Global Guidance:

UNCT-SWAP PERFORMANCE INDICATOR 1.1
Virtual Toolkit Resource

What?

Cooperation Framework Guidance | Companion Package ("THE HOW") | Chapter 2 – UN Analytical Function (UNSDG, 2024)

Why?

This chapter of the Companion Package is a revision of the chapter in the 2020 Companion Package, providing tools, templates and other resources to support the development of the 'UN country analysis' (UNCA) – an update to previous guidance on the 'Common Country Analysis'. It focuses on the UN analytical function: an inter-agency mechanism of the UN development system at country level that provides ongoing analysis of complex challenges that is both systemic and forward-looking. Analytical findings are those of the UN but are validated with – not endorsed by – stakeholders. The analytical function includes:

a) At least one comprehensive UNCA per cycle (usually at the end of the penultimate year of the ongoing UNSDCF, to inform the design of the new UNSDCF), and
b) Throughout the programme cycle, a regular (at minimum annual) horizon scanning of key changes in country context.

Performance Indicator 1.1 Common Country Analysis

Approaches Minimum Requirements	CCA includes: a. Gender analysis across at least 50 percent of sections, including underlying causes of gender inequality and discrimination in line with SDG priorities, including SDG 5; **and** b. Some sex-disaggregated and gender-sensitive data.
Meets Minimum Requirements	CCA includes: a. Gender analysis across at least 80 percent of sections including underlying causes of gender inequality and discrimination in line with SDG priorities, including SDG 5; **and** b. Consistent sex-disaggregated and gender-sensitive data.
Exceeds Minimum Requirements	Meets minimum requirements **and** CCA includes: c. Targeted gender analysis of those furthest behind.

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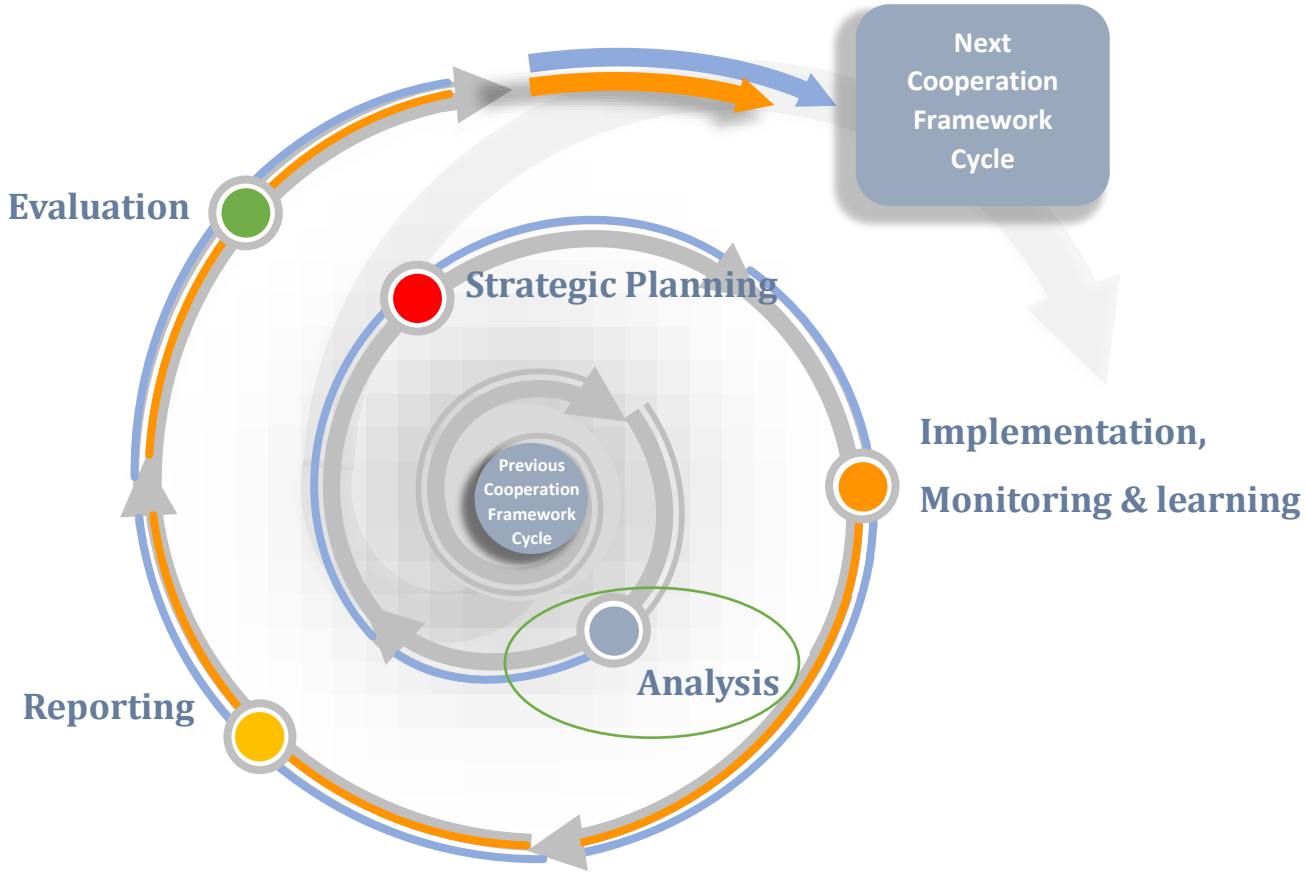
Final Draft

Cooperation Framework Guidance | Companion Package ("THE HOW")[1]

Chapter 2

UN Analytical function

An Independent UN outlook on the current and potential future states of development



[1] The Cooperation Framework guidance is currently under revision. While this chapter will only be formally endorsed as part of the full guidance revision, adjustments have been made in agreement with UN entities. This revised version can be used by all UNCTs that are undertaking a country analysis in 2024.

What is the UN analytical function?

1. An inter-agency mechanism (structure/inter-agency team) of the UN development system at country level that provides ongoing analysis of complex challenges that is both systemic (focuses on emergent and interdependent elements) and forward-looking (analyses the forces driving future change utilizing internal and external early warning and forecasting capabilities).
2. Includes:
   a. At least one comprehensive UN country analysis (UNCA) per cycle (usually at the end of the penultimate year of the ongoing cooperation framework, to inform the design of the new cooperation framework), and
   b. Throughout the programme cycle, a regular (at minimum annual) horizon scanning of key changes in country context.
3. Analytical findings are those of the UN but are validated with – not endorsed by - stakeholders.

Why do we need an analytical function?

- ✓ As **collective intelligence** of the UNCT to make sense of complexity, interrelated development challenges, risks and opportunities.
- ✓ To generate an **integrated analysis and evidence** that informs decision-making by external stakeholders and the UN.
- ✓ To enable the UN's **advocacy and partnership building**.
- ✓ To inform **strategic thinking** and **agility** to position the UN.
- ✓ To **provide evidence** for selecting the strategic priorities in the next cooperation framework.
- ✓ (As relevant) to provide development-related evidence in support of diplomatic efforts and peacebuilding initiatives

Steps:

1. **Comprehensive country analysis**
   a. Prepare (establish standing analytical team; consider creating a repository of data and analysis)
   b. Define the scope of the analysis
   c. Establish partnerships
   d. Undertake meta-analysis and sense-making
   e. Produce analytical products

2. **Horizon scanning** (at least annually)

Roles:

- ✓ **RC/O** leads and coordinates the process
- ✓ **UNCT** owns, steers and endorses the analytical products and decides on packaging, publication and usage;
- ✓ **Standing analytical team** assigned by the UNCT undertakes the analysis and drafting of the product(s); this can involve members from the existing inter-agency coordination mechanisms as needed;
- ✓ **Peer Support Group (PSG)** provides analytical/methodological support (where capacities exist) and undertake quality review of the UNCA summary report;

Resources and tools:

- 2019 Cooperation Framework Guidelines
- Annex 1: UNCA Summary Report template
- Annex 2: Glossary (of terms and definitions)
- Annex 3: Quality Criteria for UNCA Summary Report
- Annex 4: Menu of tools for the analysis

- Cooperation Framework Companion Piece: Guiding Principles
- Checklist on Integrating Human Rights, Leave No One Behind, and Gender Equality and Women's Empowerment in Common Country Analyses (CCAs) (password: CCACFChecklists)
- Call to Action for Human Rights Country Dialogues Handbook

✓ **Issue Based Coalitions (IBCs)** provide inputs on thematic, sub-regional /regional issues of importance/relevance.	• A United Nations Agenda for Protection - Strengthening the ability of the United Nations System to protect people through their human rights • Guidance Note of the Secretary-General on Child Rights Mainstreaming • Policy on Integrated Assessment and Planning Online Learning • Cooperation Framework Course • Foundational course on Cooperation Framework Guiding Principles: HRBA, GEWE and LNOB • Applying Integrated Approaches to Accelerate the 2030 Agenda

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'Must haves' (minimum requirements) and built-in flexibility:

Minimum requirement	**Built-in Flexibility**
Undertake one comprehensive UNCA to inform the design of the new Cooperation Framework.	UNCT are flexible to adjust the process based on the country context and UNCT needs and capacities.
Undertake the UNCA collectively as UNCT following systems-thinking, forward looking, and human-centred approach, applying the Cooperation Framework Guiding Principles, to assess key development challenges and opportunities for the country.	
Generate and publish a UNCA summary report.	Produce additional policy, analytical briefs or other products as deemed useful to use the wealth of knowledge/analysis beyond the summary report.
Conduct horizon scanning (at least annually) throughout the programme cycle to identify emerging changes, their implications, manage uncertainty and risks and generate learnings on a regular basis.	Horizon scanning can be done more frequently if needed and with a scope that responds to the changes in country.
Update the progress on the key development indicators and capture the horizon scan insights into a summary.	The format of the summary is not prescribed and should be adjusted to the purpose of the exercise.

With only 17 per cent of the Sustainable Development Goals (SDGs) on track and just six more years until 2030, the pressure to deliver is high on everyone. Yet the resource environment is constrained, and multilateralism questioned. At the same time, the world is becoming increasingly interconnected, countries face challenges which are multifaceted, complex, and dynamic. We therefore need to work differently and make tough and smart decisions to achieve more, faster, across SDGs, with less resources. To design adequate approaches, we need to understand how the context is changing, and be mindful of changes that may lay ahead in the future. Conducting analysis only once every 5 years have proven insufficient to identify the areas that will help accelerate the achievement of the SDGs and re-assess them in dynamic country contexts. Different and more frequent analysis by a UNCT is needed to identify the country's challenges (what is holding the achievement back) and the opportunities (enabling factors for pathways forward) towards acceleration of the SDGs achievement, in line with the national development priorities and the country's international commitments to UN norms and standards, and the principles of the UN Charter.

What is an analytical function?

Against this context, and in line with the 2019 Cooperation Framework Guidance, UNCTs are expected to collectively **establish and maintain an independent UN analytical function.** The analytical function is a UNCT mechanism (structure/inter-agency team) that provides ongoing analysis of the complex development challenges that is **systemic** (focused on emergent and interdependent elements), **forward-looking** (analysis of the forces driving future change utilizing internal and external early warning and forecasting capabilities) and **human-centred** (with the human rights-based approach, leave no one behind and gender equality and women's empowerment in its core)**.** It goes beyond simply compiling thematic or sectoral analysis and looks at their interconnections.

Why analytical function?

The analytical function is established to:

1. **Create a mechanism** that undertakes analytical tasks on an ongoing basis, to help **form collective intelligence, ownership, common understanding and make sense of complexity, interrelated development challenges, risks and opportunities**. It breaks silos as a foundation for addressing the indivisibility of the SDGs, and for UN collaboration in programming, advocacy and partnerships.
2. To generate evidence that **informs policy-, decision- and strategy-making by external stakeholders, including national authorities, development partners and others.**
3. Inform the UN's **strategic positioning through thought leadership, programmatic offer, advocacy, and partnership building** with a Cooperation Framework and Joint Work Plans that are **agile in dynamic country contexts.**
4. (in relevant contexts) to provide development related evidence in support of diplomatic efforts and peacebuilding initiatives.

What makes a good analysis?

"All things appear and disappear because of the concurrence of causes and conditions. Nothing ever exists entirely alone; everything is in relation to everything else." (The Buddha)

A good analysis:

- ✓ Provides in-depth understanding of the **key pathways that have the greatest potential to accelerate the achievement of multiple SDGs** in the country, i.e. leverage positive synergies and minimize negative trade-offs across and among each SDGs at the necessary scale and speed.

- ✓ Assess the extent to which these pathways include the key **transformative entry points/transitions and enabling actions**[2], which may be different in each country.
- ✓ One that identifies and examines the **root, underlying and structural causes affecting the rights, lives, and livelihoods of all persons living in a country**, with a **focus on the causes and drivers of inequalities, exclusion, vulnerability, human rights violations, and crises**.
- ✓ It understands **historical, current and emerging political, security, social, economic, disaster and environmental risks that can impact development trends now and in the future.**
- ✓ **Is integrated**, carried out through **systems-thinking** – i.e. an **approach** that focuses on **how the different parts of a system interrelate and how systems work within the context of other, larger systems.** Systems-thinking, therefore, captures the interlinked **relationships, resources, stakeholders and power dynamics and capacities** necessary to identify and address pathways to achieve the 2030 Agenda. This approach spans national borders, factoring in the **regional and transboundary issues that impact a country's SDG trajectory**.
- ✓ **Places people at the heart of the analysis**. A unique value of the UNCA is the identification of the groups left behind, understanding their needs, how their human rights are met or not, their structures (family, community, institutions) of support or barriers, behaviours and attitudes that impact their system. The analysis prioritizes equity and inclusion, ensuring that the voices and experiences of marginalized groups are considered and addressed first. The key to ensuring such focus is to apply the Guiding Principles[3] when planning and undertaking the analysis. Should there be a need, additional tools from the human-centred design methodology [4] could be applied, some of which are included in the menu of methodologies and tools (annex 4).
- ✓ **Relies on high-quality disaggregated data and evidence** to ensure accurate and actionable insights for different groups left behind.
- ✓ Takes into account **the country's commitments under relevant global, regional and other conventions and agreements** (e.g. international human rights and labour conventions and multilateral environmental agreements and others - See the footnote for the link to the list[5] of the most important ones), as well as **national reports and recommendations from international human rights mechanisms and other** evaluation evidence (from both the UN system, as well as external stakeholders).
- ✓ Incorporates, where available, **advanced data analytics, machine learning, and geospatial technologies**, which can significantly enhance the analytical depth and accuracy as they enable the processing of large datasets and the identification of patterns that may not be visible through traditional methods.
- ✓ **Adapts to evolving circumstances** and incorporates new data and insights as they become available.
- ✓ **Involves diverse groups of stakeholders** to ensure various perspectives and enhance the relevance of the findings. Ensuring transparency in the analytical process, including clear documentation of methodologies and assumptions, enhances accountability and trust among stakeholders.

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[2] The six transitions include: (1) food systems; (2) energy access and affordability; (3) digital connectivity; (4) education; (5) jobs and social protection; (6) climate change, biodiversity loss and pollution; and four enabling actions are: (1) policy and regulatory frameworks; (2) deal room; (3); pipeline of bankable projects and (4) capacity building.

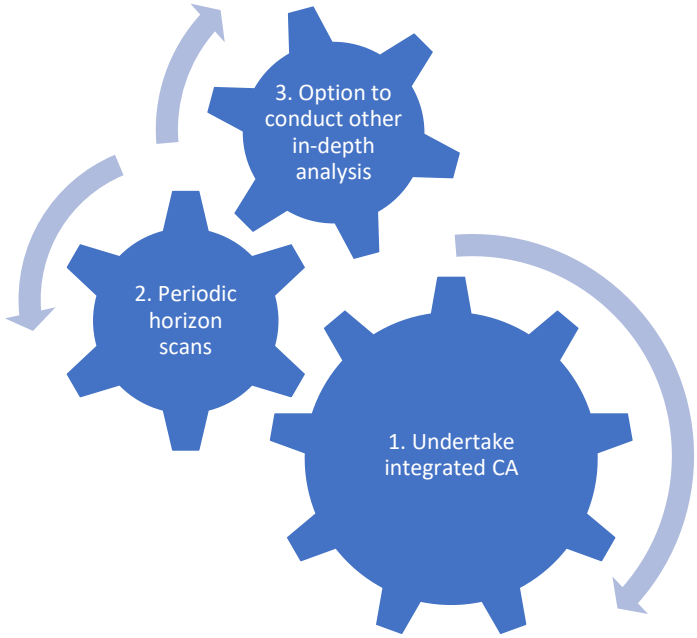
[3] The *Guiding Principles Companion Piece (to be revisited after the analysis and Cooperation Framework design chapters are revised, if anything needs to be adjusted.* Checklist on Integrating Human Rights, Leave No One Behind, and Gender Equality and Women's Empowerment in Common Country Analyses (CCAs)

[4] Many different terminologies of human-centered design methodologies are found online, such are: user-centered design, design thinking, etc, depending on the author. They are all very similar. Stanford d.School, Acumen Academy, Nesta public services design toolkit are among the most utilized in the development sphere, but there are many more.

[5] Database with each country's ratification of international human rights treaties; the Universal Human Rights Index allows you to search over 170,000 observations and recommendations made by international human rights bodies and linked to the relevant SDG and LNOB groups and NORMLEX - Information System on International Labour Standards (ilo.org)

Step by step - UN analytical function

The main steps of the analytical function are outlined here according to the different phases of the Cooperation Framework cycle. They build on and inform each other and should not be seen as separate, perfectly sequenced steps:



1. **For the design of the new Cooperation Framework:** Conduct an **integrated country analysis** and **produce a UNCA Summary Report** (once in Cooperation Framework lifecycle, usually done at the end of the penultimate year, to inform the discussion of the UN strategic priorities for the following Cooperation Framework cycle).
2. **During the implementing of the Cooperation Framework:** Conduct a horizon scanning exercise, *at least once a year or more frequently as deemed necessary*, for any anticipated or actual changes in country (e.g. external shock, elections, emergency…) to inform and adjust as needed ongoing UN programming. This can be undertaken at any point during the year and informs the annual strategic review *(formerly annual performance review: term to be confirmed during implementation chapter)* and development of the joint workplan for the subsequent year.
3. **Additional thematic, sectoral or other types of analysis (optional – not covered by this guidance):** Drawing on or contributing to the UNCA and/or horizon scan, conduct joint research/study or develop a policy/analytical brief following a research/analytical framework/methodology for this specific purpose.

The UN country analysis is carried out through systems thinking approach.

A "system" is an interconnected set of elements coherently organised in a way that achieves something. In today's globally connected world **the sheer quantity of elements, relationships and feedback loops generates novel, complex, emergent properties that are greater than the sum of its parts. This makes it difficult to predict cause and effect that can alter the expected impact of interventions**. Thus systems analysis by definition requires a **departure from a linear "problem" view of the world i.e., analysis that is geared to identify things to be "solved"**. Complex systems have typically **emergent, non-linear causality**. This requires an in-dept understanding, which is not always easy, as it is difficult to predict how it will respond to various interventions or be impacted by various disruptive events. For example, more inputs do not necessarily lead to more or better results due to other constraining factors. In other words, a single solution- even if that solution was "successful" in some programming context - does not equate to accelerated change in all contexts.

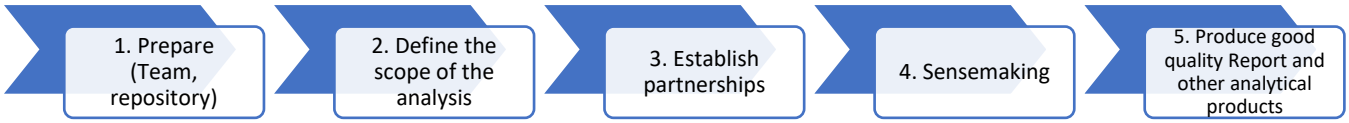
Systems thinking is a methodology that helps to make sense of the complexity of the world by looking at it in terms of wholes and relationships rather than by splitting it down into its parts[1]. It does not have one set toolkit but can vary across different disciplines.

This methodology is more powerful when it is combined with a **human-centred approach.** Human-centered design (HCD) is an approach to design that places people, their well-being and needs, at the center of problem-solving, at every phase of the design process. In the CF design process, HCD has the normative guiding principles at its core.

Forward looking is about having a mindset or attitude that focuses on the future. It involves thinking ahead and planning for future possibilities. It is less structured than foresight and often involves setting long-term goals and strategies based on current knowledge and expectations. Whereas foresight is a systematic process aimed at understanding and anticipating future developments. It involves exploring various possible futures to inform strategic decision-making.

A systems approach to UNCA considers the interconnectedness of various sectors, actors, and dynamics within a country. It assesses how different components, like governance, economy, environment, and society, interact and influence each other. It analyses the conditions that can accelerate or inhibit systems change at a point in time. Drawing on research across sectors and UN mandates, the **UNCA lifts the level of analysis to demonstrate the dynamic interplay across sectors, national development challenges as well as links to global systems and transboundary issues that re-enforce local dynamics.** Additionally, because systems are constantly in motion, the UN CA uses foresight methodology and various and forecasting techniques to map potential systems transitions and development alternatives available to decision-makers for SDG acceleration. As such, the UNCA **identifies the interaction of dominant systems that sustain the status quo today as well as the opportunities to transition for a better tomorrow**. In short, the UNCA helps the UNCT map out the changes in these relationships for policy and decision-making by the UN and other stakeholders to be multi-faceted and coherent with the complex and changing nature of the challenge before us.

1. Integrated country analysis to inform the design of the next Cooperation Framework[6]



You are not starting the UNCA from scratch. Since 2019, most UNCTs have produced at least one 'full' common country analysis, and many have conducted annual updates. UN entities may have also conducted various in-depth analysis at various levels and scope. Recognising that each country has a unique context, development stage and needs, you can **start the analysis with what you already have and build on it**. This step by step is an *illustrative one,* encouraging flexibility for adjustment (improvisation) and option for RCs and UNCTs to design their own process by using fit for purpose tools.

Step 1: Prepare

What should be in place before starting the analysis?

1. **Standing analytical team**: To continuously scan and analyse the development context, the UNCT should have a standing analytical team with strong analytical skills. This team likely already exists and has been carrying out this function, but if not, forming it is the first step. This team should bring together entity colleagues irrespective of their physical location (ideally from each UNCT member entity) with diverse skills and knowledge: research/analytical/exploratory or data and statistics (e.g. research specialists, analysts, data scientists, innovation labs' teams) and substantive and thematic knowledge, including on the Guiding Principles. To forge stronger linkages between thematic expertise, scanning, learning and programming and for continuity and substantive coverage of relevant topics, the group should consider involving the Monitoring, Evaluation, and Learning (MEL) group and the results groups. The team could be co-led by the RCO (e.g. Economist) and PMT chair (as applicable in the country), or other arrangements more appropriate to the country context. In countries with UN humanitarian and/or missions' presence, the team should include UN colleagues working on provision of humanitarian support and mission experts/planners, in particular OCHA where present, to ensure complementarity and collaboration across different areas of work.

2. **Consider establishing a repository of data and analysis**: The repository is the main source of data and analysis for the standing analytical team that consolidates UN and credible non-UN data and analytical knowledge in one place. The format is flexible to meet the needs of the analytical team (e.g. use platforms like SharePoint, HDX, approved online storage and visualization systems, or Excel files with links to all relevant data and analysis). The repository ideally includes all relevant SDG data (drawing on national data), reliable sources of qualitative and quantitative data (including evaluation evidence) from across the data ecosystem, both from the UN as well as national and international actors (e.g. international human rights mechanisms, international financial institutions, non-governmental organizations etc.), and primary research and non-traditional data sources to address gaps in reliability, disaggregation or timeliness). The information collected must be, to the extent possible, disaggregated, at least by gender, age and geography, and other variables that will help identify and analyse the groups

[6] This was the previously called Common Country Analysis

left behind. The repository should be regularly updated, and must be in compliance with UN data protection and use policies, and the human-rights based approach to data collection.

3. **Artificial Intelligence (AI) and data innovations**: Given the vast changes in the data landscape over the past decades, the UN System needs to innovate and broaden the use of data from all sources, ranging from qualitative research (e.g. community-led monitoring, participatory action research and ethnographic approaches) to new data sources such as big data, crowd-sourced data, geospatial data and others to enrich and triangulate with traditional data analysis. UNCTs are encouraged to leverage digital tools and platforms for data collection, analysis, and the already established foresight in the UNCA. For a forward-looking analysis, UNCTs should focus on real time data and identify signals that are sensitive to the indicators of change they have anticipated. In line with the current guidelines on data security, privacy and sensitivity risks, artificial Intelligence (AI) and machine learning tools can be used for the analytical function as long as a human is in the loop (UN CEB Principles for Ethical Use of AI).

4. **Tools for Analysis:** The analysis can be carried out by using various tools, including but not limited to those captured in Annex 4.

5. **Consultations with active and meaningful participation of diverse group of stakeholders:** UNCA is almost always a combination of desk review to synthesize the data from primary and secondary sources in the repository together with qualitative inputs derived from stakeholder consultations. The UNCA, however, offers a valuable opportunity to engage a diverse range of stakeholders and ensure an inclusive lens in the analysis, especially where data are poor or scarce. The process of consultations is flexible to adapt to different country contexts and can be organized in a variety of ways from in-person workshops to conversation bots and online workshops[7], or condensed week-long "UNCA retreats", which also provide the opportunity to collectively reflect on learning, and innovation and explore creative solutions. (*Example: Madagascar - concept note for systems thinking country analysis process ('CCA week' forthcoming*). The process should always include intentional efforts and deliberate plans for how to engage a broad range of civil society groups and local communities, including those outside the capital as well as groups left behind or at risk of being left behind. At the start it can be helpful to map who needs to be consulted and ensure this includes stakeholders the UNCT may not usually engage with. Plans for how consultations will be undertaken can consider how to address barriers that stakeholders may face in engaging in the UNCA process (eg. language, disability, geography, power dynamics in the consultation setting, cost incurred to participate etc.) while also being mindful of the risk of reprisals against civil society actors.[8]

6. **Support:** As needed, the UNCT could seek support from the regional offices or headquarters, through the Regional PSG or IBC who, subject to human resources, should accompany the UNCT throughout the analysis, including through early engagement (e.g. dialogue, capacity development, support teams) and quality reviews to increase the likelihood of a high-quality country analysis. The support provision will be facilitated through the DCO regional offices.

7. **Role of consultants:** When the UNCT does not have the necessary expertise or capacities, and such cannot be provided from regional or HQ offices, UNCT could opt for support by external consultants. Consultants can be engaged as process facilitators, to provide advisory support or to help draft the UN

[7] To meet the requirements of the UNCT SWAP Gender Scorecard (performance indicator 3.2), women's/gender equality CSO should meaningfully engage through the Cooperation Framework cycle including in the UNCA.

[8] The Good Practice Note for UN Country Teams on Operationalizing LNOB and the Online Checklist on integrating HRBA, LNOB and GEWE in CCAs provide further guidance on meaningful participation. See also the UN Guidance Note on the Promotion and Protection of Civic Space.

CA summary report. A consultant must not replace the thought leadership of and ownership by the UNCT, as this undermines the very value proposition of the UN in country.

8. **Resources:** A standard one-off resource allocation by DCO under the Special Purpose Trust Fund for the UNCA and Cooperation Framework design process is disbursed to UNCTs. Beyond this, UNCTs should explore other in-kind or funding sources that support analytical capacities.

Step 2: Define the scope of the analysis

Complex systems have typically emergent, non-linear causality meaning that requires in-dept understanding, which is not always easy, as it is difficult to predict how it will respond to various interventions or be impacted by various disruptive events. The most recent Cooperation Framework evaluation in your country – and other evaluation evidence from within and beyond the UN, can be a source of insight into how transformative previous solutions have been.

Formulating the right analysis questions

To identify these complexities, we need a more ambitious scope of analysis and different and challenging research questions. Asking the right questions and properly scoping the analysis is key. Not every development challenge is a UNCA level question. A good starting point is often found in the National Development Strategy or other national strategic documents, analytical papers or data in the repository or previous Cooperation Framework or other evaluations. These questions should be tailored to the country context and already available analysis. If you already have answers, there is no need to repeat the analysis, provided there has not been a change in the data trends. Then look beyond what has already been done, and research what you don't know yet.

Once you frame the research questions, go back to the list and challenge the framing. Reframing is very useful validation mechanism. It is an attempt to see a current problem or situation from a different perspective. This could help in finding new ways to understand the challenge, and different (sometimes novel) ways of 'addressing' it. Reframing is less about discovering the perfect definition of the problem, and more about discovering a preferred understanding of the problem. Finally, it helps to focus on challenges or aspects of the challenges that we don't yet know.

Examples:
Analysis question: Why country x has the 'lowest life expectancy at birth' rates in the region? And then, the following could be the sub-questions to analyze:

- How do life expectancies vary between different groups in the country? Are there particular drivers for such differences?
- How do economic disparities contribute to low life expectancy?
- What role does unemployment play in affecting the overall health and life expectancy of the population?
- How does the quality and accessibility of healthcare services impact life expectancy?
- What are the primary healthcare challenges, and how do they affect infant mortality rates?
- How does the level of education correlate with life expectancy?
- What are the barriers to education, and how do they indirectly affect health outcomes?
- How does discrimination and inequalities impact on differences on life expectancies between groups? Have such differences changed over time?
- How do environmental issues, such as pollution and climate change, influence life expectancy
- What are the effects of inadequate sanitation and clean water access on public health?
- How do social inequalities and political instability contribute to the low life expectancy?

- What policies could be implemented to address the social determinants of health?
- How do dietary habits and lifestyle choices impact quality of life?
- What factors contribute to the high infant mortality rate?
- How does access to prenatal and postnatal care affect infant mortality rates?
- What are the potential future scenarios for life expectancy in country X, considering current healthcare trends and technological advancements?

Few other hypothetical examples of analysis questions:

- What are the primary barriers to achieving higher literacy rates in country Z? Who is most affected?
- How does the literacy rate in country Z impact economic development and quality of life?
- What are the main causes of the high poverty rate in country A?
- How do government policies and social programs influence the poverty rate in country A?
- What challenges does country B face in providing access to clean water for its population?
- How does the lack of clean water affect public health and economic productivity in country B?
- What are the underlying reasons for the high unemployment rate in country C?
- How does the unemployment rate in country C affect social stability and economic growth?
- What are the key factors leading to high malnutrition rates in country D?
- How do agricultural practices and food distribution systems impact malnutrition in country D?
- How will the labour market look like in future? Which skills and professions are on the rise? Which skills will be in demand and scarce? What the skills gap will look like in the next 5-10 years?

A good indication for high quality analysis – beyond minimum requirements - is how relevant and used it is, i.e. the interest it creates. Here are some additional scoping questions to help sharpen the relevance of the UNCA:

- What are some emerging opportunities/risks for transformative change and their implications for SDG acceleration in country?
- How are inequalities driving development challenges and how can opportunities and risks for change be leveraged to accelerate progress for groups that are left behind?
- What are key global value chains that are implicated in the country's economy? What are the global forces that will shape those value chains and how can the country be best adapted for those changes?
- Building on the six global transitions, can the UNCT identify one, more or others that correspond to national development strategies, using the UNCA to analyse the potential convergences or investment areas that could lead to acceleration in multiple transitions?
- What are the top transboundary trends (risks and opportunities) that will impact development in country X and who or what sectors could be affected by downsides and what could be the upsides?
- What are five big transformational interventions for country X that will generate key shifts to a circular economy?
- How does country X fit into the global food systems map?

Step 3: Explore and establish partnerships with think-tanks, local academia/research institutes or civil society organizations

To add to the existing body of analysis, you are encouraged to explore partnerships with external partners such as National Statistical Offices or technology firms, academic institutions, think tanks/research institutes, national analysis/policy centres and innovation hubs to among other, bring cutting-edge digital solutions into the UNCA process. These could be explored locally, within the country, or could leverage inter-agency mechanisms at regional (Regional Collaborative Platforms, IBC) or global level. The external partners could also serve as penholders for specific pieces of analysis or serve as peer reviewers to validate the analysis. **These partnerships should not be confused with the process of broader stakeholders' consultations of the country analysis findings explained in the previous step.**

Step 4: Sense making / meta-analysis

"*For every complex problem there is an answer that is clear, simple, and wrong*." (H. L. Mencken) [9]

Tip: To shift from process to substantive sense-making, as a rough estimate, 20% of time should be allocated to data collection and sectoral analysis, 70% to sensemaking and 10% on producing the UNCA summary report or the other analytical products.

In this step of the process, you will make sense of the previously collected knowledge and organize the findings to explain both the depth of challenges (all levels of the system) as well as breadth (connectivity/ relationship across the elements of the system). With this map of interrelations, you will examine how to engage with the key forces in the current systems, whether positive or negative/inhibiting for SDG acceleration. Collectively, you will identify which are the high points of convergence in the system with the possibility for cascading effects. Finally, you will identify the top (suggested 5-6) breakthrough opportunities for SDG acceleration as well as the top strategic risks or disruptors for acceleration. By the end of the process of sensemaking, you will agree on the implications of the UNCA for strategy and programming as well as learning, adaptation and risk management.

As mentioned above, the meta-analysis is driven by three main approaches:

1. **Systems analysis:** Through sense-making, you aim to understand how parts of the system need to shift simultaneously across sectors and through synchronized global and local policy, finance, capacity building and partnerships – i.e., **systems transformation**.
2. **Human-centred analysis**: As societies transition from the status quo or dominant systems, social relations are also transformed, creating new incentives, behaviours, and social norms as well as power balances. This aspect of systems transformation is integrated in the UNCA through a **human-centred approach** drawing primarily from the HRBA, GEWE and LNOB or other analysis, a **political economic** analysis on the desired transitions, as well as an **analysis of associated social norms and behaviours**.
3. **Forward-**looking/anticipatory analysis: The interaction and evolution of dynamic, **drivers of change** can be identified **by applying forward-looking analysis** including **strategic foresight**, **forecasting**, **risk assessments, modelling,** and by **building feedback loops** between learning and adaptive programming[10].

The meta-analysis can be approached from any of these three angles and must integrate all of them. For example, the entry point could be groups left behind, identifying the distributional impact of the current policies in the country including how they may reinforce a system of exclusion and analysing how future drivers (demographic shifts, technology) could address the structural inequalities. You may also start with the future impact of demographic shifts stress testing current jobs, social protection and other systems, and understand how these could reduce or reinforce inequalities. Alternatively, the UNCA might start with a systems mapping of climate, energy and the economy while including projections on different future pathways to acceleration and the distributional impact on different groups. As such, there is a flexibility in the analysis to work with complexity and transform systems for better outcomes and greater resilience.

[9] Source: Madagascar CCA slide deck

[10] A practical application of this is the 95+ SDG Insights Reports. Each report stems from national priorities and challenges that countries navigate daily. The reports deliver a playbook, showing the policy choices made by governments under tight fiscal and financial constraints. Integrating multiple data sources allows for the analysis of SDG trends, national priorities, interlinkages, and potential futures, pointing to macro-patterns and SDG pathways that will endure beyond 2030.

Example of analysing all three dimensions on one **UNCA analysis question:** **Which are the policy options for managing depopulation and growth to address the brain drain in the country?**		
Starting point: Human-centred	Starting point: Future focused	Starting point: Systems approach
From the perspective of groups left behind UNCA identifies their development worldview and values, the distributional impact of the current development policies in the country including structural inequality and analysing how future drivers (demographic shifts, technology) could address this.	UNCA focuses on the future impact of demographic shifts stress testing current jobs, social protection and other systems, that could correct or reinforce current social inequalities.	UNCA does a system mapping of global to local linkages in climate, energy and economy whilst including projections on different future pathways to accelerate change and identifying the distributional impact on different groups.

In addition to these three aspects, the following elements of the systems should be considered in the analysis of each development challenge:

- **Stakeholders and dynamics:** Look into the nature and dynamics of the relationships among the stakeholders, and the effects emerging from those interactions. This should look at government entities, non-governmental organizations (NGOs), international organizations, private sector partners, civil society groups, and community representatives, especially from marginalized or vulnerable populations, and assess their roles, responsibilities, and the degree of power they hold in decision-making processes, as well as their capacities, interests, and interrelations as key actors in the context of the challenges. Formal and informal networks should also be mapped, identifying potential conflicts of interest, alliances, and power imbalances, which are crucial for uncovering opportunities for collaboration and anticipating challenges. Additionally, the analysis should highlight how power dynamics affect access to resources, information, and participation in the intervention, ensuring that less powerful stakeholders' perspectives, especially those of the most marginalized, are included and addressed.

- **Financial flows:** Understanding the financial landscape means mapping the volume, mix, duration and sequencing of international, domestic, public and private financial flows, as well as their alignment with national development strategies or SDG plans where they exist[11]. Identifying barriers to mobilizing financing and new financing sources/instruments, and opportunities to channel financing flows to reach populations vulnerable to being left behind, as well as marginalized communities, is also important to consider. See the Companion Piece on Financing the SDGs and Funding the Cooperation Framework for a more comprehensive overview of these issues and a possible methodology.

- **Multidimensional risks:** As part of the analysis, for each challenge, it is important to examine the probability, impacts and priority of existing, emerging and future risks on a country's development trajectory, particularly in terms of the consequences for those furthest left behind. The analysis should

[11] More focus could be given to analysis of non-traditional sources of finance and innovative partnerships (private sector, foundations, High Net Value Individuals, programme countries). Integration of South-South and triangular cooperation funding sources and mechanisms in the financial landscape analysis while examining SDG financing requirements and identifying available resources and financing avenues. Review of other key SDG financing sources at regional level including Southern development banks, multilateral development banks, joint investment mechanisms and diaspora financing.

identify patterns and trends and should consider the differentiated risks facing various groups left behind.[12]. This process should point to challenges and opportunities for early warning and prevention. High-quality analysis should include early warning indicators and innovative data sources to inform UN and government preparedness while undertaking horizon scanning for resilience and adaptive practices. One of the tools available to UNCTs is the UN system-wide multi-dimensional risk analysis framework used in the Regional Monthly Reviews, which are an essential part of the UN Secretary-General's prevention agenda.

- **Understand the SDGs acceleration potential**, and where concerted efforts should be placed to catalyse action and investments at the country level. It involves mobilizing around the SDG acceleration pathways such as, but not limited to six major SDG transitions, the four enabling actions, and the transversal priority of gender equality, LNOB and human rights.[13] The SDG acceleration hinges on the pivotal criteria of:
  - **Lasting catalytic impact**, based on systemic change reflected in new or increased resource flows, norms/purpose/policy/goals,
  - **Legislative/regulatory** and institutional framework unlocking/enabling transformation,
  - **Behaviour** (e.g. new or stronger incentives),
  - **Improved performance of the system** (e.g. in service delivery),
  - **Relationships/partnerships** (including bringing in new actors), and implementation arrangements (redesign for efficiency, effectiveness, quality and access) and power dynamics;
  - The **change in the rights, lives and livelihoods of the relevant LNOB groups**; and
  - **Enhancement of capacity** and development of partnerships of the key stakeholders **to sustain transformation change and further scale the impact**.

> **Important**: In line with its different purposes, the UNCA needs to identify pathways for SDG acceleration for the country and all relevant stakeholders. This is not an identification of priorities what the UNCT will address through the Cooperation Framework, but a broader set of pathways, not all of which may involve the UN. The Cooperation Framework design process will need to prioritize which areas the UN should most strategically engage in (see next chapter).

- **Joint analysis in countries in complex settings with UN humanitarian and/or peacekeeping/political presence, alongside the UNCT**: By making the best use of the risk monitoring systems/dashboards available to the UNCT, the UNCA is the opportunity to identify and facilitate a whole-of-UN-system understanding of the: 1) multidimensional needs, risks and vulnerabilities, and how different communities and population groups are affected differently; 2) early warning and early action to address and mitigate potential drivers of crises, reduce humanitarian need, mitigate risks and prevent escalation or relapse; and 3) platforms and coalitions to galvanize action. This is particularly relevant – but not limited to where UN peacekeeping, special political missions or large-scale humanitarian operations are underway. Where available, the UNCA should draw upon, and not duplicate, the Humanitarian Needs Overview (HNO) or the Humanitarian Refugee Analysis, which include disaggregated information on populations in need, as well as underlying and structural factors affecting the lives and livelihoods of all people, the causes and drivers of crises and vulnerability, the impact of shocks on people and systems, and entry points to anticipate, prevent and mitigate risks. The UNCA can draw from the Joint and Intersectoral Analysis Framework (JIAF), the analytical tool underpinning the needs analysis presented in the Humanitarian Needs and Response Plan (HNRP).

[12] See "A United Nations Agenda for Protection - Strengthening the ability of the United Nations System to protect people through their human rights."

[13] Derived from the SG's Sept 2023 SDG Acceleration Day speech

Step 5: Produce a UN Country Analysis Summary Report and other relevant analytical products

The UNCA wraps up with a summary of the analytical findings and conclusions. This can follow various formats. **At a minimum, the UNCT will produce:**

1. **UN Country Analysis summary report** (see template in annex 1): While this summary report needs to be prepared on time to inform the design of the new Cooperation Framework, it is important to bear in mind the different purposes of this report (see 'why' section above). It includes:
   - Overview of the key Development (1) challenges, (2) opportunities, and (3) prioritized accelerating pathways for SDG achievement in the country.
   - Overview of key national development trends/indicators.
   - The systems-map(s) visualized during the analysis (optional).
   - Short overview of the methodology applied for the UNCA.

In addition to the UNCA summary report, the full wealth of analysis of the UNCA can be packaged in different types of products based on the purpose, target audience etc. The UNCT may opt to:

2. **Package and publish the repository of data and analysis** as useful public source of data and analysis especially on data related to groups left behind.

3. **Produce, publish or update policy/analytical briefs**, e.g. by theme, geographic area or population group, as tools for advocacy, for building partnership and to further inform ongoing UN country programming. These briefs and papers can be prepared following the sense making process or at any time during the Cooperation Framework implementation. [*Examples of briefs and papers: forthcoming*]

Quality assurance of the UN Country Analysis summary report

The UNCA summary report must be a high-quality product. Accountability for the quality of the report and analysis rests with the RC and UNCT. The quality review is done by the UN entities at the regional level through the Regional Peer Support Group.

Following the quality review, the RC and UNCT should share the report or the findings of the analysis, as appropriate, with the government and other key stakeholders who participated in the UNCA process. The RC and UNCT make the UNCA **summary report public, including through the UNCT website and UN INFO.**

In exceptional cases, the RC and UNCT may have reasons not to publish the UNCA summary report. The option for a waiver should be sought only in truly exceptional circumstances. Such permission must be a temporary, time-bound solution, and the shift towards a published UN country analysis summary report should be made as soon as possible.

If the RC and UNCT have reasons not to make the UN country analysis summary report publicly available, a waiver of the default requirement and endorsement is needed from the DCO Directorate. The standard operating procedure to request a waiver from publishing is as follows:

1. The RC – on behalf of the UNCT - submits a formal request to the DCO Regional Director outlining the rationale for any of the above options.

2. The DCO Regional Director, reviews the request, consults with Regional Directors of UNSDG entities that are member of the corresponding UN country team, and submits it to the DCO Director with a recommendation for approval/non-approval.
3. After approval/non-approval by the DCO Director, the DCO Regional Director informs UN entities' Regional Directors and the RC of the outcome.

2. Horizon Scan

To inform strategy, risk management and adaptation under complex, ever shifting and uncertain conditions, the analytical function includes a horizon scanning on an ongoing basis (at least once a year and more frequently as needed) to monitor signals of change, detect patterns, emerging risk/opportunities. The horizon scan could inform or be combined with annual strategic review as to leverage the collective and diverse perspectives of the UNCT and its partners, and inform learning feedback loops for adaptive programming and managing change, including through the formulation of the Joint Work Plan for the subsequent year. For a detailed step-by-step guide on how to conduct a horizon scanning exercise, please consult Annex 4. **At a minimum, the horizon scan will look into**:

1. Trend analysis of the development indicators included in the UNCA summary report.
2. Any major developments during the past year that impacted country development to the level that will require UN to consider different or additional areas of engagement
    a. Any weak signals or new emerging topics,
    b. Changes in the dynamics within and among the systems,
    c. Changes in powers (political, institutional, regional, etc),
    d. Changes in human rights context[14], disasters, population displacements etc,
    e. Mapping of remaining data gaps or quality issues such as disaggregation and reliability.

The horizon scan aims to produce:

- An update of the key development trends/indicators included in the UNCA summary report, and
- A brief summary of the changes, emerging trends and weak signals identified.

[14] Call to Action on Human Rights country dialogues can be useful in this regard.

Annex 1: Template - Country Analysis Summary Report

UN COUNTRY ANALYSIS SUMMARY REPORT

2024

The overview of key development challenges and opportunities

[COUNTRY]

[Photo]

[Photo]

[Photo]

[Photo]

[Photo]

[Photo]

[Photo]

[Photo]

[Total lengths of the report will vary depending on the number of challenges analysed. Indicatively, for 10 challenges the total length should not exceed 25 pages.]

1. Key Development Challenges, Opportunities and Pathways for SDG acceleration

Based on the key development challenges and opportunities, and taking into account the Cooperation Framework Guiding Principles, please provide an overview of the key pathways for SDG acceleration in the country. In not more than 2 pages, for each pathway, please elaborate on:

- *How is this challenge related to the national priorities?*
- *Why this challenge is key - brief description of the inter-relations with other development challenges and links to supporting the country to meeting its international commitments?*
- *Which SDGs does it touch upon? Does it have an acceleration potential, i.e. if addressed, will it contribute to acceleration of multiple SDGs?*
- *What are the root, structural and underlying causes of this challenge?*
- *Who are the groups left behind that are most impacted by this development challenge?*
- *What are the risks associated with this challenge? Country or regional, in some cases, global?*
- *Who are the stakeholders active in this area and the dynamics and powers driving or contributing to the (lack of) progress?*
- *What are the key capacity gaps that would need to be addressed in relation to this challenge?*
- *Estimate of the financial envelope for addressing this challenge and summary of the financial flows in this area.*
- *What are the opportunities that will be created by addressing these challenges?*
- *Has the UN worked in this area before? If yes, what are the experiences and lessons learned (evaluation findings) that need to be taken into consideration within the strategic prioritization step of the Cooperation Framework design process.*
- *What is missing? Any areas where data is lacking? Any topics for additional in-depth analysis?*

Annex 1: **Overview/Dashboard of key national development trends/indicators (visual overview of the indicators, or link to digital public dashboard).**

Annex 2: **The systems maps produced (optional)**

Annex 3: One page **summary of the methodology** applied to conduct the UNCA.

Annex 2: Glossary (A living document to be continuously updated)

Term	*Definition*
Analysis of Financial Flows	The examination of the sources, distribution, and utilization of financial resources within a system to understand economic dynamics and inform financial planning.
Back-casting	A planning method that starts with defining a desirable future and then works backward to identify the steps necessary to achieve that future.
Causality Analysis	A method to identify and understand the underlying causes of observed patterns or issues, often using techniques like the "Five Whys." Causality analysis the first step in the methodology used for HRBA and LNOB. It is sometimes referred to as root cause analysis.
Collective intelligence	The shared or group intelligence that emerges from the collaboration and collective efforts of many individuals working towards improved analysis, decision-making and innovative solutions.
Complexity Analysis	An approach to understanding and managing complex systems by examining the interrelationships and dynamics among their components.
Desk review	A comprehensive evaluation of existing literature, reports, data, and other relevant documents to gather background information and insights on a particular topic of analysis.
Drivers Mapping	The process of identifying and analysing the key factors or forces that drive change within a system.
Evidence-based Decision-making	The process of making decisions based on the systematic collection, analysis, and use of data and evidence, rather than on assumptions or intuition.
Foresight	The process of anticipating and preparing for future challenges and opportunities by using systematic and evidence-based methods to understand potential developments, patterns, and trends.
Forward-looking	Being forward-looking is about having a mindset or attitude that focuses on the future. It involves thinking ahead and planning for future possibilities.

Future-testing strategies	Methods used to evaluate the potential effectiveness and resilience of strategies or plans under various future scenarios.
Future-proofing strategies	Approaches designed to anticipate and mitigate risks, ensuring that strategies remain effective and relevant in the face of future uncertainties.
Holistic understanding	A comprehensive and integrated perspective that considers all relevant factors and their interconnections to understand complex situations or systems fully.
Horizon Scanning	A systematic examination of potential future developments and emerging trends to anticipate and prepare for possible challenges and opportunities.
Human-centred approach	An approach that prioritizes the rights, needs, perspectives, and well-being of the individuals in the planning, implementation, and evaluation of policies and programs and involves them in the process throughout. In the context of the Cooperation Framework, human-centred methodology has the normative guiding principles at its core.
Human Rights-based approach to development (HRBA)	A conceptual framework that is normatively based on international human rights standards and principles and operationally directed to promoting and protecting human rights in sustainable development. HRBA requires human rights principles to guide UN development cooperation, and to focus on capacity development of both 'duty-bearers' to meet their obligations and 'rights-holders' to claim their rights. HRBA is one of the Cooperation Framework Guiding Principles and it is derived from the 2003 UN Common Understanding.
Independent analysis	An unbiased and objective examination of data and information, free from influence or control by stakeholders with vested interests.
Integrated analysis	An approach that combines data and insights from multiple sectors and disciplines to provide a comprehensive understanding of complex issues and identify holistic solutions.
Integrated approach	A method that ensures coordination and coherence across different sectors and levels of intervention to address multifaceted development challenges effectively.
Intersectoral analysis	A method of examining the interactions and interdependencies between different sectors (such as health, education,

	environment) to understand how they impact each other and contribute to broader outcomes.
Leave No One Behind	A political commitment under the 2030 Agenda. For the UN LNOB entails a focus on equality, non-discrimination and equity, as per the CEB Shared Framework on Leaving No One Behind: Equality and Non-Discrimination at the Heart of Sustainable Development.
Meta-analysis	A statistical technique that combines the results of multiple scientific studies to derive more robust conclusions about a particular analysis question or topic.
Provocations	Scenarios or questions designed to challenge assumptions and stimulate creative thinking about the future.
Risk Analysis	The process of identifying, assessing, and prioritizing potential risks to inform mitigation strategies and enhance resilience.
Road-mapping	A strategic planning technique that outlines the steps and milestones needed to achieve long-term goals.
Sense making	The process of interpreting and understanding complex information and data to create a coherent and meaningful understanding of a situation or issue.
Stakeholder/Power Dynamics Analysis	The assessment of the interests, influence, and relationships among different stakeholders involved in or affected by a particular issue or process.
System	A set of interconnected elements that interact to form a complex whole, often characterized by their relationships and dependencies.
Systemic	In a general context, systemic means "affecting an entire system"; also, relating or common to a system. "Systematic" versus "systemic": systematic refers to processes that are repeatable and predictable, rather than anecdotal and episodic, whereas "systemic" refers to the inter-relatedness and interdependency of parts and people within a system. Continual improvement requires a balance of both systematic actions and systemic thinking
Systems thinking	An analytical approach that focuses on understanding the interrelationships and interactions within a system, recognizing

	patterns, and identifying how changes in one part of the system can affect the whole.
Systems mapping	A visual representation of the components of a system and their relationships, used to identify key elements, interconnections, and leverage points within the system.
Trends Identification and Analysis	The process of detecting and analyzing patterns or movements in data over time to inform strategic planning and decision-making.
Wind-tunnelling	A technique used to test strategies or plans against various hypothetical scenarios to assess their robustness and adaptability.
Visioning	A process of developing a clear, inspirational, and actionable picture of the future to guide current decision-making and planning.
Volunteer Group	A collection of individuals who undertake activities of free will, for the general public good and where monetary reward is not the principal motivating factor.
Volunteer Involving Oganisation (VIO)”	An organization, that accepts or mobilizes volunteers, and deploys them to perform tasks for general public good and to enable the organization to achieve its mandate

Annex 3: Criteria for quality review of the UN country analysis summary report

This annex outlines the review criteria for the UN Country Analysis (UNCA). It provides a structured framework to assess the quality and strategic value of the analysis, focusing on 11 key criteria that reflect the ambitions of the new generation UNCA. The evaluation aims to ensure consistency and reduce subjectivity in quality ratings.

Each criterion will be rated on a scale of 0 to 2:

0 = Does not meet criterion
1 = Meets criterion
2 = Exceeds criterion

Important guidelines for reviewers:

1. **Analytical Approach**: Provide a thoughtful analysis rather than a mere description. Offer concrete examples of how the UNCA meets or exceeds each criterion, focusing on the strategic elements that demonstrate alignment with the new generation UNCA objectives.
2. **Systems Thinking**: Evaluate how well the UNCA is conducted, using systems thinking, demonstrating interconnections between various development challenges and opportunities, and interconnections within each challenge – causes, drivers of change, stakeholders' relations and power dynamics and financial flows and risks
3. **Human**-centred approach: Assess how well the UNCA understands the needs of the people in the country; identifies which are the groups left behind and why and how well it applies the normative guiding principles.
4. **Forward-Looking Perspective:** Assess how well the UNCA anticipates future trends and scenarios, rather than just describing the current situation and how well it contextualize the challenges within a longer timeline, looking into trends spanning from recent past (last 5-10 years) to next 10 or so years.
5. **Strategic Focus**: Assess the extent to which the UNCA identifies key leverage points and acceleration pathways for sustainable development, rather than simply listing issues.
6. **Evidence of Innovation**: Note any innovative approaches in analysis, data use, stakeholder engagement, or presentation of findings.
7. **Sensemaking Quality**: Evaluate the extent to which the UNCA synthesizes complex information into meaningful insights that can inform strategic decision-making.

For each criterion, please provide brief comments highlighting strengths, areas for improvement, and any notable good practices or innovations. At the end of the evaluation, summarize key observations about the overall quality and strategic value of the UNCA.

This evaluation framework aims to ensure that the UNCA meets the high standards required to inform effective development strategies and accelerate progress towards the SDGs.

#	Criterion	Score (0-2)	Comment (strength, areas for improvement)	Examples of good practices/ innovations
1.	**Integrated systems analysis:** *(a) Does the UNCA demonstrate a comprehensive understanding of interconnections between different development challenges, sectors, and cross-cutting issues?* *(b) Are causal loops, feedback mechanisms, and ripple effects identified across various domains?* *(c) Is there evidence of multi-level analysis (local, national, regional, global) that captures system dynamics?* *(d) Does the analysis identify potential synergies and trade-offs between different development priorities and cross-cutting issues?* *(e) Does the UNCA demonstrate strong interpretation of data and trends, going beyond description to provide meaningful insights?* *(f) How well does it identify patterns, connections, and emerging signals that might not be immediately obvious?* *(g) Does the analysis provide a coherent and compelling narrative about the country's development situation?* **Risk-informed:** *(a) Does the UNCA comprehensively assess multidimensional risks (economic, social, environmental, political, security)?* *(b) How well does it analyse the potential impacts of these risks on different population groups?* *(c) Are cascading and interconnected risks identified and examined?* *(d) Does the analysis consider both sudden shocks and slow-onset risks?* *(e) Are potential mitigation strategies, resilience-building opportunities, and adaptive capacities identified?* **Financial flows:** *(a) Is there a comprehensive overview of financial flows, including domestic and international, public and private sources?* *(b) How well does the analysis identify financing gaps for key development priorities?* *(c) Does it examine the efficiency and effectiveness of current resource allocation?* *(d) Is there analysis of potential innovative financing mechanisms or opportunities?* (e) *Does the UNCA consider the sustainability and predictability of various financing sources?* **Stakeholder analysis:**			

	(a) Does the UNCA comprehensively examine, the necessary, existing, and potential stakeholders including their roles and responsibilities and the degree of power they hold in decision-making processes? *(b) How effectively does the UNCA analyse power dynamics?* *(c) Is there an examination of power imbalances between stakeholders and the implications of these dynamics particularly amongst marginalized and vulnerable groups?* (d) *Does the analysis adequately reflect the voice and perspective of marginalised and vulnerable groups, including their interest, capacities, and barriers to participation in decision-making processes?*			
2.	**Human-centred approach:** (a) *How well are the guiding principles ((human rights-based approach, gender equality and women's empowerment, leave no one behind, resilience, sustainability and accountability) taken into consideration throughout the analysis?* *(b) How effectively does the analysis apply the Leave No One Behind (LNOB) framework? Does the analysis identify and prioritize marginalized and vulnerable groups? Does the analysis identify the furthest behind and how inequalities and discrimination intersect?* (c) *Is there a clear application of the Human Rights-Based Approach (HRBA) throughout the analysis? Are the most pressing human rights issues, including those identified by the international human rights mechanisms, analysed? Are capacity gaps of rightsholders and duty bearers analysed?* *(d) How well does the UNCA incorporate Gender Equality and Women's Empowerment (GEWE) principles?* *(e) Is there an examination of structural and root causes of inequalities and human rights issues?*			
3.	**Forward-looking perspective:** *(a) To what extent does the UNCA consider future trends, potential scenarios, and emerging issues?* *(b) Is there evidence of anticipating long-term implications of current decisions and trends?* *(c) Does the analysis incorporate innovative foresight methodologies (e.g., scenario planning, horizon scanning)?* *(d) How well does it balance short-term, medium-term, and long-term perspectives?* *(e) Does it consider potential future risks and opportunities, including those related to technology, demographics, and global shifts?*			

4.	**Evidence-based analysis:** *(a) Is the UNCA grounded in robust qualitative and quantitative data from diverse and credible sources?* *(b) How well does it utilize both traditional and non-traditional data sources (e.g., big data, citizen-generated data)?* *(c) Are data gaps, limitations, and quality issues clearly identified and addressed?* *(d) Is there evidence of disaggregated data use, particularly for vulnerable or marginalized groups?* *(e) Does the analysis make effective use of both national and international data sources?*			
5.	**Multi-stakeholder engagement process:** *(a) Is there clear evidence of diverse stakeholder engagement throughout the UNCA process?* *(b) How inclusive was the process in terms of involving government, civil society, private sector, academia, and marginalized groups?* *(c) Is the methodology for stakeholder engagement clearly described and justified?* *(d) Were innovative approaches used to ensure broad and meaningful participation?* *(e) How were stakeholder inputs integrated into the final analysis?*			
6.	**Strategic Synthesis and Acceleration Pathways** *(a) How effectively does the UNCA distil complex information into clear, actionable insights?* *(b) Are key development challenges and opportunities clearly articulated and prioritized?* *(c) Does the analysis identify specific acceleration pathways that could catalyze progress across multiple SDGs?* *(d) Is there a clear rationale provided for the identified acceleration pathways?* *How well does the synthesis balance depth of analysis with strategic focus?*			
7.	**Well written and presented:** *(a) Is the language easily understood?* *(b) Is the content well structured?* *(c) Is the document well designed?* *(d) Are visualizations and innovative approaches to presenting used?*			

Signed _____

Reviewer/Chair of Quality Assurance

Annex 4: Menu of tools for the analysis (A living document to be continuously updated)

Content

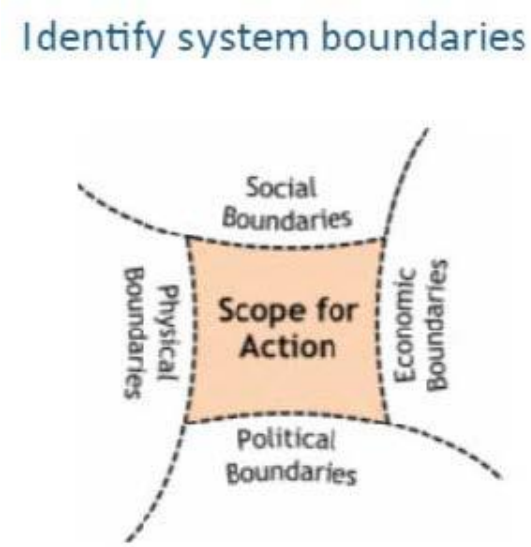
Systems Thinking[15]

Systems thinking is a mindset for solving complex problems by understanding how elements in a system are interconnected. It identifies dependencies, causes, information flows, and decision points. It also allows you to think through how best to engage stakeholders to effectively manage or intervene in the system for desired results.

Step-by-step guide to systems-thinking modelling

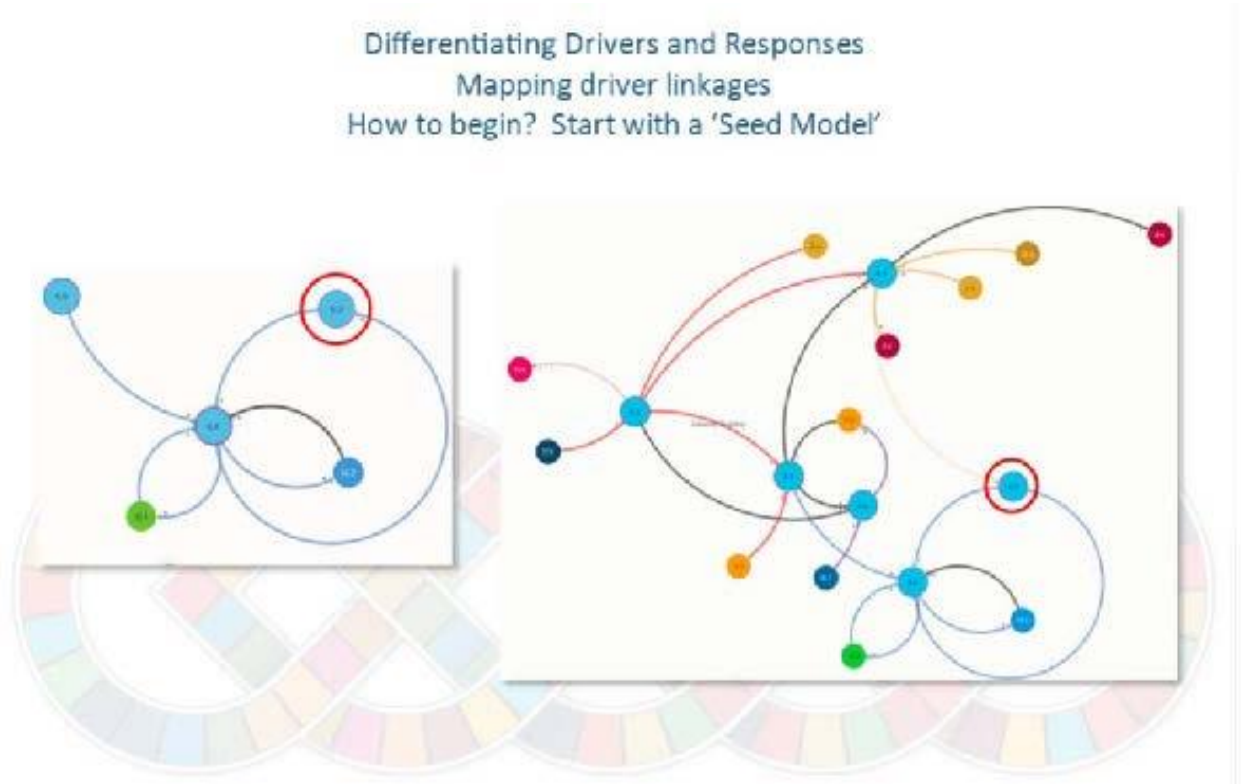
1) How to Develop a Systems Thinking Model

2)

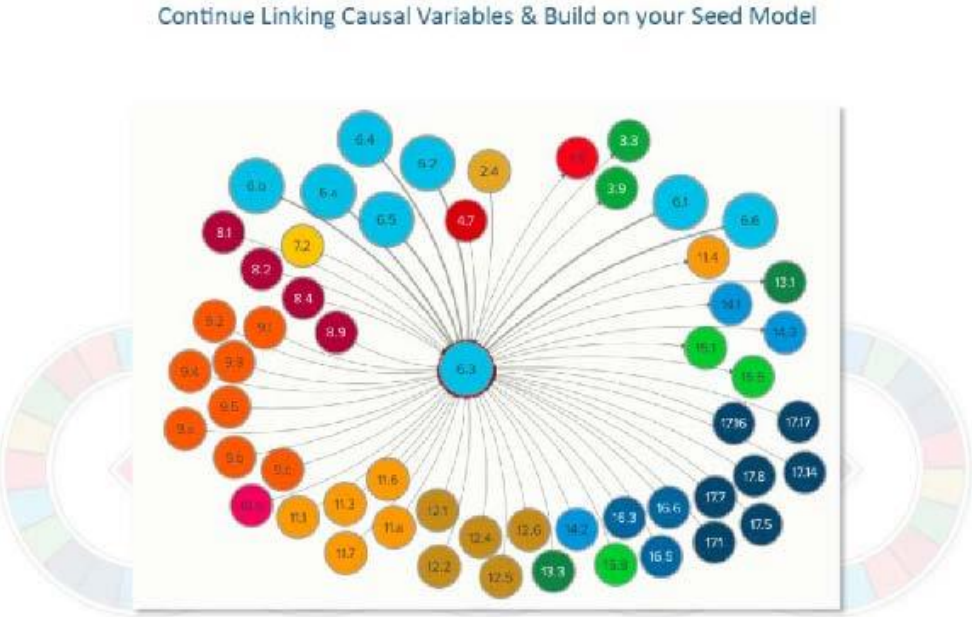


15 United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP). *Introduction to Systems Thinking Tools*. Accessed June 22, 2024. https://www.unescap.org/sites/default/files/Introduction%20to%20systems%20thinking%20tools_Eng.pdf.

3) Creation of qualitative causal diagrams. They can be created for a specific thematic area and then synthesized to create an integrated Causal Loop Diagram.



For example, below you can see how water quality related SDG 6.3 is impacted by progress in a range of SDGs.



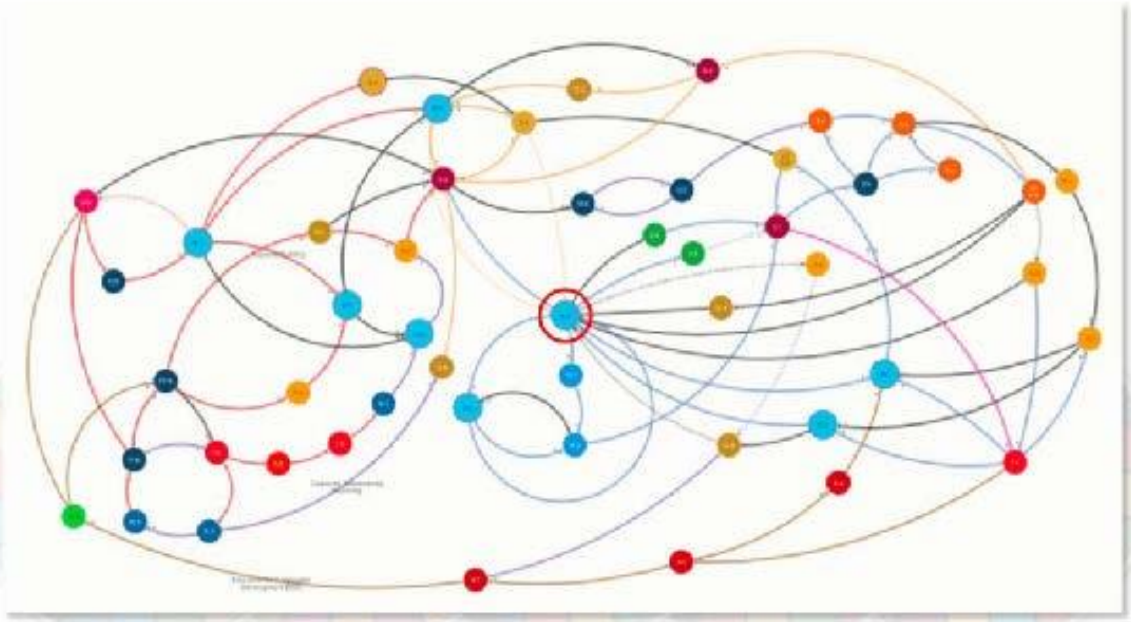
4)

Continue Linking Causal Variables & Build on your Seed Model

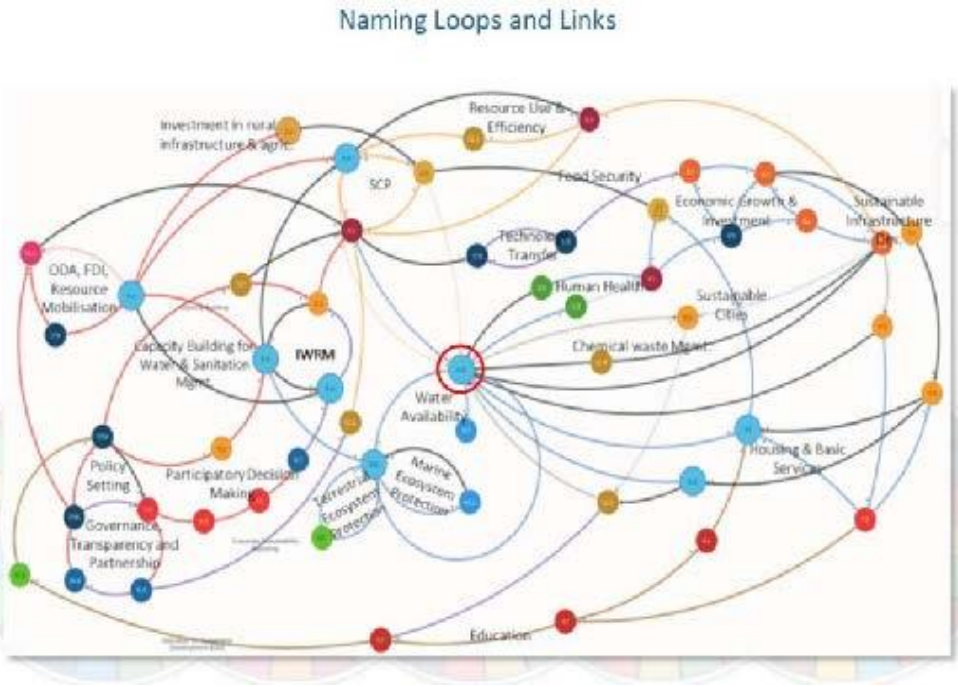
Inter-target linkages whereby the SDG 6 Target is the direct 'driver' for change for the other SDG targets (Identified by Target Number)	**Inter-target linkages whereby the SDG 6 Target is being influenced (Response) by the other target.** (Identified by Target Number)
Total Direct 'Driver' linkages deriving from 6.3: (11)	**Total Direct 'Response' linkages going to 6.3: (44)**
SDG 1: 1.5	**SDG 2:** 2.4
SDG 3: 3.3, 3.9	**SDG 4:** 4.7
SDG 6: 6.1, 6.6	**SDG 6:** 6.2, 6.4, 6.5, 6.a, 6.b
SDG 11: 11.4,	**SDG 7:** 7.2
SDG 13: 13.1	**SDG 8:** 8.1, 8.2, 8.4, 8.9
SDG 14: 14.1, 14.3	**SDG 9:** 9.1, 9.2, 9.3, 9.4, 9,5, 9.a, 9.b, 9.c
SDG 15: 15.1, 15.5	**SDG 10:** 10.b
	SDG 11: 11.1, 11.3, 11.6, 11.7, 11.a
	SDG 12: 12.1, 12.2, 12.4, 12.5, 12.6
	SDG 13: 13.3
	SDG 14: 14.2
	SDG 15: 15.9
	SDG 16: 16.3, 16.5, 16.6
	SDG 17: 17.1, 17.5, 17.7, 17.8, 17.14, 17.16, 17.17

5)

Map the "Responses or Outcomes" and Identify Feedback



6)


Naming Loops and Links
Investment in rural infrastructure & agric.
Resource Use & Efficiency
SCP
Food Security
Economic Growth & Investment
Sustainable Infrastructure
Technology Transfer
ODA, FDI, Resource Mobilisation
Human Health
Sustainable Cities
Capacity Building for Water & Sanitation Mgmt
IWRM
Chemical waste Mgmt
Water Availability
Housing & Basic Services
Policy Setting
Participatory Decision Making
Terrestrial Ecosystem Protection
Marine Ecosystem Protection
Governance, Transparency and Partnership
Education

Interlinkages Scale

Interaction	Name	Explanation	Example
+3	Indivisible	Inextricably linked to the achievement of another goal.	Ending all forms of discrimination against women and girls is indivisible from ensuring women's full and effective participation and equal opportunities for leadership.
+2	Reinforcing	Aids the achievement of another goal.	Providing access to electricity reinforces water-pumping and irrigation systems. Strengthening the capacity to adapt to climate-related hazards reduces losses caused by disasters.
+1	Enabling	Creates conditions that further another goal.	Providing electricity access in rural homes enables education, because it makes it possible to do homework at night with electric lighting.
0	Consistent	No significant positive or negative interactions.	Ensuring education for all does not interact significantly with infrastructure development or conservation of ocean ecosystems.
-1	Constraining	Limits options on another goal.	Improved water efficiency can constrain agricultural irrigation. Reducing climate change can constrain the options for energy access.
-2	Counteracting	Clashes with another goal.	Boosting consumption for growth can counteract waste reduction and climate mitigation.
-3	Cancelling	Makes it impossible to reach another goal.	Fully ensuring public transparency and democratic accountability cannot be combined with national-security goals. Full protection of natural reserves excludes public access for recreation.

Kumu: A Powerful Tool for Mapping and Visualizing Complex Data[16]

Kumu is an online platform for mapping systems, stakeholders, and networks and can be utilized by UN Country Teams for visualizing Country Analysis data. This platform allows you to upload data via Microsoft Excel Spreadsheet, Google Sheets, and direct entry and automatically generates customizable visualizations. These maps can be shared with UN Country Teams via hyperlink, or exported as PDF, PNG, XLSX (Excel), or JSON files. For example, Kumu was used to map Jordan's Food Systems, clustered by the 2021 UN Food Systems Actions Tracks. .

Caption: one of the maps related to UNDP Jordan's work on food systems, which was produced through Kumu

16 United Nations Development Programme (UNDP). "Kumu: A Powerful Tool for Mapping and Visualizing Complex Data." Accessed June 22, 2024. https://www.undp.org/jordan/blog/kumu-powerful-tool-mapping-and-visualizing-complex-data-0.

Advantages and Limitations of Using Kumu for Mapping

Advantages	Limitations	Workarounds
Ease of Use: Creating maps in Kumu is straightforward if data is correctly entered into a spreadsheet. The learning curve is not steep, especially for those with experience in other design and visualization tools like AutoCAD, ArcGIS, SketchUp, Revit, Adobe Suite, Canva, Mural, and Miro.	**Hands-on Learning**: Much of the learning process is hands-on. While online resources are helpful, users often need to learn by doing, which can be frustrating when encountering glitches, such as errors caused by empty rows in the spreadsheet.	Follow Kumu's guidance and templates diligently, be patient, and persist through issues. Reach out to Kumu support for help when needed.
Automated Visuals: The automated visuals help even those without design experience create organized maps with extensive data. This feature saves time and effort, as manually visualizing large data sets can be difficult.	**Complexity in Large Data Sets**: When dealing with large data sets, the resulting visual can be overwhelming and hard to interpret.	Customize the map by editing colors, shapes, sizes, and fonts to make it more user-friendly.
Customization Options: Visual layouts can be modified by changing colors, shapes, fonts, and sizes, allowing for tailored presentations.	**Manual Tweaks Reset**: Manually moving and rearranging elements in the visual can be undone if the page is refreshed, left, or if settings are changed and saved. Shared hyperlinks do not maintain these manual changes.	Export the map with the desired layout before refreshing the page or making changes to settings.
Live Data Integration: Linking or importing data through a live Google spreadsheet makes updating and co-creating the map easier. Changes in the are automatically reflected in the Kumu map.	**Dual Spreadsheet Maintenance**: Managing two spreadsheets can be cumbersome. One is for colleagues to input data directly, and the other is formatted for Kumu, requiring careful management to keep datasets matched.	Maintain attention to detail and regularly update both spreadsheets to avoid mismatched data sets.
Sharing and Exporting: Maps can be shared interactively via hyperlinks, embedded on websites, or exported in formats like PDF, PNG, XLSX (Excel), and JSON.	**Geographic Mapping Limitations**: Kumu's geographic mapping feature is less robust than other tools like Power BI and ArcGIS. It only allows one geographic location per data entry, which is problematic for projects operating in multiple locations.	Create separate data entries for each location.
Privacy and Access Control: With a paid Pro account, projects can be made private, and the owner can assign various access levels to collaborators, including editing permissions.	**Limited Geographic Mapping**: For projects requiring detailed geographic mapping, Kumu may not be the best tool compared to specialized programs like Power BI and ArcGIS.	Use Kumu in conjunction with other tools for comprehensive geographic analysis.

Applying HRBA, LNOB and GEWE for a human-centred approach

"When we take a human rights-based approach to development, the outcomes are more sustainable, powerful and effective"

UN Secretary-General's Call to Action on Human Rights

The UNCA is human-centered, by applying the three guiding principles of the Human Rights Based Approach (HRBA), Leave No One Behind (LNOB), and Gender Equality and Women's Empowerment (GEWE). These guiding principles are derived from the UN Charter and the UN's normative principles and standards and are integral to the 2030 Agenda which includes a commitment to achieving sustainable development in full respect of international human rights law and gender equality and to leave no one behind. The Quadrennial Comprehensive Policy Review (QCPR)[17] provides new momentum for this, requesting the UN development system to assist Governments in their efforts to respect and fulfil their human rights obligations and commitments as a critical tool to operationalize the pledge to leave no one behind.

HRBA ensures that all policies, programmes and interventions, respect, protect, and fulfill the human rights of all individuals. LNOB focuses on identifying and addressing the needs of marginalized segments of the population and the drivers for the exclusion they face. GEWE highlights the importance of gender gaps and reducing inequalities, as well as empowering women and girls as a key to accelerating sustainable development. Combined these three principles, guide a human rights-based and multidimensional analysis of interconnected risks that address driving people's vulnerability, and will lead to a human-centered country analysis that considers the full spectrum of rights of all individuals, their diverse needs, and vulnerabilities as a prerequisite for inclusive and sustainable development.

Informed by international human rights obligations and commitments, the UNCA will leverage observations and recommendations from United Nations mechanisms and data, trends, and recommendations from national human rights institutions. The **HRBA** identifies key gaps and challenges and groups most left behind, framing these development challenges as human rights issues. It identifies root causes of development challenges and places people at the centre by identifying capacity gaps of rights-holders rights and the duty-bearers (see below). The country analysis will refer to in-depth **gender analysis** on the structural causes of gender inequality and discrimination, using sex-disaggregated, gender-sensitive data, and assessing women's empowerment. Please see the companion piece on the guiding principles for more details. The UNSDG Good Practice Note for UNCTs on Operationalizing Leaving No One Behind offers Resident Coordinators and UNCTs a methodology to **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

[17] GA resolution 75/233. Quadrennial comprehensive policy review of operational activities for development of the United Nations system.

intersectionality, the manifestation of multiple types of inequality and discrimination, and how these reinforce exclusion.

The exclusion frameworks present significant **challenges to data collection**. They will require data 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. This challenge can be addressed in different ways with due consideration to safety and ethical consideration and to the do no harm principle. Examples include the following: focus groups discussions with groups left behind; **focus groups discussions with persons who can identify other groups left behind (as UN might not always be in good position to capture such groups – usually identified as 'invisible'); interviews with relevant stakeholders; field ethnographic research/behavioural (BI) research (potentially in partnership with local universities or other interested partners); applying human-centered design approaches with relevant communities and groups to understanding barriers and enablers; and other locally available methods or research options.**

There are various tools focused on supporting the UN to increase its attention to various groups, which also contain guidance that may be relevant for the CA, for example the UNCT Gender Equality Marker, the UNCT/SWAP Gender Equality Scorecard, the UNCT Youth 2030 Scorecard, UN Disability Inclusion Strategy (UNDIS), the UNCT Accountability Scorecard on Disability Inclusion, UN SWAP on the Rights of Indigenous Peoples, the mandatory UN Info Human Rights Markers and the Checklist to Strengthen UN Work at Country Level to Combat Racial Discrimination and Advance Minority Rights. There are also various UN human rights treaty bodies and UN Special Procedures that focus on specific groups and which can contain important information on the country situation.

The HRBA and LNOB uses a three-step process for analysis, integrating gender throughout:

1. **Causal/root cause analysis:** based on the evidence at hand, formulate a problem statement. Indicate the human rights issues affected by the development challenge (e.g. availability, accessibility, acceptability, quality and non-discrimination in relation to economic, social and cultural rights (ESCR)). The development challenge should be formulated from a people-centred perspective and explain who is being affected, particularly groups left behind.

   A technique for identifying immediate, underlying and root causes of a problem is to construct a "problem tree", where asking "why" and "because" can be helpful to probe the problem. A "problem tree" can provide a visual, participatory means to gain insight into the multiple causes and relationships between causal factors. Ensure that the root cause analysis identifies intersecting and compounding drivers of structural or systemic disadvantage and discrimination.

2. **Role pattern analysis:** the second step identifies those whose rights are affected by the development problem (rightsholders); and those who are responsible for taking action to address it (duty bearers). What rights and obligations do they have?

3. The **capacity gaps analysis** examines the capacity gaps that prevent the rights-holders and duty-bearers from taking action to address the development challenge. For rights-holders, this could include a lack of awareness/knowledge/information/skills/resources, lack of security, stigma, legal or other barriers to participation, barriers related to their access to information, meaningful participation, access to effective remedies, limited representation and inclusion of groups left behind within the duty-bearer institutions etc.. For duty-bearers, this could include insufficient administrative or legal framework, lack of political will, lack of authority or clear mandate to take action, lack of human, financial and technical resources and expertise, lack of coordination etc.

One tip for applying HRBA, LNOB and GEWE in an integrated manner, is to ensure the analysis considers four aspects they have in common:

- Alignment with international norms and standards, by identifying human rights issues and trends in the country, mapping relevant international obligations and commitments made by the country and referring to the relevant recommendations from UN and regional human rights mechanisms.
- Focusing on equality and non-discrimination, by conducting causal analysis, role pattern analysis and capacity gap analysis; incorporating gender and LNOB analysis throughout the CA process and products; ensuring that the risk analysis reflects differentiated and intersectional vulnerabilities; and by using the UN system's scorecards.
- Ensuring active and meaningful participation, including by marginalized and excluded groups, in the CA process.
- Integrating robust accountability mechanisms, by acknowledging existing data gaps, and seek input, information and feedback from diverse stakeholders.

In addition to the Cooperation Framework Companion Piece: Guiding Principles, several other tools can be utilized as a complement to understand the challenges through the prism of the individual. Some of the most used tools are **Persona, A Day in the Life of XXX, and Journey Mapping.** For more tools, feel free to refer to the Human-Centred Design Toolkit, d-School, and Ideo-Acumen Methodology.

Other key resources are:

- Cooperation Framework Companion Piece: Guiding Principles
- Foundational Course on UNSDCOOPERATION FRAMEWORK Guiding Principles
- Checklist on Integrating Human Rights, Leave No One Behind, and Gender Equality and Women's Empowerment in Common Country Analyses (CCAs) which can also be accessed through the Online tool for UNCTs (password: CCACFChecklists)
- UN Common Learning Package on HRBA, LNOB and GEWE
- Call to Action for Human Rights Country Dialogues Handbook
- A United Nations Agenda for Protection - Strengthening the ability of the United Nations System to protect people through their human rights
- Universal Human Rights Index

Root Cause Analysis (RCA)

Understanding the causes of development challenges requires the mapping of the root causes (or structural factors) of a problem and actions that are needed to eliminate it.[18] The Root Case Analysis (RCA) in the Country Analysis process helps to identify the structural factors or systematic issues that perpetuate development challenges, cutting through the layers of bureaucracy to find the true meaning of the development challenges, to more effectively address the issue(s) associated with it.[19] RCA is an important step in the three-step approach of HRBA, LNOB and GEWE (see above "Applying HRBA, LNOB and GEWE for a people-centred approach") and the various techniques outlined in this annex should be applied taking the HRBA, LNOB and GEWE into consideration. The RCA often involves several techniques or cause-and-effect diagrams to dig deeper.

A root causes analysis requires careful preparation by the UN Country Team, to ensure a robust analysis. Some of the essential elements needed before undertaking this process include:

- **Clear Problem Definition:** The UN country team frames data and evidence as key "problems" to be solved. The problem should be articulated so that it is clear who is affected (eg. gender dimensions and LNOB groups particularly impacted). This would allow to thoroughly understand the nature of the problem – underlying and root causes - forming the basis for ultimately defining the solutions and to address it.
- **Understanding of data at hand:** To conduct an effective RCA as part of CA, the group must have the latest and most pertinent data. For that, a preliminary analysis might be necessary to identify and verify key data, initial patterns, trends, and potential areas of concern, and locate data gaps requiring additional inquiries. This will help to set the stage for more detailed analysis during collective analysis. For this a comprehensive and well-organized data repository in a shared area will be instrumental,

18 Andersen, Bjorn, and Tom Fagerhaug. *Root Cause Analysis : Simplified Tools and Techniques*, ASQ Quality Press, 2006. *ProQuest Ebook Central*, https://ebookcentral.proquest.com/lib/columbia/detail.action?docID=1884171.

19 "Asking "Why?" Five Times, *Environment Quality Management,* Robert, Pojasek, 2000; 10, 1; ABI/INFORM Trade & Industry pg. https://faculty.washington.edu/rsmcpher/Class%20Cases%20and%20Assignments/5%20Whys.pdf

consisting of i) up-to-date information and analysis produced by various UN entities; ii) official statistics from the national statistics authorities showing patterns and trends critical for understanding the context; iii) relevant policies and procedures in place (documents outlining the existing frameworks within which issues occur or persist); and iv) applicable reports with insights from IFIs, think tanks, academia, and NGOs.

- **Diverse Expertise:** The group that will conduct the causal analysis must have varied expertise and perspectives relevant to a broad array of development issues. It is critically important that the group includes subject matter experts, front-line staff, and management. A designated facilitator needs to have skills to guide the analysis process ensuring that the group stays focused and productive. This diverse group composition ensures a comprehensive understanding of the issues and the ability to identify and address root causes effectively.
- **Suitable format.** Selecting a format that maximizes the group's engagement and effectiveness is crucial. Consider the following aspects:
    - **In-Person Workshop Format**: Conducting the RCA in a workshop setting can enhance collaboration and real-time problem-solving. This format allows for dynamic interaction and immediate feedback, fostering a deeper understanding of the issues. To maximize the workshop productivity, an advance preparatory work needs to be completed, such as familiarization by the group with the available data sources to gain a baseline understanding; potentially pre-event surveys aimed at assessing perceived priority issues, knowledge gaps, etc, while socializing clear expectations of the workshop outcomes and communicating responsibilities of each participant.
    - **Online Workshop Format:** Online workshops can also be highly effective, especially for groups that are geographically dispersed. Leveraging video conferencing, shared digital whiteboards (e.g., Teams Whiteboard, Miro, etc.), and collaborative document editing can ensure active participation and continuous engagement. Online sessions can sometimes be broken into several parts and span over separate dates that best accommodate the group's logistical needs, allowing for flexibility in scheduling.
    - If held in a hybrid format, both formats can benefit from shared online whiteboards (e.g. Teams whiteboard, Miro, etc.), for collaborative brainstorming, diagramming, documentation of findings, and continuous engagement for analysis elaboration.
    - **Desk Review Format:** Conducting a causal analysis virtually without an in-person/online workshop involves a combination of asynchronous and synchronous collaboration. The group facilitator should agree with the group on the problem statement by sharing relevant data and documents via email or an online collaboration platform. The group members then can contribute their initial thoughts on potential causes asynchronously, following up with a virtual meeting to discuss and validate the findings for documentation.
    - **Group leader:** One person in the group is designated to ensure that the analysis progresses and that tasks are assigned to various group members.

Tools and methodologies to systematically analyse the data and identify the root causes of a development challenge include:

- **Five Whys:** This iterative interrogative technique involves asking "why" five times or more to drill down into the root cause of a problem, moving beyond superficial symptoms to uncover underlying issues.

- **Cause-and-effect diagrams:** Also known as Ishikawa or fishbone diagrams, these diagrams help identify, explore, and display the possible causes of a specific problem, organizing them into major categories for easy analysis.
- **Matrix Diagram:** A visual technique for spotting relationships between factors and analysing causal relationships between them. The diagram can thus be used to determine which of different possible causes contribute the most to a problem.
- **Fault tree analysis:** A tool for looking forward and anticipating what problems can occur in a system. It is useful for depicting all possible causes in one diagram, identifying links, and naturally builds on the results from "Five Whys" analysis.

Five Whys

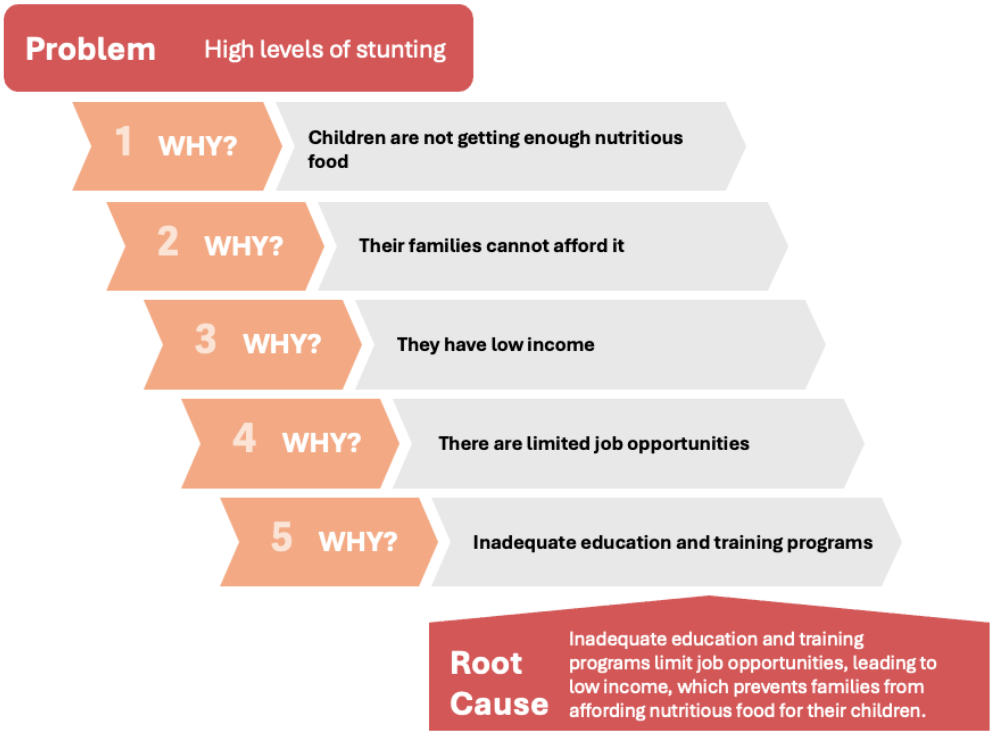
Often referred to as a "shortcut" to getting to the root cause of the problem, the 5 Whys technique is a simple, yet powerful tool for collectively conducting analysis. It helps to identify the root causes of complex and wicked issues that hinder the development acceleration, while inhibiting progress in associated and often unobservable areas. One of the key benefits of the Five Whys exercise is that it trains people to recognize the difference between an event-oriented explanation and a systemic one.

This technique requires asking 'Why' five times in succession, guiding the analysing group through a logical sequence of questions, and progressively narrowing down broad questions to identify specific insights about a root cause that is actionable and manageable. Potentially, a dozen symptoms can be traced back to two or three systemic issues. Tracing these patterns paths could help you identify issues that affect the whole system.

The straightforwardness of the tool allows a wide engagement of stakeholders and understanding their perspectives through an iterative process, concluding with a final inquiry - fifth 'Why' - which should reveal a concrete cause that can be acted upon, facilitating targeted interventions and policy recommendations. The group conducting the analysis can utilize this method by repeatedly asking 'Why?' at least five times to delve into different layers of detail. When it becomes difficult to answer 'Why?' any further, it is likely that the root of the problem has been identified.

To be effective, the group answers must avoid blaming individuals and/or events (Do not ask "Who?"), which leaves no room for a substantive change. To avoid falling into the trap of generating blame-related "answers", as each answer is recorded, keep asking "Ok, is this the only reason?".

See an example in the graph below:



Briefly, this tool of causal analysis can help the UN interagency groups and stakeholders gain:

Depth of understanding: By repeatedly asking "why," the method goes beyond surface-level symptoms to uncover underlying issues, more systemic issues. This iterative questioning technique helps identify interconnected factors and provides a holistic view of the problem, which is essential for formulating effective solutions in complex environments. Engaging stakeholders in this process ensures that the analysis reflects their experiences and insights, leading to more relevant and sustainable interventions.

Simplicity and clarity: It's an easy-to-understand approach that can be used by groups without requiring extensive training. The straightforward nature of asking "why" makes it easy to implement in any context, whether in a meeting or a workshop, making it accessible to a broad audience.

Focus on root causes: Helps ensure that interventions target the real problems, not just their manifestations. Each "why" question helps peel back layers of symptoms until the core issue is revealed. This core issue, or root cause, is what ultimately needs to be addressed to resolve the problem effectively.

Structured approach: Provides a clear, logical framework for exploring complex issues systematically. This structured approach allows for a thorough examination of each layer of the problem, allowing deliberation on each contributing factor. As the group delves deeper into each "why," they uncover interconnections between various elements of the issue.

Enhanced problem-solving: Leads to more effective and sustainable solutions by addressing fundamental causes rather than temporary fixes. Addressing the root cause helps prevent the problem from recurring. Solutions derived from identifying the root cause are typically more durable and sustainable. They tackle the core issues, which means the positive effects are likely to last longer than quick fixes. Also, by focusing efforts on the root cause(s), resources are utilized more effectively, ensuring that interventions are impactful and cost-efficient.

Step-by-Step Guide:

This method can be applied when the group understands and agreed on the specific development challenge and has clearly defined the problem statement.

1. **Identify the Problem:**
   Clearly define the issue or challenge you are investigating, using the information known to the group. Use hierarchical process map, which visually represent processes by breaking them down into successive levels of detail. Decide if you need external support to help you grasp the problem or need more time to discuss it within the group.
2. **Ask 'Why?':**
   Ask the first why as to why the problem occurs. You might end up with three or four answers. Write the all the answers down on a chart.
3. **Repeat the Process:**
   For each answer, ask 'why' again and place the answers near its "parent." Continue the process five times. Follow up on all answers that seem likely. You have identified the root causes when the questions no longer yield plausible responses. If necessary, continue to ask beyond the 5 Whys to reach to the systematic sources and causes. Once done, analyse all the responses (potentially a dozen in total) to the last Whys and highlight those with systematic sources and causes. Discuss with the group and try to limit them to a few. Follow up this process with debriefing. You might realise there is no single root cause in the wicked development problem, but identifying the most probable causes will go a long way toward finding acceptable solutions.
4. **Document the Process:**
   The group will record each step of the 5 Whys process, including all questions and answers and can create a visual representation, such as a flowchart or mind map, to illustrate the causal chain. Based on the root cause analysis, with causation visibly displayed in relevant charts, the group can brainstorm possible interventions and solutions, considering short-term and long-term strategies to address the root cause. It is also useful to follow the root cause session with debriefing so that everyone had a chance to relate their experience or understanding of the issue to that of other participants. This will help challenge the group's perception of the issue and help fight "one right answer" syndrome.

Responsibilities of the facilitator:

If possible, use the facilitator, who can be instrumental in helping the problem-solving group avoid getting in the "circle" in the questioning process (i.e. the replies to the questions four or five should not be answers to the first "Why?"). Such situations might signal of "sensitivities" around that issue, which can be beyond their control or damaging to their position. Also, the first three "Whys?" can still unpack symptoms, not the cause. Therefore, it is the facilitator's responsibility to help the group face these situations and delve into causes.

Use Five Whys in combination with other root cause analysis techniques

"Is, Is Not"

To warm up the group before the Five Whys exercise, the facilitator can use this technique to better define their complex issue that the group has selected for their analysis. This discussion will help to frame the question at hand. When there is risk of overload as a result of brainstorming and potential causes, we can by comparing "is" and "is not" quickly identify the direction of analysis.

Please see a template20 of an Is-Is Not Matrix Template, followed by an example of a filled matrix.

Is–Is Not Matrix Template

Problem:	Is	Is Not	Distinctions
What occurs, what objects are affected?			
Where does the problem occur?			
When does the problem occur?			
Extent of problems			
Who is involved?			

Example with details:

Problem: High Child Malnutrition Rates	**Is**	**Is Not**	**Distinctions**
What occurs, what objects are affected?	Children are not getting enough nutritious food.	The issue is not about children getting enough food in general.	Focuses on nutritional quality, not just food quantity.
Where does the problem occur?	In low-income households in rural and urban areas.	Not in households with sufficient income or resources.	The issue is prevalent in economically disadvantaged regions.
When does the problem occur?	Continuously, but worsens during economic downturns and crises.	Not limited to a particular season or time of the year.	Economic instability exacerbates the problem.
Extent of problems	High prevalence of malnutrition in children under five.	Not affecting older children and adults to the same extent.	Focuses on young children, highlighting vulnerability in early childhood.

20 Andersen, Bjorn, and Tom Fagerhaug. *Root Cause Analysis : Simplified Tools and Techniques*, ASQ Quality Press, 2006. *ProQuest Ebook Central*, https://ebookcentral.proquest.com/lib/columbia/detail.action?docID=1884171.

Who is involved?	Low-income families, local communities, health care providers, government agencies.	Not directly involving high-income families or unaffected communities.	Multi-stakeholder involvement needed for addressing the issue comprehensively.

"Fishbone" or Fault Tree Analysis Diagrams

Once the Five Whys exercise is completed, the group can build a cause-and-effect diagram - either through "fishbone" or Fault Tree Analysis - to show the underlying causes and effects associated with the problem. The Five Whys, while generating ideas of possible root causes, tend to treat all causes as equal and as isolated variables. As a natural follow up step, the "fishbone" and Fault Tree Analysis are useful for placing all possible causes in one diagram and identifying links between them.

"Fishbone" (Ishikawa) Diagrams

Another useful tool for conducting a root cause identification is a Cause-and-effect chart, or "Fishbone". Similarly to the "Five Whys", this chart needs to have a clearly defined problem, either new or the same from the "Five Whys" exercise. The problem should be written at the end of a large arrow on a whiteboard or some other surface (Team's or Miro's "whiteboard", if conducted online). There should be sufficient space to write as many ideas and causes as possible; the participants should not worry about making the chart look neat at this stage of analysis. "Branches" in the chart represent the main groups of causes, or areas. Thus, all possible causes of the problem, which transpired during the "Five Whys" exercise", should be written along relevant branches of the 'fishbone'. The descriptions must be brief and succinct. Once all causes are assigned to their "area" branches, each group must be evaluated with a view to identify the most important causes and key root causes should be agreed and highlighted. The most prominent group of causes usually represents the root cause.

Step-by-Step Guide to Creating a Fishbone (Ishikawa) Diagram for Root Cause Analysis

Step 1: Define the Problem

- **Clearly Define the Problem**: Start by clearly defining the problem you want to analyze. This can be a new problem or one previously examined using the "Five Whys" technique.
- **Write the Problem Statement**: Write the problem statement at the end of a large arrow on a whiteboard or digital whiteboard (e.g., Team's or Miro's "whiteboard" if conducted online).

Step 2: Set Up the Diagram

- **Draw the Backbone**: Draw a straight horizontal line (the "backbone" of the fish) extending from the problem statement.
- **Create Major Branches**: Draw several major branches off the backbone. These branches represent the main categories of potential causes. Common categories include People, Processes, Materials, Equipment, Environment, and Management, but these can be adjusted based on the specific context of the problem.

Step 3: Brainstorm Possible Causes

- **Gather the Team**: Assemble a group of participants who are knowledgeable about the problem. Encourage them to contribute ideas freely.
- **Brainstorm Causes**: For each major branch, brainstorm possible causes related to that category. Write these causes as smaller branches off the major branches.
- **Utilize Previous Analysis**: Include causes identified during the "Five Whys" exercise. Write these along the relevant branches.

Step 4: Record the Causes

- **Keep Descriptions Brief**: Ensure that all descriptions are brief and succinct.
- **Do Not Worry About Neatness**: At this stage, the focus is on capturing as many ideas as possible, so do not worry about making the chart look neat.

Step 5: Evaluate and Categorize the Causes

- **Review the Chart**: Once all potential causes are recorded, review the chart to ensure all ideas have been captured.
- **Identify Key Causes**: Evaluate each branch to identify the most important causes. Consider factors such as frequency, impact, and feasibility of addressing the cause.

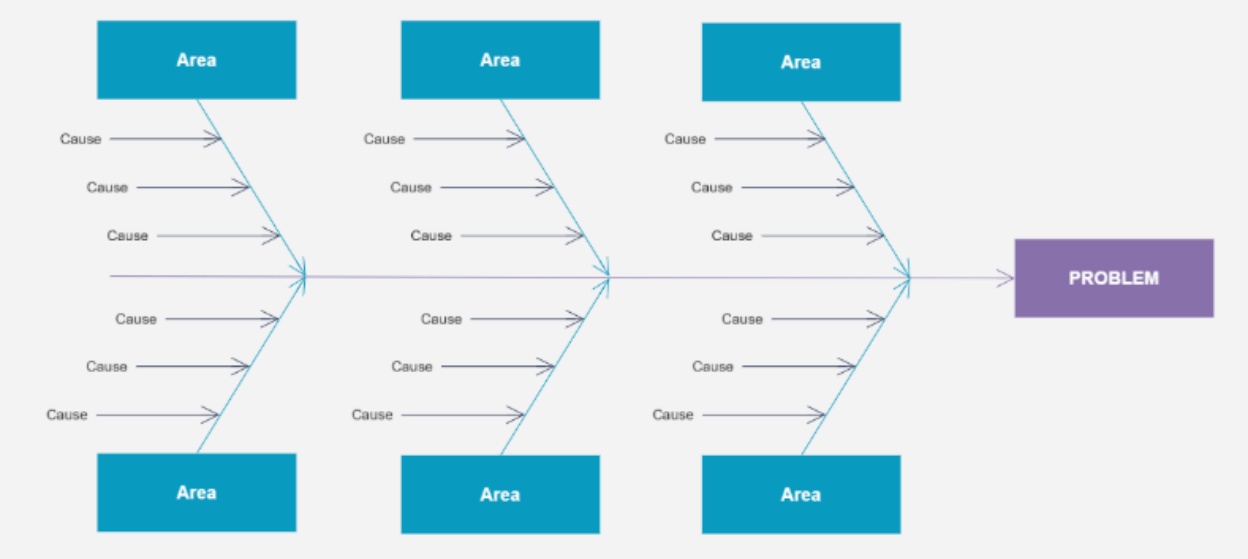
Step 6: Highlight Root Causes

- **Highlight Key Root Causes**: Agree on the key root causes with the team. Highlight these on the chart, using a different color or marking method to distinguish them from other causes.
- **Identify the Most Prominent Group**: The branch or group of causes that appears most frequently or seems to have the greatest impact often represents the root cause.

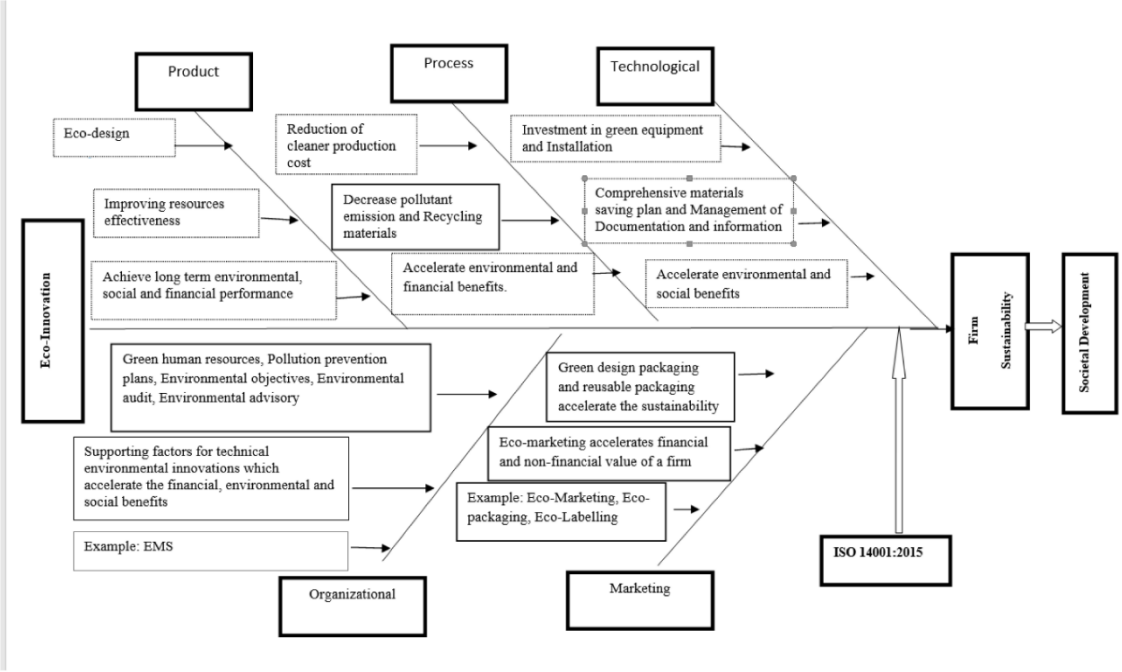
Step 7: Analyze and Document

- **Analyze the Findings**: Discuss the highlighted root causes and their potential impacts on the problem.
- **Document the Analysis**: Ensure that the completed Fishbone Diagram is documented and saved for future reference. This can be done by taking a photo of the whiteboard or saving the digital whiteboard file.

Table: "Fishbone" template



For instance, here is how a 'Fishbone' chart was used as a conceptual framework of eco-innovation for a firm's sustainability and societal development.21



In this example, the fishbone diagram is used as a robust tool for identifying and addressing the root causes of complex problems related to firm sustainability and societal development. Its comprehensive, clear, and systematic approach allows for detailed analysis and actionable insights. By focusing on eco-innovation and sustainability, it aligns with global priorities and facilitates strategic decision-making and collaboration. This ensures that interventions are not only effective but also sustainable, leading to long-term benefits for both firms and society at large.

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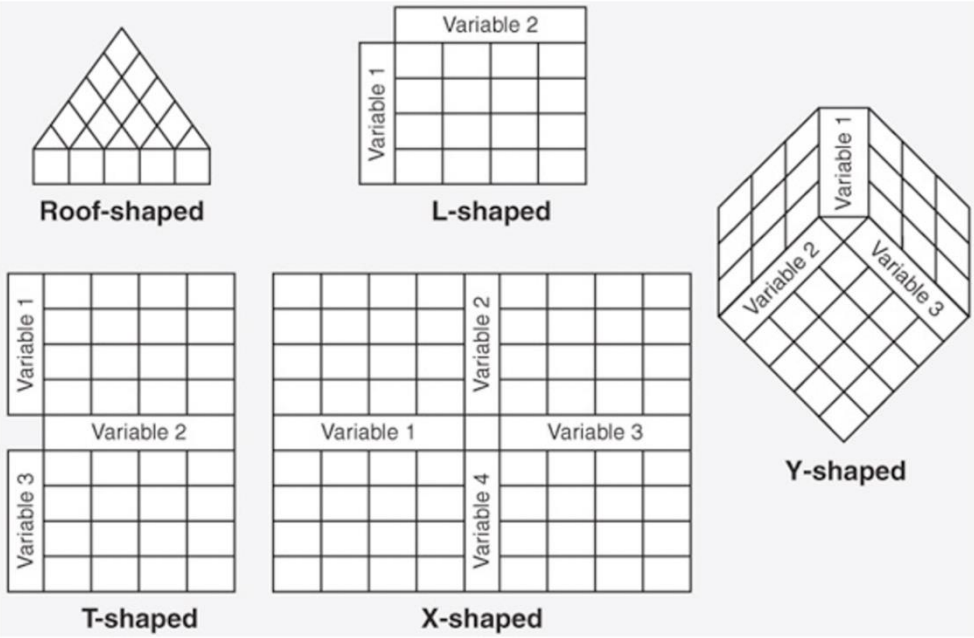
21 Toha, Md. Abu, Satirenjit Kaur Johl, and Parvez Alam Khan. 2020. "Firm's Sustainability and Societal Development from the Lens of Fishbone Eco-Innovation: A Moderating Role of ISO 14001-2015 Environmental Management System" *Processes* 8, no. 9: 1152. https://doi.org/10.3390/pr8091152

Matrix Diagram



In root cause analysis, various matrices can be utilized. The most frequently used matrix is the L-shaped one, which positions the problem characteristics on one axis and the potential causes on the other.

Fault Tree Analysis

Fault tree analysis is a deductive method used to identify potential causes of system failures before they occur. It is useful for depicting all possible causes in one diagram, identifying links between related causes or groups of similar issues, and naturally builds on the results from “Five Whys” analysis of one or several problems. Its purpose is to:

- Foresee potential failures
- Optimize resource allocation
- Enable the design of systems and processes that minimize risks of failures or reduce consequences
- Strengthen the resilience of systems and processes

Fault tree analysis uses a specific type of tree diagram to represent different failure modes. It serves as both a foresight tool to understand potential failures and an after-the-fact analysis tool for problems that have already occurred, which is the focus in this context.

Steps for Fault Tree Analysis

1. **Identify the Problem**: Place the problem to be analysed at the top of the tree diagram (the top event).
2. **Brainstorm Immediate Causes**: Identify immediate causes below the top event and plot these on the diagram.

3. **Assess Causes**: Determine whether each cause is a basic cause or the result of lower-level causes. Basic causes are circled and not developed further, while intermediate causes are placed in rectangles.
4. **Repeat Analysis**: For each intermediate cause, repeat the process until only basic causes remain at the lowest level of each branch.
5. **Use Symbols**: Use symbols to connect branches in the diagram, indicating whether causes operate together (AND, symbolized, for example, by a *square*) or independently (OR, symbolized, for example, by *a triangle*).

Checklist for Fault Tree Analysis

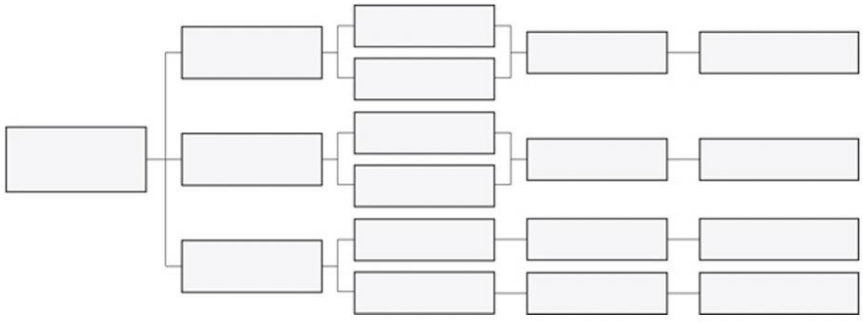
- Define and place the top event at the top of the diagram.
- Brainstorm first-level causes below the top event and plot them to form the upper branches.
- Examine each cause to determine whether it is a basic cause or due to underlying causes.
- Place underlying causes in the correct position on the fault tree.
- Use "and" and "or" symbols to indicate the relationship between causes at the same level leading to the element above.

Root Cause Identification Checklist

Root cause analysis involves distinct stages. This checklist ensures that the crucial elements of the root cause identification stage are completed before proceeding:

- Use the results of the problem cause data analysis stage to start the root cause identification stage.
- Assess identified possible causes to choose the appropriate tool, considering the number of causes, their similarity, and the extent to which some appear as obvious root causes.
- Select from analysis tools like matrix diagrams, cause-and-effect charts, five whys, and fault tree analysis.
- Perform the analysis according to the steps of the selected tool or tools.

Fault Tree Analysis Template



How to choose the root cause analysis tool?

Although root cause analysis is not a straightforward process due to the varying degrees of availability of data and complexities of issues that needs to be analysed in different countries, several distinct stages can be

identified. The following table summarizes the factors to consider when using the Fault Tree Analysis (FTA), Fishbone Diagram, and Five Whys analysis tools in the context of the UNCA:

Table: Factors for selecting the root cause analysis tools

Factors	Fault Tree Analysis (FTA)	Fishbone Diagram	Five Whys
Complexity of Issues	High - suitable for very complex, interdependent causes	Moderate - can handle multiple categories of causes	Low - best for simple, straightforward problems
Nature of Problems	System failures, policy implementation, critical infrastructure	Development issues across various sectors (health, education, economy, etc.)	Specific, isolated issues within broader problems
Team Collaboration	Requires detailed knowledge, more technical	Encourages team collaboration and brainstorming	Simple to use, suitable for small teams or individuals
Categorization	Logical, hierarchical relationships between causes	Visual categorization into major areas (e.g., policy, social, economic)	Sequential cause-and-effect analysis
Visual Representation	Detailed, comprehensive diagrams	Clear, easy-to-understand visual representation	Minimal visual representation, linear questioning
Resource Requirements	High - detailed analysis, experienced team members	Moderate - structured brainstorming sessions	Low - no special tools or extensive training needed
Time and Effort	High - thorough and detailed analysis	Moderate - structured sessions with clear agenda	Low - quick and efficient analysis
Outcome	Comprehensive overview of all possible causes	Organized causes, major contributing factors identified	Quick identification of roo t causes

Power Analysis

Conducting power analysis helps us to identify and assess the distribution of power among different actors, the dynamics of power relations, and the potential impact of these dynamics on development efforts.

Each country's development needs vary in their unique political and socio-economic landscapes, the goal of this tool is to encourage a group thinking process for effective learning, instead of following a rigid framework or linear steps for power analysis. Some contexts may warrant a comprehensive power analysis (e.g. when there have been significant changes), while some might require updating existing analysis or focusing on specific sectors or issues. Nevertheless, a power analysis should address the following key issues, questions, and perspectives on power relations and structures:

- **Mapping out power relations** to high the potential drivers of accelerated change and reform-oriented coalitions, including key actors who have the influence to drive or block change, thereby enabling us to conduct more strategic planning and implementation.
- The power analysis is also instrumental in **identifying potential allies among social movements, civil society, the private sector, media, academia, and other stakeholders,** driving broader and targeted partnerships behind accelerated progress.
  Shed light on **unintended consequences of development interventions** by highlighting potential risks and helping to minimize negative impacts, especially on marginalized and vulnerable groups.
- **Reveal gaps** in accountability and participation mechanisms, guiding programmatic efforts to promote inclusive decision-making processes that engage marginalized groups and leave no one behind.

Instead of conducting one single analysis, to reduce transaction costs, consider producing a series of policy/and or issue briefs which can then be validated with focus groups. These inputs can then feed into the larger meta-analysis.

Practical Guide for Power Analysis[22]

First and foremost, we must clarify the objective and define core issues and questions. In identifying issues, it is important to keep in mind the Guiding Principles. In general, the power analysis provides an opportunity to test our assumptions as to how change happens and offers a dialogue informing our theory of change. A thorough power analysis should capture diverse perspectives, especially of marginalized groups, and ideological viewpoints, offering multiple options for discussion. We could think beforehand as to whose viewpoints should be reflected to gain a comprehensive understanding of power relations?

To refine our focus and develop a structure for our power analysis, consider three clusters of issues and questions about power: 1) **Structures and Norms; 2) Actors and Institutions; and 3) Politics and Contestation.** When analyzing the structures and norms we may want to pay attention to *the current and historical social, cultural, economic, and political patterns that may lead to poverty and inequality.* For that we could examine social, cultural, economic, and political structures contributing to poverty and inequality; analyse the distribution of land, natural resources, income, and economic resources; assess who has access to education and employment, and why, considering social and cultural hierarchies like ethnicity, geography, caste, class, and gender; investigate colonial and neo-colonial legacies, land tenure systems, resource use, market control, trade,

22 Pettit, Jethro. 2013. *Power Analysis: A Practical Guide*. Stockholm: Swedish International Development Cooperation Agency (SIDA).

production, and economic dependencies, including corruption and organized crime; explore how these forces affect political and judicial systems, rule of law, human rights, and social justice.

Here are examples of generic questions that can guide the analysis further. This is not an exhaustive list, and you may identify others relevant to your country context:

- How is this type of power manifested in the specific context or sector being analysed?
- What are the interrelationships between this type of power and other forms of power across different clusters?
- How does this power dynamic impact the key development issues and priorities identified by the UN?
- In what ways can a deeper understanding of this power dynamic inform and enhance our analysis and interventions?
- What strategies or interventions can be developed to address and mitigate the influence of this power dynamic?
- Are there specific actions or policies that can be implemented to challenge or change this power structure?
- Should this power dynamic be considered a significant constraint, and if so, how can we navigate or work around it effectively?

Concepts and methods of power analysis

Power is a multifaceted and debated concept with no single definition, as it varies based on political, economic, and social contexts, and the focus on actors, structures, or institutions. The meaning of power also changes depending on socio-cultural perspectives. Therefore, it is essential to approach power from various perspectives rather than using a single definition. These concepts will help you examine the concept power from different perspectives and encompass the full complexity of power:

- Agency vs Structure
- Formal and Informal Power
- Positive and Negative Power
- Agency as power to, power with and power within23
- Power in development cooperation
- Empowerment
- Multiple dimensions of power and empowerment: intersection of social, economic, and political empowerment

23 Green, Duncan, 2016. "**How Change Happens**," OUP Catalogue, Oxford University Press, number 9780198785392, Decembrie.

Tools and methods for analysing sources of power

- **Stakeholder Power Analysis**[24]**:** This tool helps to understand how people affect policies or institutions. It is especially valuable for identifying beneficiaries and those disadvantaged by these dynamics, as well as highlighting the challenges in changing behaviour, developing capabilities, and addressing inequalities. When using this tool, consider the sources and positions of power, and the impact of context and spaces.
- **Stakeholder Influence Mapping**[25] : This straightforward visual tool is designed to assess and illustrate the varying degrees of influence different individuals and groups have on decision-making, as well as how this influence and cooperation evolve. It can be used during discussions potentially involving key interlocutors to create diverse representations of power dynamics. It is important to ask about the sources and positions of power, and the effects of context and spaces when using this tool.
- **Drivers of Change**[26] :It is a power analysis process that employs a variety of tools and methods to identify key actors and the principal social, economic, and political forces that enable these actors to either support or obstruct pro-poor reforms. Key actors are assessed based on their levels of legitimacy, resources, and networks. They are analysed according to the strength of five sources of power: Position Power, Financial Power, Expert Power, Negotiation Power, and Networking Power.
- **Political Economy Analysis**[27]**:** This overview provides a step-by-step list that could be utilized to carry out the analysis. This step-by-step provides a framework for analysing the structure of the economy to understand growth patterns and their implications for inclusivity; fiscal and monetary policies, and how its impact marginalised group; the role of politics and economics in shaping sustainable development outcomes; and the cross-sectoral impact of economic policies and its unintended social and environmental impacts.

Tools and methods for analysing forms of power include the following: **The Powercube, Power Matrix and 'Peeling the Onion'.**

24 "Power Analysis: A Practical Guide." Accessed June 22, 2024. https://policy-powertools.org/Tools/Understanding/SPA.html.

25 "Stakeholder Influence Mapping." Accessed June 22, 2024. https://policy-powertools.org/Tools/Understanding/SIM.html.

26 Department for International Development (DFID). "Drivers of Change." Public Information Note, September 2004. Accessed June 22, 2024. http://www.gsdrc.org/docs/open/doc59.pdf.

27 Department for International Development (DFID). "Political Economy Analysis: How To Note." A DFID practice paper. Accessed June 22, 2024. https://media.odi.org/documents/5866.pdf.

Table: Comparative analysis of the Powercube, Power Matrix, and Peeling the Onion

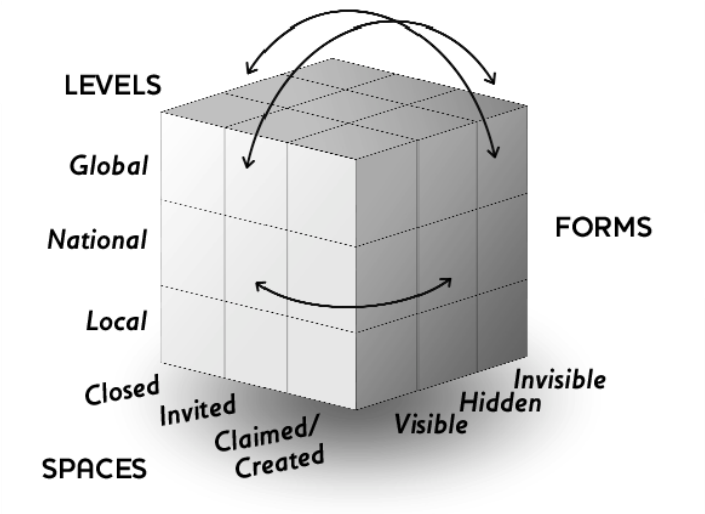
Tool	Strong Sides	Weak Sides
The Powercube	- Multidimensional Analysis: Examines power across different levels, spaces, and forms.	- Complexity: Can be overwhelming for those new to power analysis.
	- Comprehensive Framework: Provides a holistic view of power dynamics.	- Resource Intensive: Requires extensive data collection and analysis.
	- Flexibility: Adaptable to various contexts and issues.	- Broad Focus: Might lack depth in specific areas, missing detailed nuances.
Power Matrix	- Structured Approach: Offers a clear and structured method to analyze different types of power.	- Static Nature: May not capture the dynamic nature of power relations.
	- Focused Analysis: Enables targeted analysis of specific power dimensions.	- Limited Interactivity: Less interactive, potentially limiting stakeholder engagement.
	- Practical Application: Easy to apply in various contexts, including sectoral or thematic analyses.	- Potential Oversimplification: Risk of oversimplifying complex power dynamics.
'Peeling the Onion'	- Layered Analysis: Encourages a deep, step-by-step exploration of power dynamics.	- Limited Scope: Focuses on depth rather than breadth, potentially overlooking broader power dynamics.
	- Simple Concept: Easy to understand and communicate, making it accessible.	- Sequential Process: Time-consuming and may not suit urgent analytical needs.
	- Focus on Depth: Allows for in-depth analysis of underlying issues.	- Potential for Oversight: Risk of missing interconnected issues by focusing too narrowly on specific layers.

For a detailed guide and further resources, refer to:

SIDA's "Power Analysis: A Practical Guide"

Institute of Development Studies "Power: A Practical Guide For Facilitating Social Change"

The Powercube



The Powercube[28] (see the Figure above) presents a dynamic understanding of how power operates, how different interests can be marginalised from decision making, and the strategies needed to increase inclusion. The Powercube serves as a strategic analytical framework, offering a valuable perspective for context analysis, identifying opportunities to support change, and aiding in evaluation and learning. It describes how power is used by the powerful across three continuums of: 1) **Spaces**: how arenas of power are created; 2) **Power**: the degree of visibility of power; and 3) **Places**: the levels and places of engagement.

1. **Spaces**

The term 'space' refers to the different arenas in which decision-making takes place, in which power operates, and how these spaces are created.

1. 'Provided' or **'closed'** are spaced that are controlled by an elite group.
2. **'Invited'** spaces: with external pressure, or to increase legitimacy, some policymakers may create 'invited' spaces for outsiders to share their opinions.
3. **'Claimed'** spaces: these can provide the less powerful with a chance to develop their agendas and create solidarity without control from power-holders.

'Spaces' are fora for discussion or areas where interactions take place. They can be virtual (e.g. an online discussion) or an actual physical place (e.g. an in-person consultation meeting). The Power Cube helps us to understand these different forms of space and therefore how to use provided spaces better, how to create more invited space, and how to facilitate the claiming of space through negotiation.

[28] "The Power Cube Explained", Cecilia Luttrell, Kate Bird, Sarah Byrne, Jane Carter and Devanshu Chakravarti, November 2007, https://www.researchgate.net/publication/265733322_The_power_cube_explained

2. **Power**

The Powercube also distinguishes the degree of visibility of power:

1. **Visible power**: this is the conventional understanding of power that is negotiated through formal rules and structures, institutions and procedures
2. **Hidden power**: this focuses on the actual controls over decision-making and the way certain powerful people and institutions maintain their influence over the process often excluding and devaluing concerns and agendas of less powerful groups.
3. **Invisible (internalised) power**: this operates by influencing how individuals think of their place in society and explaining why some are prevented from questioning existing power relations.

The Powercube thereby helps us to differentiate between various dimensions of power, moving beyond simplistic assumptions like "the enforcers of rules are oppressors." This nuanced understanding allows for a more comprehensive analysis of power dynamics and the identification of strategies for change.

3. **Places**

The Powercube helps to shed light on the interaction between levels of power and the 'places of engagement' and particularly distinguishes between the international, national and local levels or 'places'. In so doing, the Powercube helps us to understand how global forces both can be enhancing and marginalising of livelihoods, depending on the circumstances. By emphasising the various levels, the Powercube helps us to visualize how the *local (where relevant)* is intimately embedded in *national* and *global* 'places.[29] Refer the example below of Power Matrix.

Power matrix[30]

POWER OVER > >		**> > TRANSFORMING POWER**	
Mechanisms *Through which dimensions of power over operate to exclude and privilege*	**Examples** *Power Over*	**Responses & Strategies** *Power With, Power Within, Power To*	
Visible: Making & Enforcing the Rules: Presidents, Prime Ministers, legislature, courts, ministries, police, military, IMF, World Bank, Multinational corporations (Nike, Coca-Cola), private sector actors, chamber of commerce, businesses, etc.	- Biased laws/policies (e.g., health care policies that do not address the poor or women's reproductive needs) - Decision-making structures (parliaments, courts, IFI governance, etc.) favor the elite or powerful and are closed to certain people's voices and unrepresentative - Principle of 'equality' may exist in law, but parliaments and courts are not fairly representative of women and minorities - International	- Advocacy & monitoring - Negotiation & litigation - Public education & media - Policy research, proposals - Shadow reports - Modeling innovations - Collaboration	Building collective power

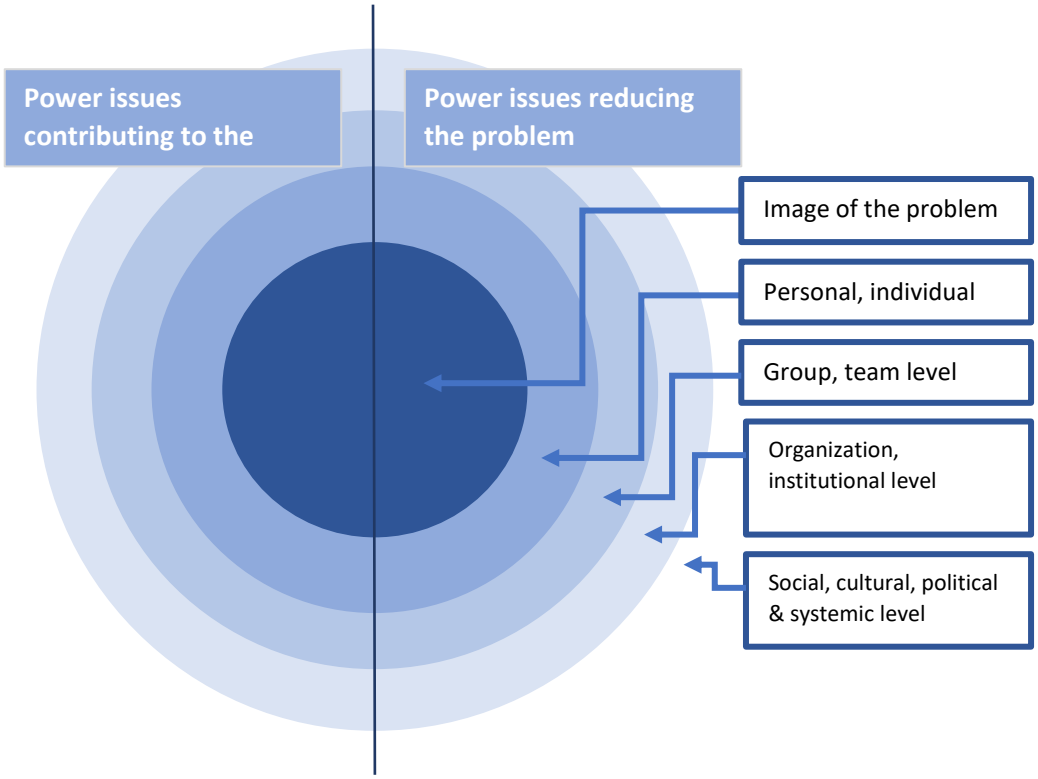
29 Gaventa, John. "Finding the Spaces for Change: A Power Analysis." *IDS Bulletin* 37, no. 6 (2009): 23-33.

30 Miller, Valerie, et al. *Making Change Happen: Power. Concepts for Revisioning Power for Justice, Equality and Peace*. Washington DC: Just Associates, 2006. Accessed June 22, 2024. https://justassociates.org/wp-content/uploads/2020/08/mch3_2011_final_0.pdf.

Instruments: Policies, laws, constitutions, budgets, regulations, conventions, agreements, implementing mechanisms, etc.	financial/trade bodies dominated by G-8 despite rising economic power of others		
Hidden: Setting the Agenda: Exclusion & Delegitimization Certain groups (and their issues) excluded from decision-making by society's unwritten rules and the political control of dominant and vested interests. They & their issues made invisible by intimidation, misinformation & co-optation	- The oil-gas industries control on energy/environmental policies & public debate about global warming and climate change - The Catholic Church's influence on global reproductive health policy in Latin America and elsewhere, etc. - Often, formal institutions with visible power, also exercise hidden power - Leaders are labeled trouble-makers or unrepresentative - Issues related to the environment are deemed elitist, impractical; feminism blamed for male violence/breaking families/sex industry - Domestic violence, childcare are seen as private, individual issues not worthy of public action; peasant land rights/labor rights are 'special' interests and not economically viable - Media does not consider these groups' issues to be mainstream or newsworthy	- Organizing communities and active constituencies around common concerns, and mobilizing to demonstrate clout through numbers and direct action - Strengthening organizations, coalitions, movements, and accountable leaders - Participatory research and dissemination of information/ideas/images that validate and legitimize the issues of excluded groups	Confronting, engaging, negotiating
Invisible: Shaping Meaning, Values & What's 'Normal' Socialization & control of information: Cultural norms, values, practices, ideologies and customs shape people's understanding of their needs, rights, roles, possibilities and actions in ways that prevent effective action for change, reinforce privilege-inferiority, blame the victim and "manufacture consent". Dominant ideologies include neo-liberalism, consumerism and corporate capitalism, patriarchy-sexism, racism, etc. Key information is kept secret to prevent action and safeguard those in power and their interests	- Socialization/oppression: 1) Belief systems such as patriarchy and racism cause people to internalize feelings of powerlessness, shame, anger, hostility, apathy, distrust, lack of worthiness, etc., especially for women, racial-ethnic minorities, immigrants, working class, poor, youth, gay-lesbian groups, etc. 2) Dominant ideologies, stereotypes in "popular" culture, education, and media reinforce bias combined with lack of information/knowledge that inhibits ability to question, resist and participate in change - Women blame themselves for domestic abuse; Poor farmers for their poverty despite unequal access to global markets or decent prices or wages - Crucial information is misrepresented, concealed, or inaccessible	- Popular education, empowerment, new knowledge, values, and critical thinking tied to organizing, leadership and consciousness for building confidence, collaboration, political awareness and a sense of rights/responsibilities/citizenship, including strategies like: sharing stories, speaking out and connecting with others, affirming advocacy, analyzing power and values, linking concrete problems to rights, etc. - Doing action research, using alternative media, etc.	Building individual and collective power

‘Peeling the Onion’[31]

The "Peeling the Onion" tool is effective for exploring forms and experiences of power at various levels: the individual, the group or collective, the organization or institution, and the broader society or system (these levels can be adjusted based on the context and participants). This exercise examines both the negative or dominating forms of power present in the external environment and wielded by other actors, as well as the positive or alternative forms of power that can be mobilized for change. Below, is an illustrative example of the ‘peeling the onion’ in practice.



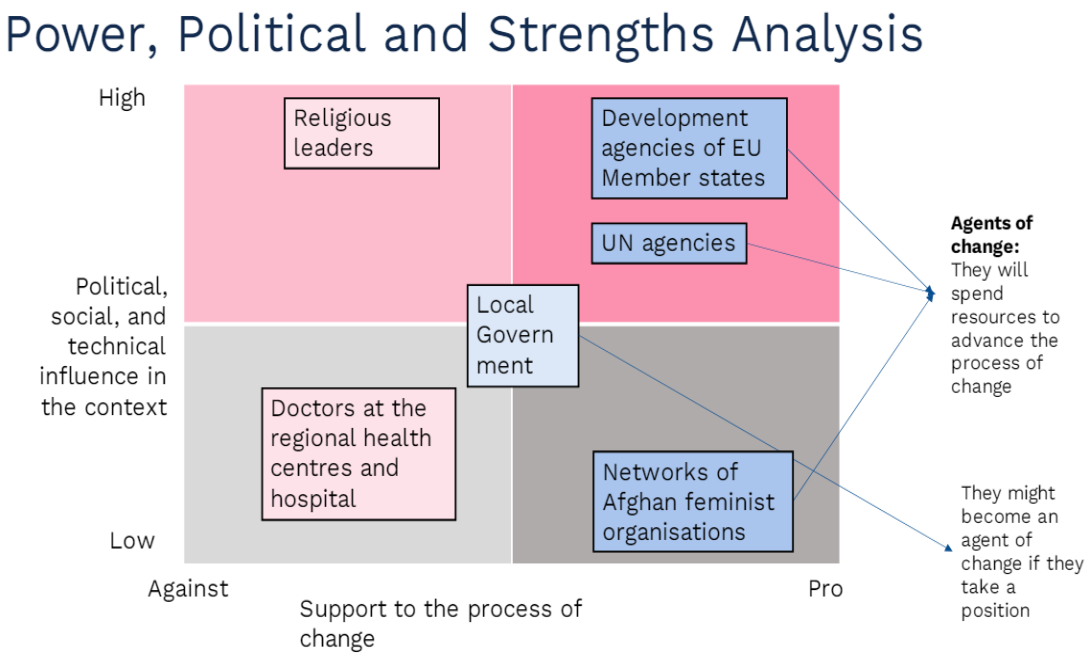
31 Hunjan, Raji, and Jethro Pettit. *Power: A Practical Guide to Facilitating Social Change*. Dunfermline: Carnegie Trust and London: Joseph Rowntree Foundation, 2011. Accessed June 22, 2024. https://d1ssu070pg2v9i.cloudfront.net/pex/pex_carnegie2021/2011/11/09211812/Power-A-Practical-Guide-for-Facilitating-Social-Change_0.pdf.

The below table is a simple example of how the 'Peeling the Onion' power analysis exercise could examine the limited capacity of the government as a constraint.

Power Issues Contributing to the Problem	Power Issues Reducing the Problem
Personal/Individual Level	**Personal/Individual Level**
- Lack of motivation among government officials.	- Training and capacity-building programs.
- Corruption and personal gain over public service.	- Ethical leadership initiatives.
Group/Team Level	**Group/Team Level**
- Nepotism and favouritism in hiring practices.	- Merit-based recruitment systems.
- Lack of accountability within teams.	- Team building and accountability mechanisms.
Organizational/Institutional Level	**Organizational/Institutional Level**
- Weak institutional frameworks and laws.	- Strengthening legal and institutional frameworks.
- Inadequate resource allocation and management.	- Transparent budgeting and resource management practices.
Societal/Cultural/Political/Systemic Level	**Societal/Cultural/Political/Systemic Level**
- Political interference and lack of autonomy.	- Policies promoting autonomy and non-interference.
- Cultural acceptance of corruption.	- Anti-corruption campaigns and education.

Additional tools with are useful when analysing power dynamics include: Power, Political and Strengths Analysis and Domains of Change. These can be used in combination with others or tailored for specific needs, such as locating agents of change and widening the scope for partnership.

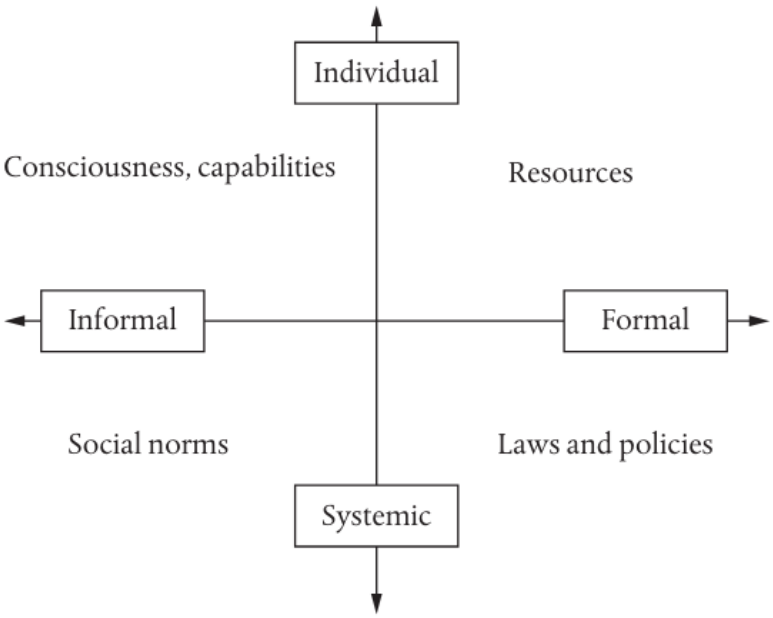
Power, Political and Strengths Analysis



Source: MDF Training and Consultancy as a readaptation of the matrix proposed in the Working paper series on The Governance and Development practice of Abt associates.

Potential questions that can be asked to interpret the mapping results:
-Who are the decision makers for change in this map? Do they have potential partners?
- What are their key decision points? Do they have a timeline? Is there any window of opportunity?
- How likely are the actors on the pro side to succeed?
- What is their human resource capacity to promote change? hat about their financial capacity? (funding)
- Are their interests aligned?

Domains of change



Source: Rao, Sandler, Kelleher and Miller, Gender at Work: Theory and Practice for 21st Century Organizations, (Routledge), 2016.

This tool provides a framework for analysing the nature of institutions and the level at which change is sought, ranging from the individual to systemic. By examining four key quadrants, it encourages consideration across various levels ranging from individuals to communities, to informal norms to formal systems. This perspective helps us to understand other plays working on the same development challenge and identify gaps in collective efforts toward systems change.

Each quadrant represents dimensions of change as follows:

Top Right Quadrant: Aspects related to individuals' access to resources, such as credit, jobs, health, and education.
Top Left Quadrant: Issues of awareness, confidence, and 'power within' that pertain to what is happening inside individuals' minds.
Bottom Right Quadrant: Visible power exercised through laws and policies at a systemic level.
Bottom Left Quadrant: Informal institutions such as social norms that play a significant role.

Together, these quadrants are permeated by various facets of power that influence how change happens, making it essential to analyse the interconnected dynamics.

UNDP Integrated SDG Insights and SDG Push Diagnostics

Methodological Note

Methodological Overview

The **Integrated SDG Insights** methodology aims to support countries in achieving the SDGs by offering a comprehensive assessment tool that integrates multiple dimensions of sustainable development. The methodology encompasses **SDG Moment**, **Trends & Priorities**, **Interlinkages**, **Finance & Stimulus**, and **Future Scenarios**, providing an overview of national progress and policy recommendations.

Key Methodological Steps:

1. **SDG Moment**:
    a. **Objective**: Assess challenges and opportunities in growth, environmental sustainability, and inclusiveness.
    b. **Data Sources**: IMF World Economic Outlook (IMF-WEO), World Bank, Global Carbon Budget, EDGAR.
2. **Trends & Priorities**:
    a. **Objective**: Track progress on SDGs and identify national priorities using machine learning.
    b. **Data Sources**: UN Statistics Division, national policy documents analyzed using a custom-built SDG classification model.

Another interesting feature of the National Priorities section is the ability to overlay the SDG trends status together with the National Priorities. In the chart below. On the X axis is the classification as per the National Priority text analysis and on the Y axis is the SDG trends status. This visual allows users to see which SDGs might be low priority but off-track and vice-versa.

3. **Interlinkages**:
    a. **Objective**: Map synergies and trade-offs between SDG targets to identify key accelerators.
    b. **Methodology**: Based on KnowSDGs Platform and a literature review of 454 global documents.
4. **Finance & Stimulus**:
    a. **Objective**: Provide insights into fiscal constraints and opportunities for stimulus to accelerate SDG progress.
    b. **Data Sources**: IMF, UNU-WIDER, S&P Global, Moody's, FITCH Ratings, and World Bank debt analysis.
5. **Future Scenarios**:
    a. **Objective**: Model possible future pathways for SDG achievement by incorporating variables such as economic growth, environmental changes, and policy reforms.

b. **Methodology**: Scenarios are developed using projection models from IMF-WEO, climate impact models from the IPCC, and financial projections to assess medium to long-term outcomes.
c. **Scenario Analysis**: The tool explores various scenarios (e.g., business-as-usual, accelerated SDG progress, and climate adaptation) to help decision-makers anticipate challenges and opportunities.

Links to Digital Spaces and Tools:

- Global Overview https://sdgpush.undp.org/
- Country Reports https://sdgpush.undp.org/reports.html
- SDG Push Diagnostic https://sdgdiagnostics.data.undp.org/
- SDG Push Diagnostic Tool – Walkthrough https://sdgs.un.org/sites/default/files/2024-05/Session%205%20-%20SDG-PUSH-DIAGNOSTIC%20TOOL-Walkthrough.pdf

For detailed methodology, contact data@undp.org.

Horizon Scanning

The menu of tools offers the following resources that can be utilized to undertake the horizon scanning exercise at the country level: The UN Foresight Guide , Step-by-Step Guide developed by the Futures Platform and the UNDP Sensemaking Workshop: Preparation Guide

UN Foresight Guide

Horizon scanning is searching out for early signals of change in the environment. It brings together the perspectives and collective intelligence of different people to map the possible changes.

Horizon scanning helps us identify what we should prepare for before it's too late. The focus is on early detection of possible changes and "weak signals" of change – those that are not yet significant but could become significant. Though this may be challenging initially, our ability to detect weak signals will strengthen over time.

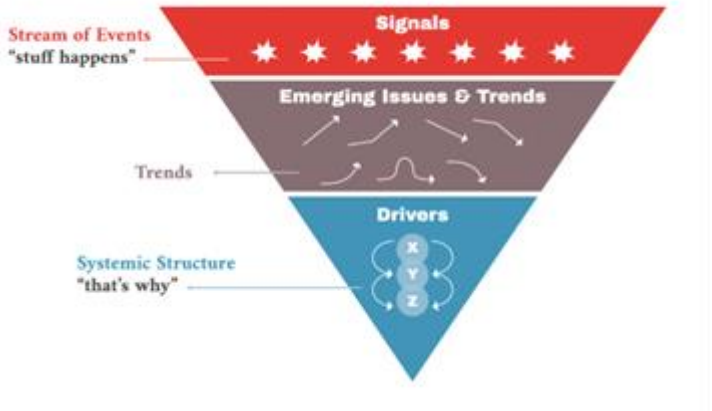
Horizon scanning requires that we turn our attention to changes that have little or no precedent or that may not be evidenced by official data sources. We do not necessarily need to act on all these changes, but we do want to be conscious of them.

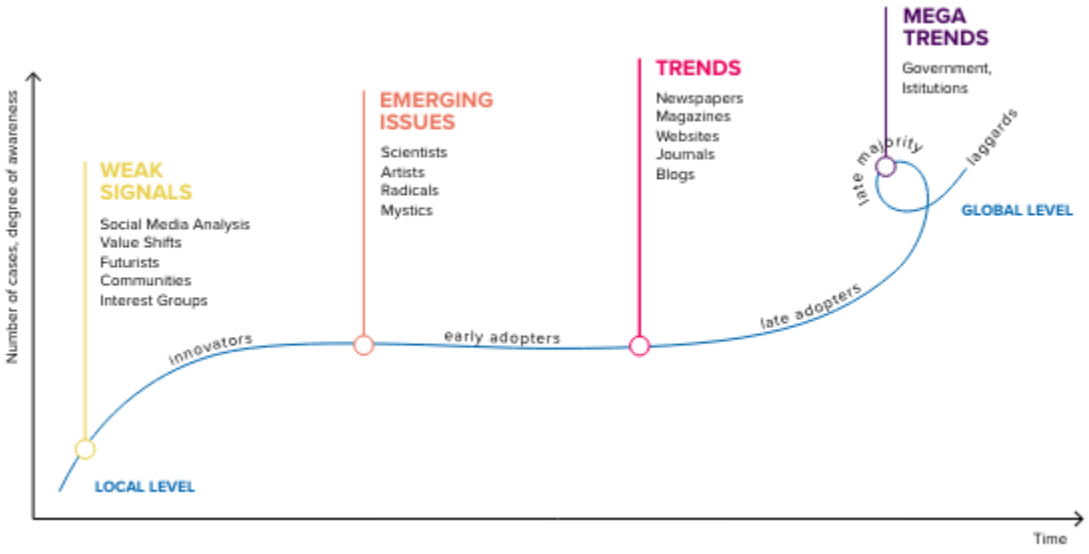
Horizon scanning practice can be highly structured or informal. It can show up as an agenda item or informal check-in during results groups meetings, an activity during an annual COOPERATION FRAMEWORK review, or be done as a dedicated research exercise or set of workshops. This means horizon scanning can become a regular part of your interagency conversations.

Horizon scanning practice can be highly structured or informal. It can show up as an agenda item or informal check-in during a UN Country Team Retreat, in a Results Group meeting or as an activity during an annual performance review of the Cooperation Framework. Horizon scanning can also be utilized to support the update of the Country Analysis. Read more on institutionalizing horizon scanning in the UNCT in the foresight guide.

A few definitions:

- A **signal** is a first indicator of change; an event, a local change, an organization with the potential to scale.
- A **trend** is an established general direction in which something is changing.
- A **driver of change** is a source of change. It might be an event, an organization, or social or environmental phenomenon.
- A **wild card** is a low-probability, high-impact event.





Source: UNDP RBAP Foresight Playbook

Where do quantitative data fit in?

Signals of change can be both qualitative and quantitative. Forecasts and other quantitative metrics can be used to support a presentation of trends or drivers of change once they have been identified (Country **Example**: Egypt). Teams that continuously monitor key risks or opportunities identify leading indicators or data sources that provide an early warning of changing conditions. Some horizon scanning activities also assign probability and impact numbers to each change or possibility either to support prioritisation or to understand how a group of people perceive risks, though this is not required in many cases.

When it might be used

- In support of UNCA and horizon scanning processes to identify risks and opportunities informed by a forward-looking view
- To make sense of a situation following a disruption, such as a coup or a disease outbreak

- For risk management and contingency planning (e.g. updating humanitarian contingency plans with forward-looking risks)
- Before developing a set of scenarios
- Ahead of annual performance review to identify changes in the country's situation that might impact the UNCT's plans

What it produces

- A set of prioritized drivers of change that can be risks or opportunities in support of adaptive planning and anticipatory governance

How it might be applied

There are many ways of applying horizon scanning. This guide describes a lean exercise for facilitating a horizon-scanning workshop activity. Horizon scanning can be expanded, followed up on, or deepened through additional activities such as:

- Hosting a panel discussion with experts, including experts from the grassroots and with lived experience
- Surveys of technical staff, partners, or stakeholders to scan for signals of change
- Doing social listening on the ground, in communities, or through social media
- Conducting desk research on industry / sectoral changes

As you scope your horizon scanning exercise, consider which teams should be involved, how to build on previous scans, and how future scans might build on this one.

Fig 1.0: Example of a horizon scanning initiative with a government department

Duration: 2 hours

Materials Needed

In-person	Virtual
• Whiteboard • Post-its • Markers/pens	• Google Jamboard or shared online PowerPoint / Google Slide

Sample Agenda

Duration	Activity
0:03	Opening

0:07	Introduction to the activities & how the results will be used
	Activity 1: Identify changes and possibilities
0:15	1.1. Individual brainstorm
0:20	1.2. Clarify & elaborate
	Activity 2: Prioritise
0:10	2.1. Vote
0:15	Break
0:15	2.2. Review
0:30	3.1 Reflect and discuss
0:30	**Activity 3: Debrief**
0:05	Closing & next steps
2:30	**End**

Getting ready

Set a focus for your horizon scanning exercise. What is the time horizon of the changes you are considering? The next 10 years or 20 years? Is there a specific sectoral interest or a particular event of interest? Some horizon scanning exercises consider the future of a country generally, but a more specific focus can lead to greater depth and higher quality results. Following the 2022 national election, the Philippines looked at the future of human rights, rule of law, and governance over the course of the next administration. With the onset of COVID-19, Egypt considered the future of the manufacturing sector.

Tip

The focus of your horizon scan won't be the only place you look for signals of interest. Countries will be impacted by events or geopolitics beyond their borders. Some of the biggest changes and disruptions in manufacturing or health over the next 20 years will come from outside what we consider to be the manufacturing or health sector today.

Prepare yourself as a facilitator. Get to know the interests and mandate of the participants you will be working with as well as their level of comfort and experience with these types of exercises.

Give your participants some work in advance. It's difficult to identify good signals of change on the spot. You will want your participants to start thinking about what they might bring to the workshop several weeks in advance – and perhaps even do their own research. You might do one of the following:

- Assign to participants specific topics or areas to research and present back to the group. For example, you might assign to participants specific topics such as digitization, e-health, or circular economy and have them do research on drivers of change in one area and present back their findings.
- Charge with participants having 2-3 horizon scanning conversations in advance.
- Give participants some horizon-scanning questions in advance for them to reflect on. Let participants know they will be sharing their reflections on these questions in the workshop. See below for an example horizon horizon-scanning questions. We suggest including at least one question focused on what-ifs or wild cards to ensure that participants also identify changes that are possible or have no or little historical precedent.

Choose 3-4 horizon scanning questions for your exercise

- What are the drivers of change in our communities/countries?
- What is something novel and surprising around you? What is something that is increasing or decreasing?
- Which drivers could indicate broader structural changes in the economy and society?
- What are some observations that are bubbling up but not yet widespread and could represent bigger change?
- What are people talking about in the streets, in bars, and at the laundromats?
- What are things that you're now seeing in communities that you didn't see in the past?
- What new topics are politicians campaigning on?
- What kinds of patterns are you using in social media?
- What are people talking about on the morning radio?
- What might the medium-term and longer-term implications of these changes be?
- What are radical, unexpected events that could happen in the future and have a significant impact on [topic/area]?
- What are "what-ifs" we should be thinking about?
- What disruptive events could pose a significant challenge to the country/communities/our work in this area?

Introduction to horizon scanning

It can be useful in the opening to make a few points to help participants understand what kinds of contributions might be most useful. This can include:

- We are interested in what is *possible,* not just what is *probable*. Many considered an attempt by Russia to annex Ukraine improbable, yet there were signals of Russia's ambitions shifting. A large-scale shift to electric vehicles might seem far-off and slow, but 80% of cars sold in Norway are expected to be EVs in 2023. In Manila, many young people are forgoing car purchases entirely to buy electric scooters and bikes. As a facilitator, you will likely have your own context-relevant examples that get across this idea.
- We want to focus not on trends and changes that are well-known to people in the room but on those that might be *new or emergent* and *might not be widespread*. We are looking for the unique observations of each person in the room – not an agreement on what is changing.
- While we often have conversations about problems and solutions, this is not the purpose of horizon scanning. Horizon scanning should focus on what is changing and what could happen.
- It can be useful to prime participants' thinking with some examples of emerging signals of change. Newer signals often make good illustrations.

It is sometimes useful to pair signals of change because a trend is more mature in another country. In this case, a global example was used to illustrate how a trend might develop, and a local signal was used to illustrate the direction of change locally.

Activity 1. Identify changes and possibilities (70 minutes)

1.1. Individual brainstorm (15 min).

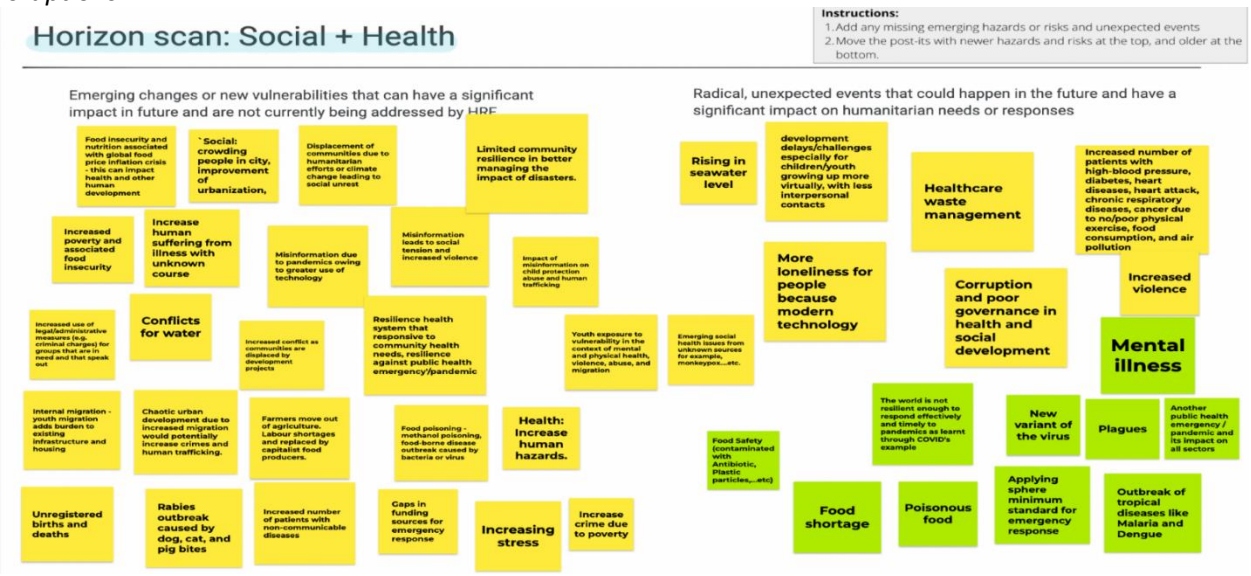
Participants brainstorm answers to the horizon scanning questions you selected (see box above) on Post-its. Ask participants to describe the change or the what-if in full sentences and in as specific terms as possible so that anyone reading the Post-it can understand what it is about. You can use STEEP+V as a framework against which participants can post their post-its, with one flip chart or one Jamboard slide per segment. Encourage participants to cluster similar post-its together.

If you conducted a horizon scanning survey, it can be useful to pre-populate the flip-charts or Jamboard slides with the changes and possibilities you collected.

Tip

Sometimes an item can fall under multiple STEEP+V categories. Encourage participants not to worry too much about the placement if something fits into multiple categories. Post-its can be moved later and clustered together when reviewing what people have posted.

Mapping signals of change. Each sheet represents one segment of STEEP+V. Post-its in the inner circle represent signals and drivers of change while post-its in the outer circle represent what-ifs and potential disruptions.



A Jamboard slide for a virtual workshop on humanitarian foresight with one dimension of STEEP+V. This board asks participants to distinguish between changes and what-ifs in the social + health space.

1.2. Clarify & elaborate (20 min).

Give people time to read the post-its and identify items they would like to see elaborated or further explained. Sometimes post-its lack specificity or context (see “mental illness” above) or they sound like they might be hiding a deeper observation. This is not an opening to debate the post-its but an opportunity to seek clarification.

These are some questions we like to ask to better understand what people have written so we can elaborate or clarify a particular Post-it:

- What could be an example of this happening?
- What is the change or pattern that you are seeing related to this?
- Where do we see this happening? How would different groups or individuals be impacted?

- What are the implications of this change? What do you see happening as a result?

Tip
The next activity will involve prioritising high-certainty and high-uncertainty items. Changes that are described too broadly may hide important uncertainties. For example, rising temperatures due to climate change might be high-impact, high-certainty but the ability of cities to mitigate those changes and their impact on people is high-impact, high-uncertainty.

Once the review is done, it can be useful to ask participants if there is anything missing on the board or if there are any possibilities the group has not yet touched on.

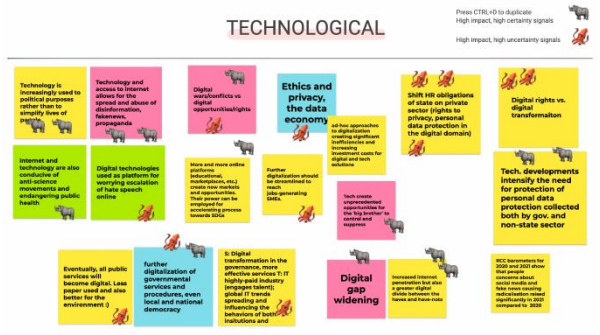
*If your workshop has produced a large number of post-its, it can be useful to start this step by assigning each segment of your map (e.g. STEEP+V) to a small group of participants to consolidate the post-its and share back the results with the rest of the group.

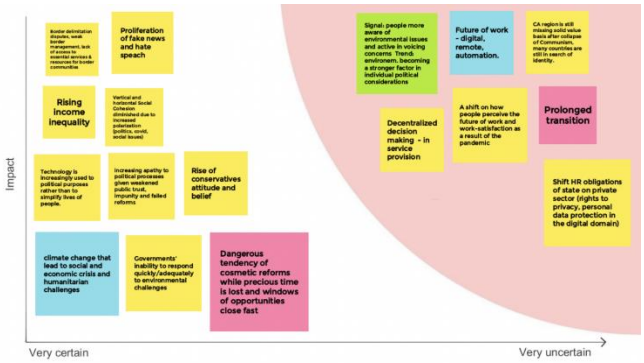
Activity 2: Prioritise (40 minutes)
2.1. Vote (10 min).
Participants will prioritise drivers of change using two types of votes:

- High-impact, high-certainty; items where we are confident about the direction and scale of change
- High-impact, high-uncertainty; items where we are uncertain about the direction or scale of the change

Give participants a large number of votes (e.g. 5-10 votes) for each category. They are not required to use all their votes. For workshops in person, we ask that participants place check marks (high-impact, high-certainty) and stars (high impact, high uncertainty) next to the post-its. On Jamboard, we use Rhino and Squid emojis to vote on post-its.

Why focus on high-impact, high-uncertainty?
People sometimes wonder why we take interest in drivers that are high-uncertainty. After all, shouldn't we focus on what is most certain? The high-impact, high-uncertainty drivers are going to be responsible for the variance across different scenarios for the future. If the group hasn't made explicit what is uncertain, it becomes very difficult to develop a set of distinct scenarios. Even if you aren't developing scenarios, being explicit about the uncertainties helps you better prepare for different situations.





Jamboard with prioritised drivers in the technological segment. *Jamboard showing prioritised drivers from all segments consolidated.*

2.2. Review (15 min).
Once participants have prioritised the drivers, it can be useful to review the results with participants and check whether any essential items are missing. Gather the prioritised post-its on a separate flip chart or Jamboard slide and discuss.

2.3 Reflect and discuss (30 min).
Choose a question for reflection and discussion with your participants. These are a few questions we like to ask:

- What will be needed of the UN to address these risks and opportunities? How might we need to change?
- Which risks and opportunities might we be most ready to tackle and how? Which ones might we be least ready for?
- What are some practical ways we can build horizon scanning into more of our work?

Activity 3: Debrief
The facilitator asks the participants if they have any questions about horizon scanning and the exercise. This is also a good time to announce future action plans.

UNDP Sensemaking Workshop: Preparation Guide

Sensemaking is process enables a group to reflect on their current work, with the intention to maximize impact and effectiveness of their work by making sense of insights and intelligence and creating an action plan to change how we work so that we can accelerate the potential impact of our work.

Some of the key reasons why Sensemaking is important:

- **Creating entry points for transition from sectoral approaches to by identifying ways to design programs to be more cross-cutting and intersectoral.** Group helps to inform thinking about what you might want to keep, drop, add for your next strategic planning or programme development cycle or as part of the annual performance review.
- **Host a collective strategic conversation in the group that goes beyond senior management and team leaders, by bringing a broader group of colleagues together.** This also encourages collective ownership of work.
- **Shift from a compliance and reporting-heavy organization to a user-centric, learning organization.** Invest in the capability development of staff specifically in the areas of facilitation, active listening, abstraction, identifying patterns, articulating, and presenting strategic arguments.
- **Support the onboarding of new senior management, giving them a thorough introduction to the team culture and portfolio of activities.**

Building blocks of a Sensemaking Exercise

1. **Pre-exercise**
    a. Articulate your Identity
    What role does your team see itself playing in the country?
    b. State your Intent
    What transformative effects are you seeking to create there?

2. **During Workshop**
    a. Listen to Programme Presentations:
    The 10-12 programs are individually presented following a common template unpacking (a) What is the issue, and why is your organization doing something about it (b) How is our project addressing the issue and (c) What makes up the project. We also reflect on this program as part of wider team portfolio. One presenter per program/project.

    b. Map Thematic Windows:
    The Windows represent different strategic topics for which the team is listening to map patterns and insights from the presentations (e.g., Whose needs and what needs are the projects addressing, What type of impact are the projects having and where in the system is the impact taking place). There are usually 4-5 Windows. There is one Mapper per Window.

    c. Make Sense - Abstraction & Synthesis
    Extrapolating the patterns and insights noted to the wider team portfolio. Identifying new interconnections between current projects and determining what can be done to bring us closer to our intent.

    d. Invite Participants
    Participants are from the team who have an interest in, or a role to play in the team's portfolio. Senior management's role is to offer guidance and strategic oversight.

3. **Post-workshop**
    a. Finalize the Intelligence Report
    A small team processes workshop outputs, identifies key insights, and develops the final report with proposed action plans of next steps.

    b. Build Momentum and Support within the Office
    Ensure the work is shared and discussed with broader set of colleagues to get their buy- in and build the momentum needed to accomplish the action plan.

<u>Deciding on your workshop format:</u>

	Benefits	Potential Downsides
In person workshop	• Social experience that allows for relationship building • Stronger engagement (e.g. fewer digital distractions) Access to non-verbal cues like expressions and body language	• Manual post-workshop documentation (unless you still decide to use an online collaborative board to capture different elements) • Deeper knowledge sharing siloed to only those who can participate in person
Digital workshop	• Using an online collaborative board (e.g. Miro, Mural) to directly capture all workshop notes, cutting out manual documentation	• Much harder to stay energized, listen intently and keep focused virtually vs in person

Hybrid workshop	• For those meeting in person, there is the social and relationship benefit of in-person • Due to even one online-participant needing to be included, there is the use of online board e.g. Miro, Mural which cuts down on manual documentation	• Much greater planning and coordination on the facilitator's part regarding the design and flow of the session (e.g. how to run the various activities, breakouts with a mixed in-person/virtual group)

ow to Do Horizon Scanning: A Step-by-Step Guide — Futures Platform

Learn how to spot the emerging signals of change in your operating environment and future-proof your strategies.

Here we have adjusted the publicly available guide by the Futures Platform. However, you are free to use any other Horizon scanning methodology that might better suit your needs or context.

The process should include these main steps:

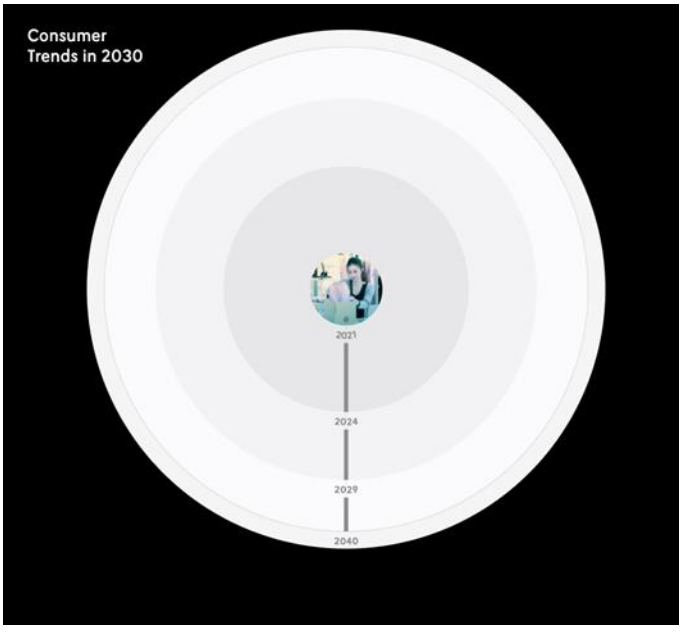
1. **Define the topic:** Clearly articulate the topic or scope of interest to guide the scanning process.
2. **Expand your perspective:** Use a framework that broadens your view beyond familiar horizons.
3. **Scan the environment:** Identify trends, weak signals, and wild cards to gain insights into emerging changes in your landscape.

This methodology employs the *'foresight radar,'* a widely-used tool among foresight professionals to collect, categorise and visualize future trends and phenomena of interest.

1. Define your topic (group work)

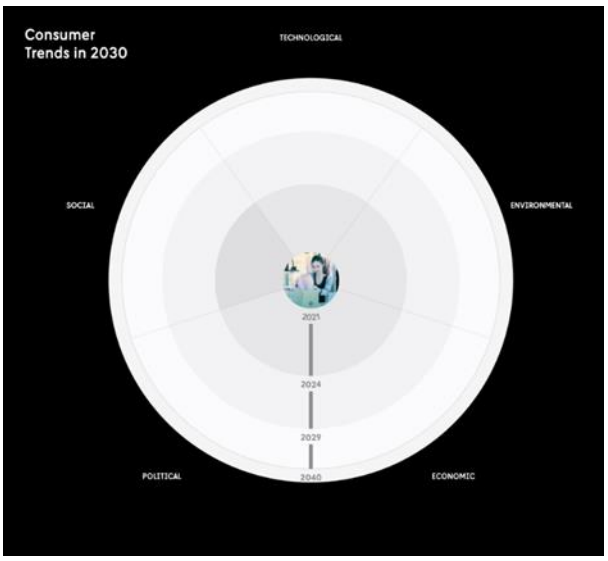
- Start by **narrowing down your focus, by** crafting one to three research questions. Make it engaging.
- Begin by listing all the critical issues you should be aware of. From this list, identify a common theme that will help you formulate core questions.
- Using a different colored pencil, **highlight recurring topics** that appear across several items on your list. Refine these by identifying overarching themes connecting them.
- With your shortlist ready, **choose one to three topics and frame them as research questions**, including a time frame (e.g., the year you want to focus on for your horizon scan). For instance, are you interested in exploring structural changes in energy transition that may take place by 2040? This primary research question will guide the remainder of your horizon scan.

An empty foresight radar — a starting point for horizon scanning



2. **Broaden your view**

- A key goal of horizon scanning is to expand your perspective beyond your current focus. To do this effectively, you can use existing frameworks such as PESTE analysis to identify strategic issues relevant to your topic from multiple angles.
- Next, label the sectors on your radar according to the social, technological, economic, environmental, and political themes, which will serve as sub-questions supporting your primary research question.

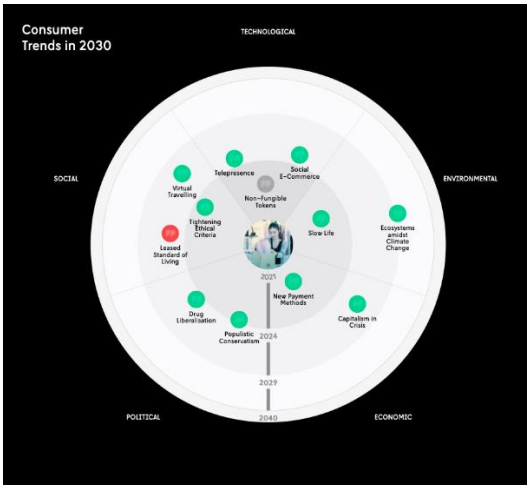


Foresight radar categorized into segments according to the PESTE framework (to be adjusted)

3**. Scan the horizon**

Now, search for phenomena related to each sector identified in the previous step. Aim to identify 6-12 different phenomena for your radar. Depending on your research question, here are a few ways how you can effectively search and identify these phenomena:

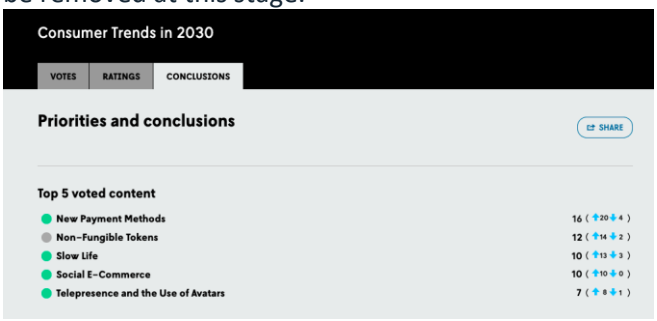
1. **Thematic reports and publications:** Review recent reports, research studies, government and others' reports, and academic journals to find early signals and statistical analyses.
2. **News and media outlets:** Monitor global and local news, opinion pieces, and relevant articles to spot emerging issues.
3. **Expert opinions:** Reach out to practitioners and experts, thought leaders, and professionals in related fields for their perspectives on emerging trends and issues.
4. **Social media and online communities:** Observe discussions in online communities and social media platforms to identify potential early change signals and shifts.
5. **Trend-tracking tools:** Use online tools and databases like trend reports, patent databases, and financial analyses to identify weak signals and emerging patterns.
6. **Brainstorming with your team:** Organize collaborative brainstorming sessions where team members, each bringing their unique background and expertise, can share observations and potential phenomena. This diversity of perspectives broadens your focus, uncovering trends and insights that might otherwise go unnoticed.



Foresight radar with identified future phenomena and trends (to be reviewed)
Assess and prioritize the identified phenomena with your team

Engage your analytical team in evaluating the phenomena identified on your radar by having everyone vote for those they find most significant. After all votes are cast, eliminate phenomena with low vote counts from your radar.

Although the number of low-vote phenomena may vary from session to session, it's typical around 10-20% to be removed at this stage.



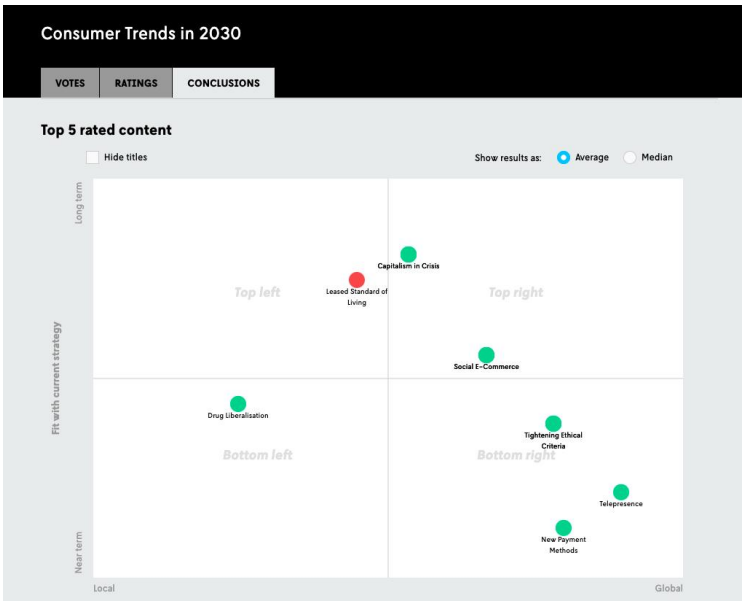
Results table showing top voted future trends in Consumer Trends 2030

5. **Answer your research question**

Now, analyse each shortlisted phenomenon individually through the lens of your research question. Consider the following:

- What insights can you uncover?
- What implications does this phenomenon have for your topic of interest?
- What should you prepare for, and what opportunities can the UN seize?

Involve your team in this phase as well by rating each phenomenon based on two critical criteria, such as timing and size, or technology fit and global/local relevance, as illustrated. This collaborative evaluation will help you gauge the potential impact and strategic significance of each phenomenon.



Future phenomena in consumer trends rated according to technological fit and local vs global impact

Formulate action steps

And you're done! Regardless of the specific findings (which are often eye-opening), simply going through the process enhances your awareness of potential future changes, laying the groundwork for futures thinking. This will significantly benefit your planning for the next year through the Cooperation Framework annual work planning process, but also the pipeline of new programmes and more general, the direction of travel with the next actions.

Other useful resources to conduct the horizon scanning exercise includes include the Sensemaking Workshop: Preparation Guide

Useful links:

- UNDP help groups decide if they should run a Sensemaking workshop, and how to prepare for it.
- UNDP Sensemaking Workshop: Facilitator Guide breaks down how to run a session in more detail (designed to be used by the Facilitator + session focal group should you choose to go forward with running the workshop)

Driver Mapping[32]

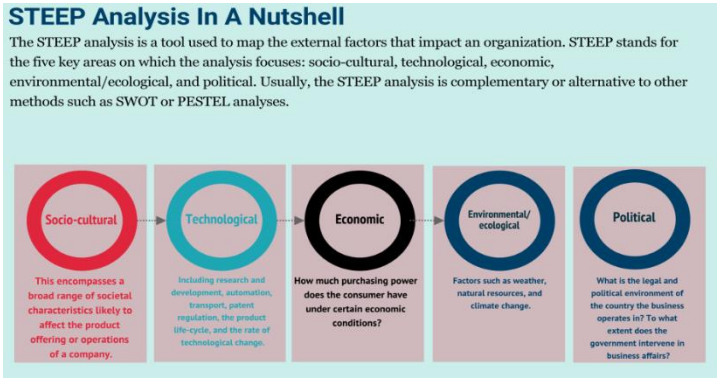
This tool is used to identify the key drivers shaping a system, distinguish the most critical or influential drivers from the less impactful ones, and generate a set of important drivers that can inform further futures analyses, exploration, and the creation of alternative futures. Use the identified drivers for subsequent futures exploration using tools like Futures Wheel, VERGE, and scenario planning. Some available tools include: Futures Wheel, Futures Triangle Analysis, Futures Scenarios, Three Horizons Framework

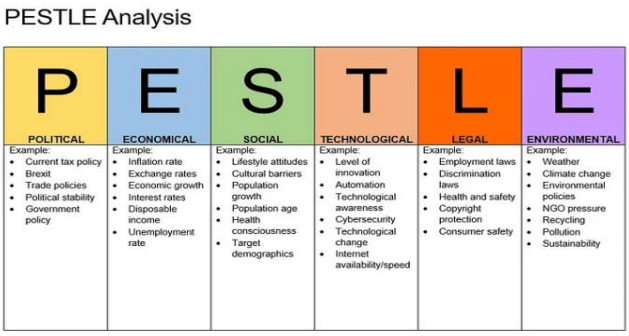
Steps for Driver Mapping in CA Analysis

1. Define the Focal Issue and Scope of Analysis:

    - Determine the specific topic or issue to be analyzed.
    - Set geographical boundaries and the time horizon for the analysis.
    - Identify the stakeholders involved.

2. Use frameworks: Use frameworks such as STEEP or PESTLE to categorize drivers.





3. Brainstorm the Drivers:

    - Gather input from diverse stakeholders and experts to identify potential drivers.
    - Encourage open discussion to surface a wide range of drivers affecting the system.

4. Visualize and Group the Drivers:

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32 United Nations Development Programme (UNDP). *UNDP RBAP Foresight Playbook Appendix 2022*. Accessed June 22, 2024. https://www.undp.org/sites/g/files/zskgke326/files/2022-07/UNDP-RBAP-Foresight-Playbook-Appendix-2022_0.pdf.

- Map the identified drivers on a visualization board or digital tool.
- Group similar drivers together to streamline the analysis.

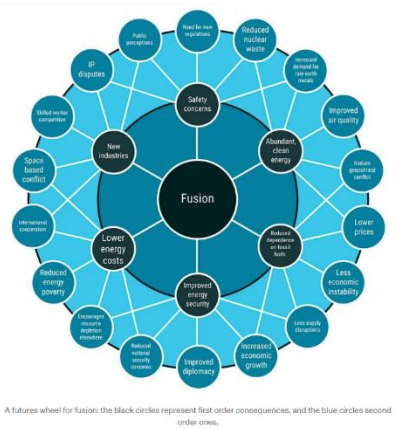
5. Eliminate Duplicates and Merge Similar Drivers:
    - Review the mapped drivers to remove duplicates.
    - Combine drivers that are similar to avoid redundancy.
6. Discuss the Relevance of Each Driver:
    - If feasible, discuss each driver's relevance to ensure a thorough understanding of its impact.
    - Prioritize the most influential drivers.
7. Separate and Eliminate External Drivers:
    - Focus on internal drivers that stakeholders can influence.
    - Eliminating external drivers helps in creating actionable insights.
8. Ensure an Appropriate Number of Drivers:
    - Avoid having too many or too few drivers.
    - Too many drivers can complicate the analysis, while too few may overlook critical aspects.

When identifying drivers, it's essential to keep in mind the following aspects to ensure a comprehensive and effective analysis:

- A driver is the underlying force of change that generates signals or produces trends. It is crucial to differentiate between these to focus on the fundamental factors influencing the system.
- Drivers should be described neutrally, without positive or negative connotations. For instance, instead of "bad leadership" or "good leadership," use "leadership conditions." This neutral framing ensures objectivity and clarity.
- Drivers must have various identifiable and clearly defined states. For example, "leadership conditions" can range from good to bad, effective to inept. This variability allows for more precise scenario building and analysis.

Reference: UNDP. (2022). UNDP RBAP: Foresight Playbook. New York, New York. Link .

Futures Wheel



A futures wheel for fusion: the black circles represent first order consequences, and the blue circles second order ones.

Source: Graham, Christian. "Using ChatGPT for Foresight: Futures Wheel." Medium.

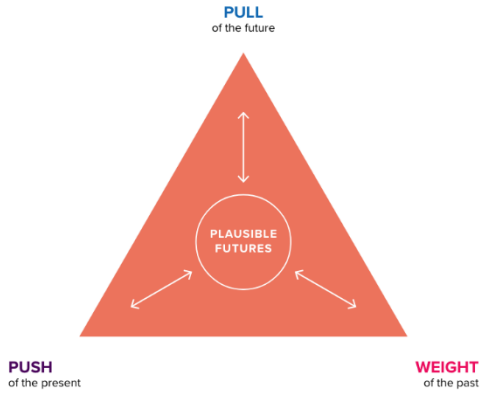
Key steps to conduct the Futures Wheel exercise

1) Identify a key driver, trend, issue, or event to analyze.
2) Divide participants into small groups to conduct their own Future Wheel analysis.
3) Place the selected issue in the center and draw primary impacts as spokes radiating from it.
4) Add secondary impacts radiating from primary impacts, and tertiary impacts from secondary ones.
5) Assign each group a stakeholder profile to consider impacts from their perspective.
6) Discuss and map the implications of each impact, noting areas of debate.
7) Identify strategic, policy, and program implications of the impacts.
8) Groups present their findings, noting areas of agreement and divergence.
9) Combine all group findings into a consolidated Future Wheel analysis for strategic planning.

Futures Triangle Analysis

The Futures Triangle is a tool used for understanding and mapping the dynamics of change by exploring the interplay between three forces: the pull of the future, the push of the present, and the weight of history. This analysis helps identify plausible futures and the pathways to achieve them. The Futures Triangle helps to visualize and understand the dynamics shaping the future, thereby creating a solid basis for informed prioritization.

1. **Pull of the Future**: The visions or images of the future that attract and guide actions.
2. **Push of the Present**: The current trends and drivers that influence the direction towards the future.
3. **Weight of History**: The historical barriers and constraints that impede progress towards the desired future.



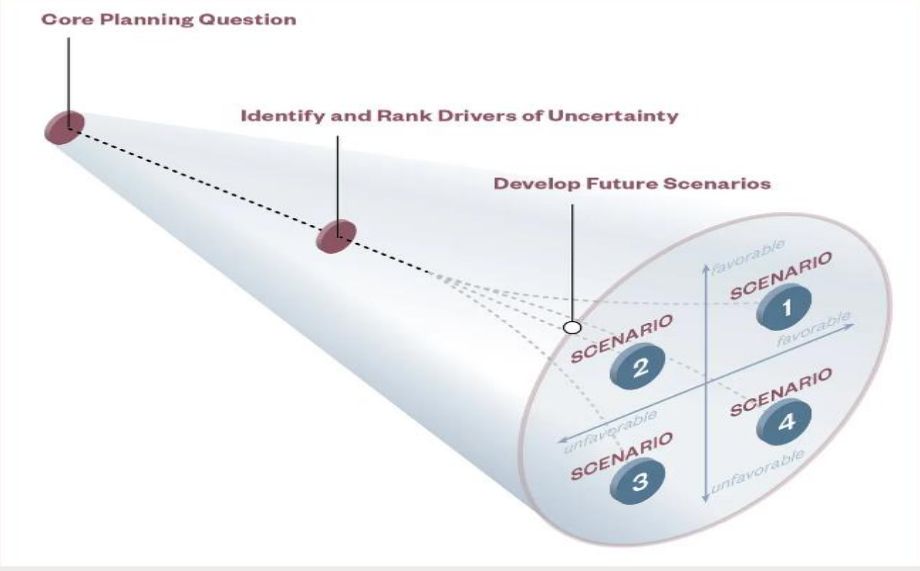
Source: UNDP RBAP Foresight Playbook

Steps for Conducting Futures Triangle Analysis

1. Determine the ideal or preferred future for the topic or issue at hand.
    a. Ask questions such as:
        i. What is the desired future for this issue?
        ii. What are the shared visions for this topic?
        iii. Are there futures to be avoided?
2. Analyze the Push of the Present:
    b. Identify the current trends and drivers that are shaping the future.
    c. Consider questions like:
        i. What trends are influencing the future direction?
        ii. What drivers are propelling towards the desired future?
        iii. What policies, technologies, or decisions are bringing about changes?
3. Assess the Weight of History:
    d. Examine the historical barriers and constraints preventing the realization of the desired future.
    e. Reflect on questions such as:
        i. Who benefits from the status quo?
        ii. What are the barriers to change?
        iii. What deep-rooted structures resist change?
4. Strategic Intervention Points:
    f. Determine where strategic interventions can be made most effectively: at the pull, push, or weight.
    g. Identify which aspects are easier or more difficult to change.
5. Explore Alternative Futures:
    h. Create a futures triangle for each potential future scenario.
    i. Discuss the dominant, contending, and marginal images of the future.
6. Reflect and Discuss:
    j. Facilitate a discussion on the different futures triangles created by the groups.
    k. Reflect on the interplay between the pull of the future, push of the present, and weight of history.

Future Scenarios

Scenarios are structured narratives that describe possible future states based on key drivers and uncertainties. They help organizations explore different pathways and their implications, enabling strategic planning and decision-making. By considering multiple scenarios, stakeholders can better anticipate risks, identify opportunities, and develop robust strategies that remain effective under various future conditions. Scenarios encourage proactive thinking and preparedness, ensuring that plans are adaptable to changing environments and unforeseen developments.



The cone of uncertainty shows how scenario planning begins with the core planning question and as the timeline extends, the amount of possible future conditions expands.

Source: Mitigate Risks with Scenario Planning

Steps for Conducting Future Scenarios Analysis

9. Define the Focal Issue/Question: Identify the main issue or question to explore (e.g., future of digital access).
10. Determine the Time Frame: Decide how far into the future you want to project (e.g., 5, 10, or 20 years).
11. Identify and Select Drivers: From a driver mapping exercise, choose the most influential drivers and key uncertainties.
12. Brainstorm and Build Scenarios:
    a. For a 2x2 scenario, set up axes of uncertainties for selected drivers.
    b. For a Manoa scenario, use the futures wheel to explore driver impacts and their colliding implications.
13. Review and Present Scenarios:
    a. Assess plausibility and unexpected twists.
    b. Discuss impacts on stakeholders.
14. Create Narratives: Develop detailed descriptions for each scenario to engage stakeholders.

Tools for Inputs

15. **Driver Mapping**: Identifies influential forces shaping the system.
16. **Trends Analysis:** Recognizes current trends and their future impacts.
17. **Futures Wheel:** Examines direct and indirect impacts of trends.

These tools provide a structured approach for understanding future pathways and preparing for various potential outcomes, enabling informed decision-making and strategic planning.

Three Horizons Framework

The Three Horizons Framework is a strategic tool used to explore and unpack current assumptions about the future, understand emerging changes, and design strategies, policies, and programs that bridge the present to potential futures. This framework helps visualize different phases of change, from current practices to disruptive innovations and aspirational futures.

Steps for Analysis

1. Step 1: Introduce the Three Horizons tool and explain its objectives to participants.
2. Step 2: Pair participants or create small groups for collaborative analysis.
3. Step 3: Explore the history of the issue, identifying how past events have led to the current state.
4. Step 4: Examine Horizon 1, detailing the current state and existing assumptions.
5. Step 5: Investigate Horizon 2, identifying emerging innovations and potential disruptions.
6. Step 6: Envision Horizon 3, focusing on aspirational futures and long-term goals.
7. Step 7: Connect insights from all three horizons, identifying strategies to transition from current practices to future aspirations.

Useful Tools and Inputs

- **Horizon Scanning:** To identify early signals of change and emerging trends.
- **Trends Analysis:** To understand the drivers shaping future scenarios.
- **Scenario Planning:** To explore different possible futures and their implications.
- **Stakeholder Analysis:** To identify key actors and their roles across different horizons.

Utility

The Three Horizons Framework is valuable for strategic planning and foresight exercises. It helps in understanding the impacts of current trends and innovations, promoting proactive decision-making to navigate future uncertainties. This approach ensures that strategies are resilient and adaptive, aligning short-term actions with long-term goals.

By using the Three Horizons Framework, teams can develop a comprehensive view of change processes, ensuring that strategies are robust and capable of addressing both immediate challenges and future opportunities.

UNDRR Risk Analysis Support

UNDRR supports RCOs with a comprehensive approach to integrate multi-dimensional risk analysis into the CA and the Cooperation Framework. This approach addresses critical policy issues by focusing on hazard exposure, vulnerability, and foresight, ensuring a thorough assessment of risks that impact vulnerable communities and development trajectories. The tools aim to strengthen the link between risk analysis and planning.

In 2023, UNDRR supported RCOs with a menu of three options:

- *Light:* Substantive review of CA draft;
- *Bright*: CA review and Risk Spotlight;
- *Brilliant*: Joint, evidence-based analysis exercise (usually in-person workshop format) to inform thematic & multi-dimensional risk analysis sections of CA and its implications for the COOPERATION FRAMEWORK's Strategic Objectives.

The (brilliant) method for strengthening risk analysis with help of an intersectoral workshop follows 4 basic steps:

1. Developing a comprehensive overview of the risk landscape (looking at hazard, exposure, vulnerability);
2. Identify the main risk or update the existing risk analysis (for CA updates);
3. Propose a most likely scenario (for each priority risk + combined);
4. Propose key risk elements for the ToC, or in the case of CA updates apply the scenario to the COOPERATION FRAMEWORK strategic objectives (for CA updates).

Below is an illustration of the overview and example of the tools and outputs:

- **Overview** risk analysis approaches for CA + HNO (see attached ppt)
- **Risk Analysis tool:** Pls see this link to the type of analysis we prepared for the CCA update for South Sudan. The proposed matrix helps to structure the collected evidence-base and develop an evidence-based analysis with corresponding scenarios to be validated during workshops (tab explains how the analysis is structured).
- **Sample outputs**: Pls see the resulting multi-dimensional risk analysis section for the S-Sudan CCA update here (p75), or attached the example from Haiti
- **Risk Spotlight**: Providing very light support, we develop risk spotlights for RCOs to help consolidating the evidence-base. Pls see the one attached to the Madagascar CCA update.
- **Resources**: UNDRR also developed resources to design risk analysis workshop, advise how to review a CCA draft, draft multi-dimensional risk analysis and develop a Spotlight (happy to share if such technical detail is helpful)

Published Guidance include:

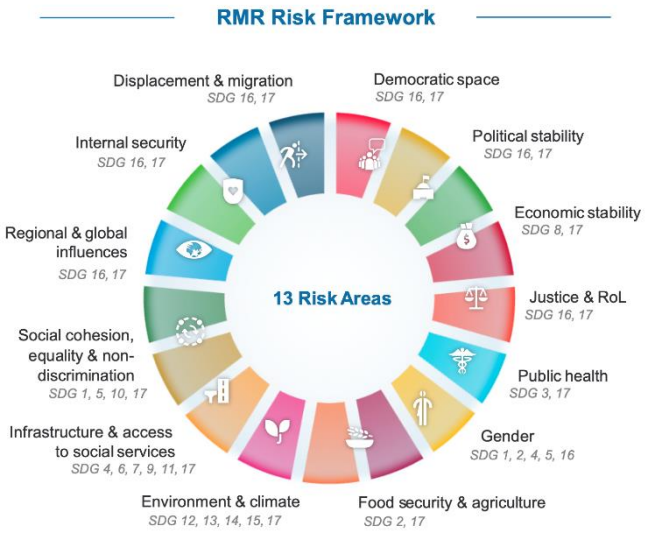
- Integrating DRR into UNSDCOOPERATION FRAMEWORKs: This guidance provides a foundation on integrating DDR into UNSDCOOPERATION FRAMEWORK (it remains however light on the 'how-to-do' a robust risk analysis and its pre-dates the methodology we have been rolling out last year): UNSDG | Integrating Disaster Risk Reduction and Climate Change Adaptation in the UN Sustainable Development Cooperation Framework (update planned before the end of 2024)
- This guidance explains how to design and conduct a joint analysis of multi-dimensional risk for coordinated planning. While focusing on the HPC, we have successfully adapted the approach for CCAs

as illustrated further below: https://www.undrr.org/publication/strengthening-risk-analysis-humanitarian-planning

Online training for HNO and CCA risk analysis: UDRR has developed online training courses for UNDRR and partners staff supporting UNSCDF + HPC processes, including on:

- Risk Assessment for National Planning Processes
- Humanitarian Programme Cycle
- Common Country Assessment
- Checklist on Scaling Up Disaster Risk Reduction in Humanitarian Action

RMR Multidimensional Risk Analysis (SDG-Risk Analysis)



The RMR Risk Framework provides an in-depth analysis of 13 core risk areas. These areas highlight vulnerabilities that can affect governance, economic stability, and social cohesion, offering critical insights for anticipating risks and designing appropriate response strategies.

Risk Area	Description of Risk Area (and Indicative Scope)	Examples of Risk Factors (Not Exhaustive)
Political stability	Risks to the stability of established political and government structures in the territory	• Deep-rooted or antagonistic political polarisation • Prolonged or widespread social unrest /disruption • Disputed election processes / outcomes • Disorderly transition of government • Non-conventional threats to state/gvnmt authority

	Indicative scope • Challenges to political system/government • Politically compromised government/ institutions • Irregular changes to governance structures or principles	• Chronic loss of legitimacy of government • Political elites operating outside of state structures • Corruption which compromises state interests • Reorganisation of the state and its institutions
Democratic Space	Risks to democratic and human rights institutions, and to civil and political rights resulting from shrinking civic space, exclusion, repression, and intimidation.	• Lack of meaningful participation / representation • Stifling of dissent and the diversity of views • Limits on rights to peaceful assembly &expression • Censorship or unequal access to information • Targeting of activists, critics, media and others • Arbitrary arrests/detention of activists, critics etc. • Threats to/ harassment of activists, critics, media • The obstruction of human rights/media/civic actors • The outlawing/ closure of human rights entities • Increase in online and offline harassment of women leaders, including elected officials, indigenous leaders, journalists and human rights and environmental activists. • Increase in cases of reprisals.
	Indicative scope • Undue limits on democratic rights or freedoms • Constraints on civil society, rights actors or rights institutions • Active repression of civil society, rights actors, and others	
Economic Stability	Risks to the economic, financial, and fiscal stability of the country, which could impact governance, social cohesion, or people's ability to meet their needs.	• Currency devaluation or hyperinflation • Deep-reaching austerity measures • Inability to pay public sector wages • Possible debt default or obstacles to debt relief • Possible financial crisis / economic collapse • Existence of sizeable black / grey economy • Collapse of key employers and industries • Lack of employment training opportunities / jobs • Increasing poverty / high dependency on welfare • High levels of reliance on remittances • High level of aid dependency • High economic reliance on climate sensitive sectors and high exposure of productive assets to climate risks • High economic reliance on fossil fuels and other stranded assets • Compromised ability to sustain livelihoods dependent on healthy ecosystems • Lack of transition plans and measures for a clean energy economy
	Indicative scope • Macro-economic volatility • Economic underdevelopment • Economic inequality	
Infrastructure & Access to Social Services	Risks to society and the population resulting from a lack of availability or limitations on access to physical infrastructure and/or basic social services.	• Lack of health, education, sanitation services • Lack of systems/tools2 to prevent/mitigate/respond to disasters • Lack of key staff, equipment, or materials • Absence /degradation of physical infrastructure

	Indicative scope • Inadequate provision of basic services or technologies • Disruption to services, infrastructure, energy or transportation • Inequitable access to basic services or infrastructure	• Absence of / disruption to power or energy supply • Absence of / disruption to key communications/ IT • Unequal access to services for minoritiesë • Restrictions on availability / use of infrastructure • Disruption to key air, ground or water transport • Disaggregated data by sex on levels of education, health and shelter.
Social Cohesion, Gender Equality & Non-Discrimination	Risks to social unity and equality resulting from direct and indirect discrimination, horizontal inequalities, climate change impacts, and demographic trends	• Prejudice on basis of sex, race, belief, ethnicity etc • Power imbalances based on social norms • Hate speech in the public domain • Grievances or lack of cross-cultural respect • Unequal rights afforded to minority groups/women • Limitations on opportunities for minority groups • Social exclusion/ stigmatisation of minority groups • Youth or old-age population bulge • Unequal access/tensions over resources, including land and water • Unmanaged urbanisation or existence of slums • Tensions between farmers and herders, including due to impacts of climate change • Increase in number of cases of violence against women • Increase in number of persons being trafficked into the country.
	Indicative scope • Discriminatory practises · Power imbalances within society • Demographic pressures	
Internal Security	Risks to the security of the territory, its people and infrastructure, and to the ability of the international community to operate effectively as a result of security issues	• Control of territory by non-state armed groups • Non-state sanctioned military actors (e.g. militia) • Insecurity affecting voter registration/participation • Widespread incitement to violence • Dissent among national security forces • Ready availability of arms and weapons • Terrorism and recruiting by terrorist groups • High levels of violent or organized crime • Increase in conflict over natural resources/farmer-herder conflict • Trafficking of people, drugs or resources • Lack of humanitarian or other access • Increase in sexual violence against women as part of war tactics by a party to the conflict. • Increase in drugs, resources, number of persons (in country or in transit, including due to climate change) being trafficked
	Indicative scope • Internal conflict and insecurity • Non-state armed groups and militia • Crime and terrorism	
Justice & Rule of Law	Risks to the fair, effective and comprehensive implementation and application of the principles of justice, the rule of law and accountability from issues	• Lack of impartiality in justice & rule of law sectors • Capture of justice & rule of law sectors · A lack of mechanisms to protect human rights • A lack of confidence in justice / protection systems • Intrusive surveillance or unlawful inspections

	Indicative scope • Weak or compromised institutions • Security forces who act outside of or do not respect the law • A culture of the denial of rights or impunity	• Excessive use of force / killings by security forces • The use of torture by security forces / state agents • Systematic /widespread violations of human rights • A lack of accountability for violations or crimes • The denial of violations of international laws • High rates of impunity for femicide • Excessive prosecutions and due process concerns vis-à-vis human rights defenders, incl. Environmental activists
Public Health	Risks to the population, economy, and stability of the territory from public health emergencies.	• Absence or major disruptions of vaccination programmes • Absence of surveillance, tracking or investigation • Significant uptick in disease transmission • High mortality rates and falling health outcomes • Uptick in Malaria, Cholera/water-borne disease, malnutrition, Polio, HIV/AIDs – • Ebola, SARS, Zika, MERS, COVID-19, zoonotic disease outbreak (expansion of range and new incidents) • Poor maternal, infant, and child health indictaors • An outbreak requiring enhanced border controls • Release of chemicals, or chemical agents • Release of a pathogen or radiological material • Massive loss of life • Spike in cases of violence against women due to confinement measures • High exposure/deaths due to increasing intensity and severity of heatwaves/extreme rainfall/winter
	Indicative scope • Increase in preventable or treatable health issues (incl. due to climate change impacts) • Epidemics, pandemics and infectious diseases (incl. due to climate change impacts) • Chemical, radiological, and other biological agents	
Food Security, Agriculture & Land	Risks to people, agriculture, and food production in the territory resulting from crop, food production, livestock, climate, and land-related issues.	• Loss, damage to crops • Lack of crop diversity • Loss, damage to livestock • Competition over arable / grazing land · Loss or lack of arable land • Land right issues • Over-reliance on food imports or climate disruptions of global and regional food commodity supply chains • High levels of food insecurity • Food poverty due to increasing food prices • High malnutrition and malnourishment rates • Famine • Increase in poverty of rural women • Decrease in rural women's access to education, health, shelter, food and technology. • Unfavourable seasonal weather forecasts in major food production areas
	Indicative scope • Insufficient arable land, crops or livestock • Inadequate food supply • The use of and rights over land	
Environment & Climate	Risks to the ecology of the territory, its ecosystem, and its people from environmental, climate, and natural resource issues.	• Increased frequency/ intensity and / or duration of floods, cyclones, hurricanes, drought • Erosion, rising sea level, deforestation, landslides • Changes/shifts to weather and climate patterns

	Indicative scope • Increasing frequency and intensity of natural hazards or extreme weather events • Severity of ecological damage and climate impacts • Unsustainable exploitation of natural resources • Absence of/inadequate climate action plans and strategies • Absence or non-implementation of climate legislation and policies • Poor health of ecosystems	• Loss of critical species or biodiversity · Sustained pollution of land, rivers, or air • Damaging / unsustainable resource extraction • Inequitable extraction of resources • Low/lack of access to climate information, climate preparedness, mitigation, adaptation and response capabilities, and climate action finance mechanisms
Displacement & Migration	Risks to the population and the stability of the territory resulting from pressures related to displacement and/or migration.	• Large-scale displacement of populations due conflict, environmental or weather-related crisis • Forced relocation of parts of the population • Lack of preparedness to cope with inward flow • Politicisation of the presence/status of migrants/displaced population • Arbitrary / prolonged detention of migrants/displaced population • Exclusion of displaced/migrants from basic services or work • Displaced/migrant population exposed to exploitation/ violence / abuse • Displaced/mgrant population located in areas highly vulnerable to weather and climate hazards • Pressures on host communities • Tension between host and displaced/migrant populations (incl. over natural resources) • Hate speech / crimes targeting displaced/migrant population • Brain drain resulting from displacement/migration • Environmental degradation caused by or contributing to migration/displacement • Involuntary / unsustainable /non- compliant returns • Increase in trafficking in persons displaced or on the move.
	Indicative scope • Movement of people within into or from the territory • Level of rights and protection afforded to migrants • Social, economic, cultural, environmental impact of migration	
Gender Equality	Risks to the safety, wellbeing and human rights of women as a result of the actions of external actors, which limits their capacity to engage equally in political and economic life, including in times of national crisis.	• Lack of legal frameworks to promote, enforce and monitor equality and non-discrimination on the basis of sex • Lack of access to sexual reproductive health services • Rise in femicides committed by third parties other than intimate partner. • Rise in impunity rates for homicides, femicides and domestic violence. • Lack of national mechanisms to track public allocations for gender equality initiatives
	Indicative scope • Legal barriers to equal participation in economic, social and political life	

	• Protests motivated by gender equality • Prevalence of violence against women, intimate partner and otherwise • Equality at work • Women in leadership • Trend in maternal mortality rate • Gender digital divide • Access to financial services • Public emergency responses address gender inequalities	• High proportion of women and girls subjected to physical, sexual or psychological violence • High proportion of girls married under 18 years • High average number of hours undertaken by women, in housework, care work or unpaid labour • Low proportion of seats held by women in national parliaments, local governments, and in cabinet positions; low proportion of women in senior managerial positions in the private sector • Low percentage of women involved in peace efforts (local and international) • High percentage of women who die at childbirth, • Low proportion of women with access to technology and banking services • Low proportion of women with access to climate information • Disproportionate proportion of women affected by climate shocks (in climate sensitive sectors such as agriculture and food security). • Lack of inclusion of institutions providing sexual and reproductive health services in public emergency services
Regional & Global Influences	Risks to the integrity, stability, safety and prosperity of the territory and its people as a result of the actions of external actors, or the influence of external events	• Undue political interference by external actors • Aggressive political / military posture from outside • Lack of agreement on international boundaries • Cross-border military incursions / airstrikes / cross-border intercommunal tensions/conflict (incl. due to environmental factors)/ maritime incursions • Spill-over of conflict /criminal actors from outside • Transnational organized crime • Trade wars or damaging restrictions imposed • Inequitable exploitation of resources from outside • Deprivation of access to resources / infrastructure • Increase in misogyny and rhetoric of sexual violence against women as part of public narrative and recruitment tactics of an armed group • Territorial threats through sea-level rise and coastal erosion
	Indicative scope • International tensions • Fragility in neighbouring countries • Sanctions, exploitation, or dependencies	

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