or appoints one. • Joint National-UN Steering committee appoints an Evaluation Manager. • Joint National-UN Steering committee forms a multi-stakeholder Consultative Group. • External regional quality assurance and review mechanism is established • External and independent evaluation team is recruited • Adequate funding is secured from the Special Purpose Trust Fund to conduct a quality evaluation process. • Dispute resolution mechanism is in place.	• RC consults with Government and UNCT to determine timing of evaluation and the process. • The Joint National-UN Steering Committee appoints Evaluation Manager. This task is assumed by an individual, e.g. the Data Management and Results Reporting officer in the RCO, or an evaluations management group, e.g. the inter-agency MEL Group. • Joint National-UN Steering Committee established consultative Group with membership of UN entities, government and other stakeholders. • Evaluation manager recruits evaluation team. • Regional quality assurance and review mechanism role clarified (e.g. sign-off on evaluation products, etc.)	TOOLS: • [Cooperation Framework Evaluation Guidelines](#) • [UNEG CF Evaluability Assessment Tools and Technical Note](#) • [CF evaluation quality assurance criteria (TBD)](#) *(Link to tool in* ***Annex 49*** *in Cooperation Framework Companion Package Consolidated Annexes)* TEMPLATES: • [Evaluation management response](#) *(Link to template in* ***Annex 52*** *in Cooperation Framework Companion Package Consolidated Annexes)* RESOURCES: • [UNEG Norms and Standards](#) • [UN SWE Policy](#) *(Link to policy which is currently under development)* • [UNEG Guidance (full list)](#) • [UNCT-UNSWAP Indicator 2.3](#)

At the start of the evaluation process the Evaluation Steering Committee and the Consultative Group should be formed, as they will guide and be responsible for the whole process. The Joint National-UN Steering Committee will typically assume the role of Evaluation Steering Committee. UNCT members or government agency counterparts or key stakeholders not on the Evaluation Steering Committee may opt to join the Consultative Group, which should be sufficiently inclusive to represent various sectoral interests. The Consultative Group will provide inputs at key stages of evaluation, such as in the design and activity planning, the validation of findings and the forming of recommendations.

The regional quality assurance platform will provide inputs at various key milestones of the evaluation process: TORs, selection of consultants, draft report and a post-hoc assessment of the final report.
The Evaluation Steering Committee will appoint an Evaluation Manager (or an Evaluation Management Group), that was not involved in the design and implementation of UN programmes directly, and has a

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[60] To be finalized as part of the Regional Review

sound knowledge of the evaluation process and methodology and understands how to abide by UNEG Evaluation Norms and Standards, including gender-responsive and human rights-based evaluation processes. Normally, it should be the Data Management and Results Reporting officer in the RCO.

MILESTONE: Design Evaluation		
What Success Looks Like	**Roles**	**Key Resources**
• Good quality Evaluation Terms of Reference drafted and approved by Evaluations Steering Committee • External independent consultants are hired to form the evaluation team • Evaluation team produces a good quality inception report	• Evaluation manager - with support of MEL group, Consultative group and evaluation regional mechanism as needed.	TOOLS: TEMPLATES: • Terms of Reference *(Link to template in Annex 47 in Cooperation Framework Companion Package Consolidated Annexes)* • Inception Report *(Link to template in Annex 48 in Cooperation Framework Companion Package Consolidated Annexes)* • Preliminary Findings *(Link to template in Annex 49 in Cooperation Framework Companion Package Consolidated Annexes)* • Evaluation Report *(Link to template in Annex 50 in Cooperation Framework Companion Package Consolidated Annexes)* RESOURCES • UNEG evaluation resources • UNEG Guidance on Integrating Gender and Human Rights in Evaluation • Gender Evaluation Portal • Inclusive Systemic Evaluation for Gender equality, Environments and Marginalized voices (ISE4GEMs): A new approach for the SDG era EXAMPLES: • Cape Verde: Reducing transaction costs of evaluations: Any evaluation of the Cape Verde One Fund should be part of the Cooperation Framework evaluation

The central task in designing the evaluation is the drafting of its terms of reference *(Link to template in Annex 47 in Cooperation Framework Companion Package Consolidated Annexes)*. They should list the evaluation's context and purpose, scope, methodology, management arrangements, expected deliverables, the planned process and timelines, principles evaluators need to adhere to (including UNEG Norms and Standards and Code of Conduct) and reference materials.

The key evaluation and learning questions that are the core elements defining the evaluation (refer to Cooperation Framework Evaluation Guidelines for more details). The Evaluation Report *(Link to template in Annex 50 in Cooperation Framework Companion Package Consolidated Annexes)* will need to provide answers to the evaluation questions in its conclusions and ensure clarity of connection between the questions and the conclusions. The evaluation questions should assess the following dimensions: (1)

relevance, (2) effectiveness, (3) efficiency, (4) sustainability, and (5) impact, as well as (6) UN coherence and (7) adherence to the Guiding Principles.

The **Evaluation Team** comprises independent external evaluators: it must have a team leader with extensive evaluation expertise and usually has an average of 3–5 members, depending on the size of the UN country operation. TORs for each evaluation team members will also be drafted at this stage. National evaluators should be used to the extent possible, and the gender balance should be kept. Details and suggestions on how to proceed with the recruitment process are also provided in the Cooperation Framework Evaluation Guidelines *(hyperlink to UNSDG website when Guidelines are finalized)*.

The first task of the evaluation team is to produce an inception report *(Link to template in **Annex 48** in Cooperation Framework Companion Package Consolidated Annexes)* to elaborate on how it will conduct the evaluation. It normally contains: (i) an assessment of the evaluability of the Cooperation Framework, including identification of data gaps and a proposal to address any limitation identified; (ii) a stakeholder analysis, (iii) an elaboration of the evaluation questions and methodologies for collecting and analysing data; and (iv) a concrete plan of evaluation activities and a timeline.

MILESTONE: Data collection, analysis, and reporting		
What Success Looks Like	**Roles**	**Key Resources**
• Evaluation team independently collects data and information, using a variety of sources and ensuring inclusivity and active and meaningful participation of all stakeholders as outlined in the inception report. • Evaluation team analyses data responding to the evaluation questions. • High quality evaluation report is prepared, including findings, conclusions, lessons learned and recommendations. • Draft report to be circulated among Steering Committee, Consultative Group and other key stakeholders • Comments and responses recorded in an audit trail • Final report submitted to Steering Committee	• Evaluation team collects and analyses data in line with evaluation questions. • Evaluation manager, with support from MEL Group, records feedback from Regional Evaluation Platform in an audit trail. • Regional Evaluation Platform reviews and assures quality of draft report	TEMPLATE: ● Evaluation Report *(Link to template in **Annex** in Cooperation Framework Companion Package Consolidated Annexes)*

The independent external evaluation team will be solely responsible for data collection and analysis as outlined in the Terms of Reference/Inception Report, along with support from Evaluation Manager, the Consultative Group and regional/global UNEG support as appropriate. The UNCT is responsible for making all documents and contacts available to the external evaluation team, and supporting logistics, security and access to stakeholders. Participatory approaches that engage national stakeholders in data collection and interpretation will be pursued to the extent possible and as described in the inception report.

The independent external evaluation team will deliver a clear and concise evaluation report *(Link to template in **Annex 46** in Cooperation Framework Companion Package Consolidated Annexes)* to the Evaluation Steering Committee that includes strategic high-level findings, conclusions, lessons learned and recommendations to support decision-making in the next Cooperation Framework cycle. A draft report with preliminary findings will be circulated for review/discussion by the Evaluation Steering Committee, Consultative Group and other key stakeholders, in advance of the final report.

The Regional Evaluation Platform will provide quality assurance prior to drafts being shared with the Evaluation Steering Committee. The Evaluation Manager will ensure that comments and responses are recorded in an audit trail. The final report will be submitted to and signed off by the Steering Committee.

MILESTONE: Management Response and Evaluation Dissemination		
What Success Looks Like	**Roles**	**Key Resources**
• Evaluation Steering committee to prepare a formal management response, including responses to each recommendation and follow-up mechanisms • Hold validation and learning workshops to ensure that the findings of the evaluation are widely disseminated and translated into action points to improve agencies' programming decisions and future Framework design. • Make evaluation report is publicly accessible, including through upload in UN Info and dissemination via other means within the country.	• Evaluation Steering Committee writes management response and action plan • DCO to monitor compliance with evaluation, management response and action plan implementation	TEMPLATES: • Management response Action Plan *(hyperlink to template in **Annex 48** in Cooperation Framework Companion Package Consolidated Annexes)* EXAMPLES: TBD

Once the report is finalized, the Joint National-UN Steering Committee coordinates the formal **Management Response** to the evaluation. It should contain general remarks from the Joint National-UN Steering Committee on the content of the report, followed by a response to each recommendation and a follow-up mechanism. This will include whether the recommendation is accepted, partially accepted or rejected; actions that will be taken, by whom and when, for those recommendations accepted; and an explanation as to why certain recommendations were rejected and potential alternative actions to address the issues raised.

A **stakeholder workshop** should be organised to discuss and make publicly available the evaluation report. Through open discussion, the workshop ensures the UNCT, the government and other stakeholders to be on the same page in terms of future strategic direction. The participation of the team leader in the workshop is advisable. The evaluation report and the management response should be presented at the workshop and the way forward should be discussed.

The principle of accountability to beneficiaries and affected populations requires that Cooperation Framework **evaluation reports are publicly accessible and uploaded to UN Info**. Additionally, messages to stakeholders, as well as beneficiaries and affected population involved in the evaluation process, should be sent in an appropriate language and format. The message should summarize key points emerged from the evaluation that are relevant to each constituency, thank those who spent their time to provide inputs to the evaluation, and provide the link and the contact information for those who wish to obtain the full report.