Implementation Guidelines for MDG Achievement Fund Joint Programmes

Prepared by the the MDG Achievement Fund Secretariat

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1. Introduction

MDG-F joint programmes are nationally owned programmes that promote pro-poor public policies, strengthen national and local capacities and involve and benefit local populations. These programmes are supported by United Nations Participating Organisations and other partners such as civil society and the private sector. The following MDG-F guidelines[1] have been drafted in response to the demand from UN participating organizations and their national counterparts, to consolidate experiences on joint programming and provide guidance on joint programming and implementation at the national level. This document therefore captures country led efforts to elaborate joint programme manuals (e.g. Honduras), as well as the views and inputs that emerged from three regional workshops organised by the MDG-F Secretariat in Morocco, The Philippines and Colombia in 2009. The guidelines reflect lessons learned from our partners at the country level as well as the philosophy of the Fund, and ultimately aim to guide the implementation of MDG-F financed joint programmes. At the centre of this exercise is the ambition to improve the ability of the UN to deliver results that support national development outcomes, while placing greater emphasis on government leadership and commitment. For further information on the driving principles of the MDG-F please visit the website at http://www.undp.org/mdgf/.

2. MDG-F Global Governance Structure

Overall leadership of the MDG-F is provided by the **MDG-F Steering Committee**. The Steering Committee sets the strategic direction of the Fund, approves individual financial allocations based on recommendations made by the MDG-F Technical Review Committee, monitors strategic allocations and delivery amongst priorities and countries, and tracks Fund-wide progress. The Steering Committee is composed of the UNDP Administrator and Chairperson of the UNDG, and the Spanish Secretary of State for International Cooperation. Additional members may be invited at the discretion of the Steering Committee.

MDG-F Technical Review Committees were constituted, reflecting the eight thematic focus areas of the Fund to review all the programme proposals submitted to the MDG-F for financing. Technical Review Committees were made up of 10-12 UN, Spanish and independent experts

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[1] At the time of preparing this document, UN DOCO is working on a UNDAF Action Plan Guidance to improve the ability of the UN in its delivery of results to support national development outcomes. This document has been reviewed while preparing these guidelines.

appointed by the Steering Committee, meeting under a Convenor. The Convenor, a designated representative of a UN Agency, was responsible for coordinating the review process in their respective field of expertise. These Review Committees advised the Steering Committee on the technical and design merits of applications making recommendations for amendments and/or approvals.

The **MDG-F Secretariat** is the operational coordination unit for the Fund and services the Steering Committee. The Secretariat is delegated by the Steering Committee to ensure that policies and strategies approved by the Steering Committee are implemented and adhered to. The Secretariat also coordinates the proposal review process, recommends joint programmes for approval and manages the Fund's overall strategies for monitoring and evaluation, communication and advocacy and knowledge management.

The MDG-F Secretariat advises and supports the joint programme teams in the implementation of the above mentioned strategies. The Secretariat monitors ongoing programme interventions in close cooperation with the Offices of the UN Resident Coordinator and the Joint Programme management teams.

Financial administration of the Fund is entrusted to the **Multi-Donor Trust Fund** (MDTF) Office of UNDP. The MDTF Office is the Administrative Agent of the Fund. The MDTF Office is responsible for transferring funds based on fund transfer requests from the Resident Coordinator on behalf of the National Steering Committee and consolidating financial reporting on a quarterly and annual basis at the global level. The MDG-F Secretariat also closely monitors the financial status of joint programmes. The MDG-F Secretariat will work with the MDTF to ensure consistency with their Operational Guidance note[2].

3. Overview of National MDG-F Governance Structure

Experience from several UNCTs shows that strong government leadership, together with a united Country Team, are imperative in making strategic choices and delivering development results effectively. For the management of MDG-F joint programmes, the minimum governance structure at the country level is as follows:

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[2] The MDG-F guidelines may differ somewhat from the Multi-Donor Trust Fund Operational Guidance note of March 2008.

3.1 National Steering Committee (NSC): The NSC is the highest body for the strategic guidance, oversight and coordination of all MDG-F joint programmes. In principle there should be only one NSC for all MDG-F joint programmes. See Annex 1 for NSC terms of reference. If country teams already have similar mechanisms in place, there is no need to create a new mechanism for discussion on MDG-F related programmes, as long as the composition below is ensured:

- **Composition:** To guarantee its independence, the NSC should include parties who are not involved in programme implementation:
  - A representative of the Government, in the role of Co-Chair;
  - The Resident Coordinator of the United Nations Systems (UNRC), in the role of Co-Chair.
  - A representative of Spain.

Additional members may be invited at the discretion of the National Steering Committee.

Committee	Main role	Frequency of meetings	Decision-making process	Facilitated by:
National Steering Committee (NSC)	Strategic guidance, oversight, and coordination	Half-yearly (Members can convene extraordinary meetings)	Each member has the right to vote and decisions are made by the co-chairs on a consensus basis.	Office of the Resident Coordinator or as determined locally

3.2 Programme Management Committee (PMC): The PMC oversees programme implementation and will make the technical/operational decisions required to manage the joint programmes appropriately. See Annex 2 for PMC terms of reference.

- **Composition**: The PMC is composed of the joint programme implementing partners who have decision-making abilities:
  - The UN Resident Coordinator or his/her delegate in the role of Co-Chair[3];
  - Lead Government representative in the role of Co-Chair[4];

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[3] The MDTF Operational Guidance note refers to the UN Resident Coordinator being the sole Chair of the PMC. However, experience has shown that this committee should be co-chaired with Government.

[4] If there is no lead government partner, then the NSC government representative should designate the government Co-Chair for the PMC.

o   Implementing national and local government counterparts;

o   Participating UN Agency Representatives or their delegates; and

o   Non-state representatives from citizens' groups, NGOs, civil society and/or the private sector.   Particular attention should be given to traditionally excluded and marginalized groups such as women, youth, indigenous populations, ethnic/religious minorities, amongst others, ensuring that their perspective is integrated into programme management.

Committee	Main role	Frequency of meetings	Decision-making process	Facilitated by
Programme Management Committee (PMC)	Managerial	Quarterly	Final decisions are taken by the Co-Chairs when a consensus cannot be reached	Programme Coordinator/ Manager if existing or as determined locally

If deemed necessary the PMC may invite other members to join the body such as technical representatives of Spain, other donors, larger representation of non-state actors, media organizations etc. It is important to ensure the participation of relevant implementing partners at the PMC discussions.   In countries where high numbers of involved partners obstructs sustained substantive discussions during the PMC, additional levels of discussion may be considered. Such models are discussed in the Section 5 on Coordination Mechanisms.

3.3 The UN Resident Coordinator and the UNRC's Office: Whilst the Resident Coordinator is not a formal structure within the governance of the MDG-F, the Fund supports UN Resident Coordinators in their strategic leadership of the UN Country Team. The Fund relies on the Resident Coordinators to exercise leadership and provide ongoing oversight to ensure that programmes are on track, promised results are being achieved, and participating organizations are meeting their obligations. Together with the UNCT's, Resident Coordinators can provide the strategic guidance necessary to ensure that JPs are well inserted in the national development context and contribute to public policy dialogue and development that is focused on MDG achievement. The Resident Coordinator exercises his or her authority over the programme by being entrusted with leadership of the overall programme design, ongoing programmatic oversight of the Fund's activities and by co-chairing regular Steering Committee meetings. On receipt of consolidated reports, the Resident Coordinator, in the role of Co-Chair of NSC and PMC, provides an overall assessment of the programme's progress and results. He/she will also facilitate ongoing monitoring and evaluation of Fund-supported activities in conformity with UN standards and any guidance provided by the Fund Secretariat or Steering Committee.

The UNRC's Office supports the RC's leadership and convening role during the formulation of joint programmes and RC's coordination and oversight role during their implementation. The MDG-F has agreed that programme funds can be used to support the UNRC's Office in order to assist with the execution of the functions of the NSC. Some of the functions performed by the UNRC's Office can include: the review and validation of all the reports to be submitted to the MDG-F Secretariat and the MTDF Office; ensuring an inter-agency perspective in all efforts related to the formulation and implementation of joint programmes; strengthening linkages between ongoing JPs and other UN supported initiatives; facilitating the organization of NSC, PMC and other relevant meetings; monitoring progress and achievement within the UNDAF framework; facilitating the articulation of national advocacy interventions; facilitating coordination between MDG-F funded joint programmes; and liaising with the MDG-F Secretariat and MDTF.

Table 1: Key Principles of the relationship between UN Agencies and the Government

- The achievement of the MDGs, fulfillment of human rights, UN Conferences and Summits

- Strong alignment with national priorities and country processes

- Building on experience of previous programmes

- To meet objectives of greater coherence and coordination between the UN Agencies

- Ensure alignment with current trends in the aid environment; Paris Declaration

- To foster constructive partnerships with civil society and non-governmental sector

Source: UNDAF Action Plan Guidance Draft, UN DOCO 2009

National Steering Committee (NSC)			Oversight
Programme Management Committee - PMC 1	Programme Management Committee – PMC 2	Programme Management Committee – PMC 3	Management
Programme Management Team 1	Programme Management Team 2	Programme Management Team 3	Implementation

4. Joint Programme Management Models

The MDG-F prioritizes national ownership which translates into national leadership in the management of joint programmes. Consequently the management of the programmes should reside within national entities[5]. The implementation of the joint programmes may be delegated to a number of partners ranging from Government; UN Participating Organisations; and civil society including NGOs, citizen's groups, the private sector and national/local institutions such as universities.

In instances where joint programmes have a number of national entities involved in a programme, Government may decide to have a lead ministry[6] manage the joint programme. This entity should identify a "Programme Coordinator/Manager" (PC/M)[7] who may come from the ministry (a focal point) or be recruited from outside. The NSC endorses the selection process of the Programme Coordinator/Manager. Should this PC/M be joined by other programme team members, this group will be referred to as the Programme Management Team or PMT[8] which is located in Government offices. Areas of responsibility covered by PMTs vary, including programme management, monitoring and evaluation, coordination, advocacy and communication[9], providing technical expertise, and administration. Sample terms of reference for the PC/M and other PMT members can be found in Annex 3 and 4.

In exceptional circumstances where the national Government does not have the capacity to manage and implement programmes, UN agencies may implement directly and are accountable for the use of resources and for the production of outputs and achievement of programme objectives. In this scenario, the joint programme should justify why this is the case and include a strategy to further develop Government capacity so as to be able to phase out from the direct implementation to national implementation as soon as possible.

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[5] In those instances such as crisis countries where national capacity may be weak, UN Agency leadership can be a valid option (direct execution).

[6] For the purposes of the guidelines, "lead ministry" can denote any lead national entity.

[7] The Programme Coordinator/Manager should be identified in consultation with the members of the Programme Management Committee as this person works on behalf of all the joint programme partners.

[8] Lack of available space may require a PMT to be based outside the government. Only exceptionally should a PMT be based in a UN agency.

[9] Advocacy and communication are both the responsibility of Government and UN agencies.

Role of the Lead ministry: The Lead ministry is responsible for coordinating all the joint programme partners, managing and monitoring the programme, and reporting back to the PMC. Some of these responsibilities may be delegated to the PC/M and the PMT or other implementing partners such as the United Nations and/or civil society. It is recommended to identify the roles and responsibilities of each implementing partner during the inception phase of the joint programme. The responsibilities of a lead ministry are further explained in Annex 4.

A number of complementary mechanisms for the management of joint programmes are possible depending on the nature of the joint programme, the institutional context and the number of different stakeholders involved in the implementation of outcomes and outputs. The utilization of these complementary mechanisms for the management of joint programmes does not replace overall joint programme governance structures that guarantee national ownership, and a coherent joint vision and strategy. These can include:

4.1 Management of components (or outcomes/outputs) distributed among partner ministries (or national entities): During programme formulation, it may have been decided that the management of joint programme components or outcomes/outputs should be distributed to the responsible technical ministries. As mentioned above, ministries should identify a focal point similar to the Programme Coordinator/Manager to manage the activities and outputs within that component or outcome. A PMT may or may not be established. The Government will need to identify which ministry or entity will co-chair the PMC on behalf of this group.

Role of the technical ministries: The technical ministries are responsible for managing and monitoring their components and reporting back to the PMC. Some of these responsibilities may be delegated to the PC/M and the PMT or other implementing partners such as the United Nations and/or civil society. The responsibilities of these ministries are further explained in Annex 5.

4.2 Lead UN Agency: Often during the formulation of joint programmes, a UN Agency was identified to lead this collaborative effort, playing a key role in coordinating and incorporating the contributions of all the partners. As the UN Resident Coordinator may delegate his/her role as Co-Chair of the PMC to a UN Agency, the role of Lead UN Agency may continue on into programme implementation. The delegated Co-Chair may or may not be the same as the Lead

UN Agency during formulation[10]. The MDG-F stresses the importance of complying with the Paris Declaration and emphasizing national ownership though local circumstances may differ on how this is achieved. As such the lead agency and its UN partners are responsible for promoting these principles in all the stages of the programme cycle. This will require Government involvement and leadership in formulating joint programmes and ideally in assuming a lead role in implementation. Citizens and civil society are also part of national ownership and must have concrete spaces for participation in defining and implementing joint programmes.

Role of lead UN Agencies in programme implementation: In joint programme implementation, UN Agencies can play a number of roles. If requested by the Government, a lead UN Agency can coordinate the implementation of joint programmes activities and outputs. If requested by the UN Resident Coordinator or the partner UN Agencies, a lead UN Agency can be responsible for coordinating the overall actions of UN Agencies on a joint programme or in some cases coordinate by component, outcome or output. When several UN Agencies are working with one ministry or national entity within a given joint programme, the latter can be overwhelmed by the variety of procedures and so a lead Agency can assist in coordinating this partnership. In some instances, a UN Agency has a field presence in a geographic area such as a province or state and may act on behalf of Agencies that are not present in that area.

National level:

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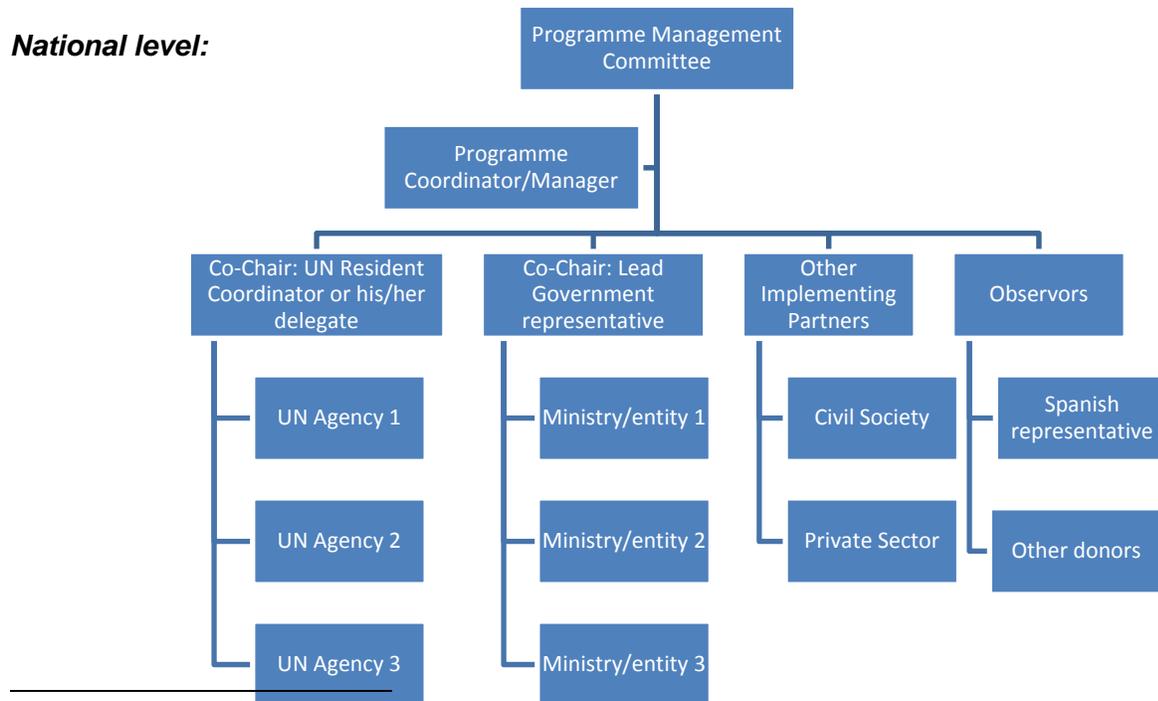
[10] Lessons learned have shown that it is important for lead UN Agencies to refrain from "managing" the programme unless it has been given this responsibility by the partners.

The above mentioned diagram illustrates options that might include decentralised management structures with local authorities or other sub-national entities. The diagram below illustrates the preferred multi-stakeholder character of these national and sub national structures.

Sub-national:
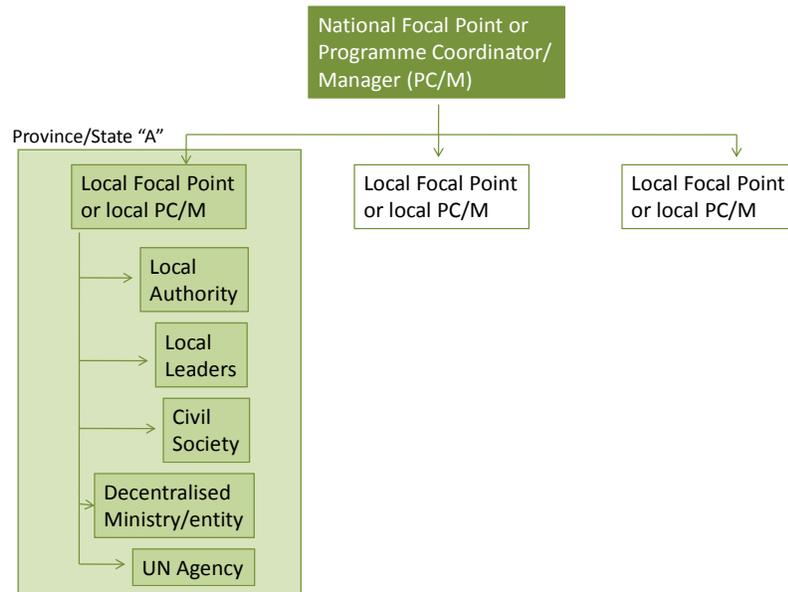
5. Coordination Mechanisms

In pursuing the implementation of joint programmes, a number of coordination mechanisms (either existing or newly established) have been used to ensure not only better coordination but harmonisation and alignment among the implementing partners with other national, local and international partners. The following list is non-exhaustive:

5.1 National:

- Inter-governmental coordinating body: Some governments may decide to have their own committee which brings together the government implementing partners chaired by the PMC Co-Chair, feeding information to the Government representative in the NSC.
- Local level committees: For joint programmes working at the local level, it is important to establish a coordination/decision-making body which includes the following participants as necessary: local authorities, local leaders, civil society (including NGOs, private

sector and community-based organisations), UN Agencies, and representatives of local targeted populations.

- Advisory Boards (national and local levels): Joint programmes may choose to establish or use previously established Advisory bodies composed of leading experts in a specific thematic area as a platform for focussed discussions on key issues.

- Sectoral Coordinating Body: In some contexts where there are existing nationally led coordinating mechanisms at the sector or cross sectoral levels, the JPs may also want to reach out to the latter. Participating in such discussions could (i) ensure that JP's are aligned to government programmes and activities financed through the national budget or other resources, and (ii) ensure that lessons learned, experiences and results of the MDG-F interventions are shared with all the relevant stakeholders and used both as an opportunity for advocacy as well as for potential the replication of successful pilot initiatives.

- Donor Coordination Groups: Linkages with other donor-funded programmes can be made through such bodies.

- Civil Society Networks: Civil society refers to all citizens/peoples groups that are engaged in meeting/advocating for the development needs particularly of the poor. This could include NGOs, faith-based organizations, trade unions, youth groups, women's groups, social movements etc.

5.2 Programme-specific:

- Results Groups: The Secretariat has seen these working groups under a number of guises including Outcome and Output Committees. Whichever their denomination, they are often used when a joint programme either has a large number of implementing partners and/or a large number of outcomes/outputs. They are composed of the implementing partners working on that specific component, outcome or output and usually chaired by the relevant national counterpart. Such groups coordinate with the PC/M and report back to either the lead ministry/technical ministry or the PMC itself.

- Programme Coordinator/Manager Group: For countries with several MDG-F joint programmes, the PC/Ms may wish to establish a venue for sharing ideas, exploring ways to join efforts for advocacy, exchanging best practices and discussing lessons learned.

5.3 United Nations (mechanisms vary according to local UN coordination modalities):

- UN Country Team: The UN Agencies involved in the implementation of MDG-F joint programmes may consult with the UN Country Team either directly or through the UN Thematic/UNDAF groups, with the intention of building consensus around substantive issues involving and/or informing the UN Resident Coordinator as Co-Chair of the NSC.

- UN thematic/UNDAF groups: In certain countries the UN thematic/UNDAF groups have provided an ideal venue for UN partners to have inter-agency technical discussions about programme interventions. In some countries, the Chair of the thematic group becomes the Lead Agency co-chairing the PMC.

- Inter-agency technical groups: These groups bring together UN Agency technical staff that can contribute particular expertise/insights into programme interventions or who are more closely involved in the formulation and monitoring of joint programmes.   One example may be the UN Communications Group.
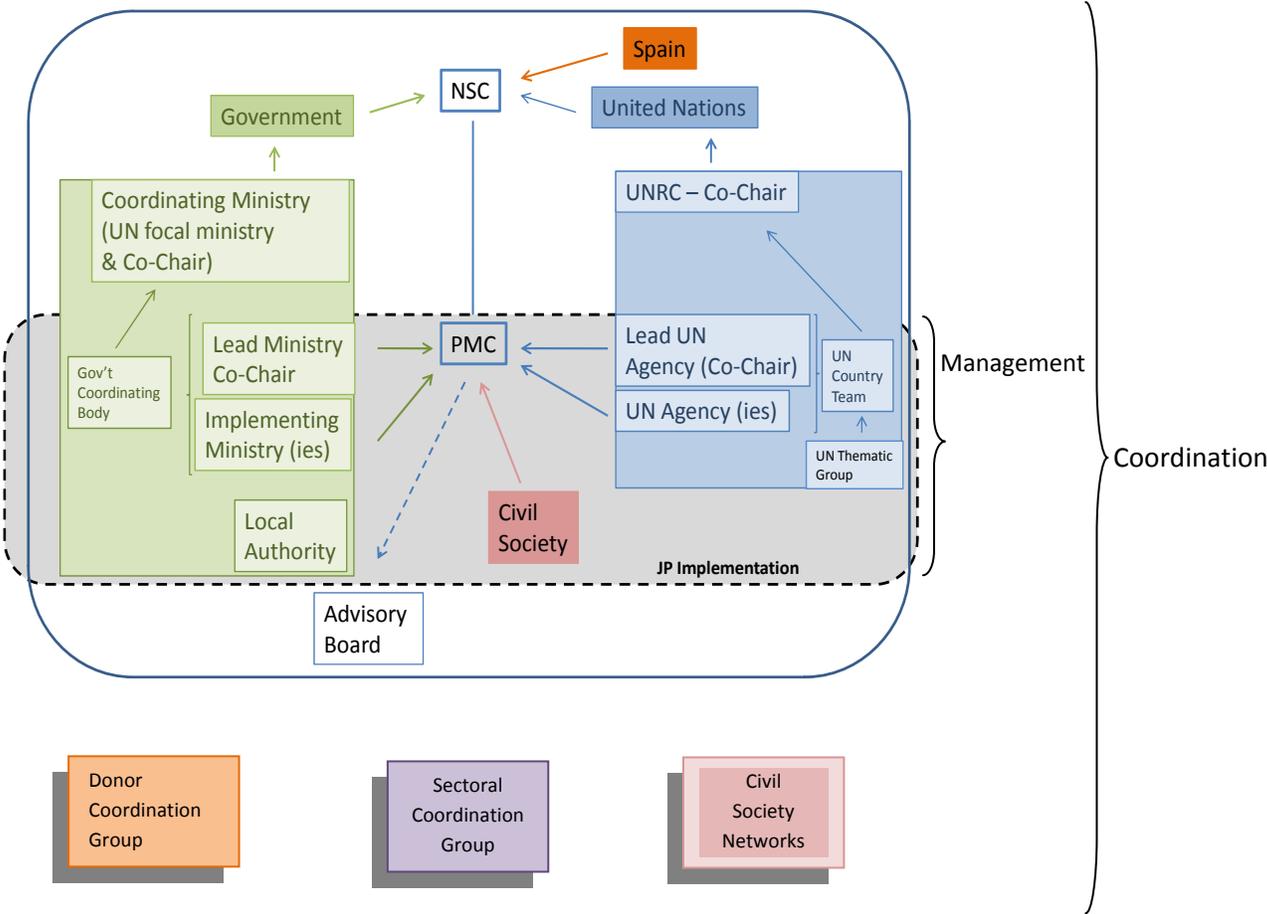
6. Monitoring and Evaluation (M&E)

Monitoring and evaluation, like programme design or implementation, forms part of the joint programme cycle and should therefore be implemented collaboratively throughout the life of the joint programme.

For the purpose of the MDG-F, **monitoring** is defined as a continuous process of collecting and analyzing information mainly on substantive indicators (at the activity, output and outcome level) to show progress toward the attainment of expected outcomes. Monitoring is a systematic, evidence oriented and quality based exercise where specific, measurable, attainable, reliable and time bound indicators (SMART) show proof of the substantive Joint Programme progress. **Evaluation** is the assessment of a planned, ongoing, or completed development intervention to determine its relevance, efficiency, effectiveness, impact and sustainability.

The MDG-F underscores the importance of involving citizens and their organizations in the monitoring and evaluation of programme interventions. A variety of means for participatory M&E methods can be used to ensure that the perspectives of citizens who are intended to benefit from programmes are accounted for. This process should on the one hand stimulate greater accountability of the programme in delivering results as well as enhance ownership and sustainability. The MDG-F Secretariat will provide guidance as and when needed.

To facilitate the programming of M&E activities, a checklist with Ten Steps to Joint M&E can be found in Annex 8. It is recommended that 3 to 5% of the overall programme budget is allocated for this purpose.

6.1 Levels of Information
The MDG-F includes four levels of information or units of analysis derived from its design and structure. Each unit of analysis builds on the results of the previous ones to offer a complete and coherent view of the progress and impact of the MDG-F.

i. **The joint programme level of analysis** looks at the impacts and contribution that a joint programme has on target populations/institutions. It is the building block for the M&E system - most of the information, evidence, conclusions and findings will be based on this unit of analysis. The analysis of the joint programme is not intended to be a collection of activities and outputs from different actors but rather a complete picture in and of itself, which is more than the sum of its parts. The joint programme's

implementation team has the responsibility to measure the change induced by the joint programme on/by citizens, institutions and other programmestakeholders.

ii.   **The country level of analysis,** when a country has more than one joint programme, considers the contribution and induced effect of the joint programme(s) on national development priorities as derived from their combined action in a specific country context.

iii.   **The MDGs and thematic window level of analysis** reviews the contribution and induced effect of joint programmes in the eight MDG-F thematic areas   and their contribution towards MDG achievement at the national level.

iv.   **The MDG-F as a mechanism** consists of a systematic and rigorous synthesis of the above mentioned units into two pieces of comprehensive and evidence based work-mid-term and final reports.

6.2 The Monitoring and evaluation function of a Joint Programme consists of:

Monitoring

- Collecting a baseline for the indicators of the Joint Porgramme Monitoring Framework (JPMF) included in the joint programme document (if not already done);
- Collecting data on indicators of the JPMF;
- Carrying out any other activities included in the M&E plan;
- Fostering and facilitating participation of stakeholders through M&E activities;
- Collecting and reporting data, every six months, on the three thematic indicators (These are currently being prepared in discussion with the Convenor of each thematic window); three indicators on joint programme coordination and the Paris Declaration included in the JPMF;

Evaluation

- Facilitating M&E processes such as adapting the templates of the terms of reference for the joint programme mid-term evaluations by the MDG-F Secretariat in consultation with the UNRC's Office and PMT;
- Organizing field visits; and
- Implementing recommendations from M&E activities and reports into the programme cycle to improve the joint programme.

A monitoring report, that includes updated data on indicators, additional information and evidence (including financial), is prepared on the basis of this information twice a year by the

PC/M or an M&E specialist to be submitted to the PMC and subsequently to the NSC and MDG-F Secretariat. A template to this effect is provided in Annex 7.

6.3 Joint Programme M&E Tools: A number of M&E tools are at the disposal of the joint programme partners to conduct monitoring and evaluation:

- *Joint Programme Monitoring Framework:* is the key element for the M&E system. The JPMF is part of the signed joint programme and is adjusted and revised during the Inception Workshop to reflect and take into consideration comments provided by the MDG-F Secretariat.

- *Joint Programme field visits:* Whenever possible, visits to areas of programme interventions should be done jointly and in a coordinated manner with Government, UN agencies and other partners. The Secretariat will develop a protocol to conduct the visits in a coordinated and systematic manner. This way the different members of the team will use the same methodology to analyze and interpret their observations allowing comparison among the visits and linking this exercise to the monitoring and evaluation plan and activities at country and Secretariat level.

- *Annual Reviews:* Annual reviews are an opportunity to bring together the joint programme partners and stakeholders to discuss progress to date, find solutions to any identified obstacles, discuss the results of the M&E Plan, formulate lessons learned, and prepare the new Annual Work Plan. It is at this time that requested changes to the AWP and budget should be discussed in anticipation of the preparation of the request for funds for year 2 and year 3 of the joint programme. Please see section on programme and budget revisions for more guidance in this respect.

- *Annual Work Plan (AWP):* The Annual Work Plan for year 1 is prepared during joint programme formulation and subsequently updated during the Inception Workshop. The AWP for subsequent years is generally developed by the PC/M following consultations with all implementing partners, reviewed by the PMC and approved by the NSC. It is a useful tool together with financial reports for reviewing joint programme progress on a quarterly basis with the PMC.

- *Reporting:* See Section 9 below.

- *Evaluations:* For joint programmes with a duration of two years, only one evaluation is required toward the end of the programme unless it is agreed otherwise. For joint programmes with duration of three years, mid-term and final evaluations are required.

  - *Mid-term evaluations:* The mid-term evaluation of a joint programme is financed and led by the MDG-F Secretariat. The Secretariat will prepare generic terms of reference that can then be customized to cover local issues. Consultants will be recruited by the Secretariat and the mid-term evaluation will be facilitated by the JP partners. The mid-term evaluation Team Leader will undertake a debriefing prior to leaving the country and the final report will be shared with all the partners accordingly. The results should be discussed in the PMC as well as the NSC and the joint programme team is responsible for implementing the mid-term evaluation recommendations.

  - *Final evaluations:* Final evaluations are financed, prepared and managed at the country level. The PC/M or identified focal point should prepare the terms of reference, recruit the consultants and facilitate the evaluation mission. The results of this evaluation should be discussed with the JP partners including the PMC and the NSC. A copy of the evaluation reports should be shared with the MDG-F Secretariat.

7. Audit

The MDG-F Secretariat recommends conducting the audit exercise in a joint manner. In line with OECD/DAC standards, it is good practice that when preparing the audit exercise for a development programme, all relevant implementing partners should have an input in the following: 1) preparation of the terms of reference including the definition of the scope of the audit, 2) agreement on the due date for submission of audit reports, 3) having a single audit report (where project financial reports reflect all sources of funds, the audit report should normally fulfill the requirements of all partners), and 4) providing comments to the Management letter that addresses deficiencies noted in the system of internal controls and contains the audit findings.

This does not preclude that activities carried out by the Participating UN Organization shall be subject to internal and external audit as articulated in their applicable Financial Regulations and Rules.

8. Advocacy and Communication for Development

The MDG-F Secretariat in consultation with the various participating UN Agencies elaborated an Advocacy & Partnerships strategy with the aim of helping the MDG-F advance its main goal of accelerating progress on the MDGs and related goals while advancing collaborative UN efforts. It responds to the demonstrated need to strengthen citizen's participation in development efforts and have clear advocacy interventions that push for more inclusive and responsive public policy and practice. The strategy, further described below, provides a guiding framework within which to articulate national advocacy plans, and has been articulated at a macro level intentionally so that countries can use it to define context specific activities that lead to similar goals and outcomes.

All MDG-F participating countries should, if not already done, develop a **national advocacy strategy** that is based on country level MDG and related priorities. These should take the form of a simple yet targeted **advocacy action plan** (see Annex 9 for guidance note) outlining specific interventions that aim to accelerate progress on the MDGs by raising awareness, galvanizing broad-based support and increasing citizens participation in MDG related policy and practice. Individual Joint Programmes (JPs) should also have clear advocacy interventions that are defined by the programmes desired policy impact. These should be inserted in and reinforce the national level advocacy plan. In countries with more than one MDG-F JP, there should be clear and articulated overlap in key advocacy efforts that give visibility to the MDGs and to the work of the MDG-F.   Forging strategic partnerships with various non-state actors (e.g. citizen groups, private sector, media, academia etc.) will be instrumental to the success of advocacy efforts helping to increase outreach, legitimacy and support.

For the purpose of the MDG-F advocacy is understood as an umbrella term used for a variety of means available for influencing outcomes (decisions) that directly affect people's lives. To be most successful, advocacy should work at two complementary levels: policy influence and citizen empowerment helping to build transparency and accountability.

8.1 The MDG-F Advocacy and Partnerships Strategy's overall goal, outcomes and outputs are briefly described below. For a more detailed description of these please refer to Annex 9.

<u>Overall Goal</u>: ***Accelerate progress on the MDGs by raising awareness, strengthening broad- based support and action and increasing citizen engagement in MDG related policy and practice.***

Outcome 1: Increased awareness and support for the MDGs
- <u>Output 1</u>: Strategic partnerships with media for advocacy and accountability
- <u>Output 2</u>: Key dates and events used to galvanize support for the MDGs and related goals (e.g. mobilization of Stand Up and Take Action against Poverty)
- <u>Output 3</u>: Link with and support citizen groups in their advocacy efforts
- <u>Output 4</u>: Work with UN Communication Groups or other inter-agency groups to establish joint messages on MDGs and engage in joint advocacy efforts
- <u>Output 5</u>: Public outreach and Communication: Producing awareness and advocacy materials such as public service announcements, policy notes, theatre pieces, etc

Outcome 2: Programmes are leveraged for increased MDG results
- <u>Output 1</u>: Citizen groups/networks have been strengthened to have more effective participation in MDG policy and practice areas- giving strategic support
- <u>Output 2</u>: Strengthened dialogue between local governments and civil society groups- opening neutral spaces for interaction between citizens and their governments for the formulation of inclusive public policies
- <u>Output 3</u>: Innovative cases are documented and used to facilitate learning and advocacy
- <u>Output 4</u>: Wide range of partnerships established in support of MDGs and JP goals.

Outcome 3: Achieve greater accountability and transparency
- <u>Output 1</u>: Accountability to all partners including citizens in target areas is strengthened- includes the right to information and participation.
- <u>Output 2</u>: MDG-F identify is strengthened and it is recognized as trusted partner

8.2 Mechanisms for Financing and Implementing Advocacy Plans: As and where possible the articulation and implementation of advocacy efforts should build on capacities and mechanisms that already exist within Country Teams. The coordination mechanisms outlined in

section 5 of these guidelines can also be used and strengthened to provide a collaborative forum and platform for joint communication, advocacy and mobilization. These could be advisory groups, local level committees for location specific interventions, inter-agency technical groups and/or programme management teams.

One concrete and effective way of moving forward with these efforts is to designate an existing senior UN staff (e.g. Agency Representative) to take the lead on UN advocacy efforts. This "leader' can use an existing group or convene an **advocacy technical group** to discuss and develop advocacy plans that are based in national MDG and related priorities. MDG-F Joint Programme Coordinators/ Managers and relevant UN Agency representatives should be part of this group. Many country offices can also make use of existing **interagency Communication Groups** (e.g. UNCG), building on these to include programme staff that can help in articulating the desired policy impacts of national advocacy plans. In the latter case, greater effort should be made in linking the work of the UNCG to that of the UNCT to ensure that communication and advocacy is being used to its full potential to achieve progress on country programme objectives.

Within JPs, the planning, implementation and oversight of advocacy interventions should fit into the management models that programmes and country offices opt for, with caution not to designate all responsibility for advocacy to a Government entity.

All national advocacy strategies/plans as well as JP action plans must be equipped with an **appropriate budget**. In the case of JPs, the Secretariat recommends that funds should be explicitly allocated for advocacy efforts. To do so, earmarking 2% of overall budget is a good standard, understanding that advocacy and communication activities are often embedded into activity budgets and are not stand alone. If this was not planned in year one, it can be accounted for in subsequent budget revisions. When coming together to formulate national advocacy action plans, the 2% (or part of it) allocated by JPs should be directed towards the national plan. Agencies should discuss how to put together additional funds to back up their efforts.

9. Reporting

The reporting function consists of communicating a collection of information and perceptions on a variety of joint programme dimensions in the form of a narrative text that also includes the financial dimension of the joint programme. Reporting is a source for capturing traces and

trends of information and facts to be taken into consideration for M&E activities as well as for internal accountability purposes. However, this function does not replace the robust, evidence based, participatory, processes and products generated by the M&E function.

The main purpose of reporting is to fulfill the accountability requirements prescribed in the Memorandum of Understanding of the MDG-F signed by the donor and UNDP on behalf of the participating United Nations Agencies. The main purpose of the M&E on the other hand is to improve porgramme's performance through learning and the generation of knowledge.

The reports produced are an important piece of information that allows the Secretariat to identify bottlenecks and provide support to joint programmes that need it. The reports also constitute a source for discovering good practices and lessons learnt permitting the Secretariat to quickly share new developments and knowledge with other joint programmes.

The following reports are to be prepared and submitted by each Joint Programme:

9.1 Quarterly Financial Update: At the end of each quarter, following the initial receipt of funds, a quarterly financial progress update is expected. This report includes commitment and expenditure data, and it is prepared by each UN Participating Organisation using the online portal[11]. The quarterly update is due no more than 20 days following the end of the quarter. The MDG-F Secretariat reviews each of the quarterly reports to monitor progress on financial delivery rates together with the AWP.

9.2 Quarterly Color-coded AWP: At the end of each quarter, following the initial receipt of funds, an updated work plan, color-coded according to progress made on activities (green for completed, yellow for on-going, and red for delayed), is expected for the MDG-F Secretariat's review and further follow-up with the Joint Programme Teams. Please note that once the joint programme has completed a programmatic year, and if a request for Year 2 or Year 3 Funds (whichever applies) has not been submitted, an Annual Work Plan for Year 2 or Year 3 must still be sent to the MDG-F Secretariat, reflecting the activities and complete budget for that year.

9.3 Monitoring Report: This monitoring report shall be submitted to the MDG-F Secretariat **twice a year,** one due in July for the reporting period of January to June, and the other one in

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[11] At the time of writing this guidelines, the MDTF Office was taking measures to make the portal operational.

January for the reporting period of July to December. Former narrative quarterly reports will cease to be submitted. Please note that financial quarterly reports are still required.

9.4 Annual Report: For each year in which funds were received, an annual report is prepared.

- *Narrative:* The narrative portion of the report is prepared at the country level, usually by the PC/M by consolidating information from the various implementation partners on progress towards results, including achievements and lessons learned. The narrative portion of the annual report should be approved by the PMC and is due on March 31 following then end of the calendar year of the report.

- *Financial:* Each Participating UN organization will submit to the MDTF Office a financial report stating expenditures incurred by each programme during the reporting period. The dead-line for this report is 30 April.

- *Annexes:* The following annexes are required to be submitted together with the narrative:
    - o The color-coded annual work plan shows the status of implementation of each activity: green for completed, yellow for ongoing, and red for delayed. A final column can be added to the work plan to provide an explanation for delayed activities.
    - o The Monitoring framework including the value of the indic*ators or in* any case the baselines for each indicator
    - o Any communication, media and advocacy plans accompanied by materials that have been produced to support these interventions (news clippings, print materials, sample TV/radio spots, involvement of Goodwill Ambassadors/celebrities, etc.)

- *The MDTF Office is responsible for consolidating the two portions of the report and sending back to the Programme Management Team.* The annual report should be submitted to the National Steering Committee for their review, comments and any decisions that might be required. The MDG-F Secretariat will also review the report and provide any feedback it might have to the UN Resident Coordinator for further comment or action.

9.5 Request for Year 2 and Year 3 Funds: Once a joint programme has committed a minimum of 70% of the Year 1 or Year 2 budgets, the Resident Coordinator can request a release of funds for Year 2 or Year 3 respectively. As such the following documents should be submitted:

- *Request for release of funds form at:*
  http://www.undp.org/mdtf/mdgf/documents_useful_links.shtml

- *Annual work plan:* The annual work plan for Year 2 or Year 3 must be submitted.

The following reports should be available with the MDG-F secretariat for review and so there is no need to re-submit them:
- *Quarterly Financial updates*
- *Monitoring report*
- *Annual report*

The MDTF Office will review the request for release of funds form to ensure that it is in line with standards. The MDG-F Secretariat will recommend the release of funds, once it has reviewed the above mentioned documents as well as the relevant quarterly and annual reports. If a mid-term evaluation has also taken place, this document will also be considered for the release of funds.

January	February	March	April	May	June	July	August	September	October	November	December
		Annural Narrative Progress Report Due 31st March	Annual Financial Progress Report Due 30th April								
4th Quarterly Financial Report			1st Quarterly Financial Report			2nd Quarterly Financial Report			3rd Quarterly Financial Report		
Color-coded AWP			Color-coded AWP			Color-coded AWP			Color-coded AWP		
2nd bi-annual Monitoring Report Due 20th January						1st bi-annual Monitoring Report Due 20th July					

10. Implementation Modalities

Each JP will need to determine the modality (ies) of implementation to execute the JP activities. The definition of these modalities will take into consideration the national systems and procedures; the legal context and agreements for delivering development assistance in each country; and UN country experience to date. There are two broad categories to execute a joint programme: National Execution or Direct Execution. Regardless of the modality of execution, national ownership should be ensured in the implementation of all programme activities.

When the JP is designed, the formulation team should discuss with all the identified state and non-state implementing partners and UN agencies how respective activities will be implemented. This is critical since the MDG-F uses the Pass-through modality for the disbursement of funds i.e. each UN agency will receive the Funds at the agency HQ which is subsequently made available to the country offices. Identifying the modalities of implementation and cash transfer that each UN agency will be using is essential to determinate potential gaps in the pace of programme activities and different phases within each output or between outputs. The Programme document should contain an explanation of how each UN agency will work with respective implementing partners (if not already done, do so during the Inception Workshop). A joint programme may contain various modalities of implementation and transferring funds depending on the degree of UN harmonization of procedures in a given country. In those countries that are HACT compliant, this modality of transfer should be used.

Graphic illustration of fund management for
a Joint Programme with Pass-Through Funding

In the case of national execution, the appropriate national partners will be directly implementing programme activities with technical support from UN agencies. National execution has the potential to greatly improve the capacity of individuals to manage development programmes, under the right conditions. Countries vary considerably in their levels of self-reliance in procurement, contracting, and recruitment , and national personnel are often aided by UN Agencies, but in a great many countries national personnel are moving to handle much of this work themselves.

Under national execution there are different modalities for making payments and transferring cash. These are summarized in the table below:

Modality	Obligation is approved by	Disbursement/ payment made by	Frequency of Payments
Cash advances	Government	Government	Quarterly
Direct payment to providers	Government	UN Agency	Based on activity and request
Reimbursement	Government	Government	Quarterly

In the case of direct execution, UN agencies will implement activities and make payments on behalf of Government.

11. Programme and budget revisions

It is good management practice to adjust the programme and the budget as part of the implementation of a programme. It is important that each programme team discusses and determines early on, who will initiate and prepare a programme/budget revision, and the frequency of these. Such revisions arise when:

11.1 Timely delivery of activities during which programme implementation requires adjustments and changes in the activities or in the budget categories of an agency. In this case, the following options apply:

- Changes of activities that **do not affect** the outputs and outcomes could be decided by the PMC and communicated to the NSC. This will ensure that (1) any revision, no matter how small it is, is not carried out unilaterally but instead approved by the responsible Programme Management Committee that includes implementing partners and UN agencies, and (2) the governmental counterpart participates in this decision reinforcing ownership and mutual accountability. The NSC could establish maximum budget amounts beyond which any change should be approved by the NSC (this is up to the NSC in every country).

-    Changes of activities that **<u>do affect</u>** outputs and outcomes, especially if this implies a change in the programme's strategy, must be approved by the NSC and then submitted to the MDG-F Secretariat (that will refer the issue to the Global Steering Committee of the Fund).

11.2 Delays or lack of joint implementation Where changes done at any point during programme implementation imply moving budget between years and/or between agencies, the following information provided in the transmittal memos can be applicable:

> "In order to allow the implementation team some flexibility to adapt the strategy to unexpected challenges and opportunities (most particularly delivery issues), and to empower Resident Coordinators in their oversight responsibilities, this memorandum also provides you with the authority over the three year duration of the programme **in consultation with Participating Organizations and with the agreement of your National Steering Committee** to:
>
> -   Transfer up to $1,000,000 or 20% of the total value of the project budget – whichever is lowest – between Participating Organizations identified in the original Joint Programme budget, and
>
> -   Re-phase up to $1,000,000 or 20% of the total value of the project budget – whichever is lowest - between years.
>
> The base-line against which these ceilings will be measured is the <u>annual budget projection (by year and by participating organization) confirmed at the time of your first funds-advance request</u>. The MDG-F Secretariat and MDTF Office must be informed of any revisions of this kind, decided locally and is responsible for tracking these delegation ceilings for each programme. Any changes that fall outside these parameters will have to be referred back to the (Global) MDG-F Steering Committee for approval."

When reaching the end of the first or second years of implementation, a new Annual Work Plan (AWP) must be developed. In those cases where the 70% combined commitment rate has not been achieved, the unspent funds are re-phased into the following year, including them in the new AWP. The year 2 or 3 AWP should include those uncompleted activities from year 1 or 2[12]. In such cases implementation should continue until 70% commitment is reached. Please note that the 70% is measured against the total amount received on the last disbursement. Once this

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[12] Formulation teams must keep in mind that programme extensions will not be considered at this time.

requirement has been fulfilled, the following tranche disbursement can be requested as per section 9.3.

11.3 Changing circumstances that can lead to changes in the activities, outputs and/or outcomes such as:

- A conflict or crisis;
- New resources mobilized from Government or donors result in increasing the scope of a joint programme;

As a result of these, the joint programme needs to be amended, the annual work plan revised and the budget adjusted to accommodate new allocations from different funding sources. It is recommended that resource allocation adjustments are done at the local level and additional resources transferred to designated UN country level accounts. Other scenarios may be caused or example by rising implementation costs that result in having to decrease the scope of a programme.

These changes should at a minimum be approved by the NSC. The MDG-F Secretariat should be consulted for changes that may require the approval of the MDG-F Steering Committee.

Next steps after JP is approved by the MDG-F Steering Committee

- Establish the Programme Management Committee if not already done and determine who will Co-Chair the meetings.

- Ensure that all comments included in correspondence from the Partnerships Bureau, on behalf of the UNDP Administrator, and the Multi-Donor Trust Fund Office is accounted for in the final programme document.

- Upon receipt of this memo, even prior to the signature of the Joint Programme, consensus building activities should continue. We encourage the further discussion of operational aspects among participating UN agencies, governments and local counterparts. When possible, the recruitment process of the Joint Programme team should begin (such as drafting and getting approval for the TORs, etc).

- Sign the JP and send it immediately to the MDTF Office and the MDG-F Secretariat – do not wait for the Request for Release of Funds form to be ready

- Prepare and send the request for release of funds form , which can be downloaded from http://www.undp.org/mdtf/mdgf/overview.shtml

- If Government is providing office space, ensure that it is appropriately furnished and ready for the Programme team.

- We also recommend that an inception workshop with wide participation of relevant counterparts is carried out as soon as possible to, inter alia, determine the roles and responsibilities of the implementing parties. During the inception workshop during which the following is done:
    - Invite all relevant stakeholders to the inception workshop/preparatory meetings
    - Make any necessary revisions to the joint programme document
    - Revise and agree on the annual work plan
    - Further refine baselines and M&E indicators, complete the M&E Plan and identify responsible parties
    - Discuss and develop an advocacy and communications plan that is based on desired policy impacts of programme
    - Flesh out the role of the various lead ministry and lead UN Agency and detail the responsibilities of each partner, reconfirm the management model described in the joint programme and agree on administrative work flows
    - Review the joint programme implementation guidelines and adapt them as necessary to local conditions

LIST OF ANNEXES

1. Terms of Reference for the National Steering Committee

2. Terms of Reference for the Programme Management Committee

3. Terms of Reference for the Programme Management Team and/or Programme Manager/coordinator

4. Responsibilities of Lead Ministry

5. Responsibilities of Technical Ministries

6. Participation in Monitoring and Evaluation

7. Template for Monitoring Report

8. Ten Steps to Joint M&E

9. Guidance Note for Advocacy Action Plan

10. Administrative and Procurement Processes

10.1   Recruitment of consultants
10.2   Procurement of goods and services
10.3   Plan for Operational Closure of the Joint Programme

Annex 1: Terms of Reference for the National Steering Committee

A National Steering Committee (NSC) will be set up. There will be one Committee per country overseeing all joint programmes.

Role: Oversight and Strategic Leadership of joint programmes at the national level.

Composition**:** To guarantee its independence, the NSC should include parties who are not involved in programme implementation:
- o A representative of the Government, in the role of Co-Chair;
- o The Resident Coordinator of the United Nations Systems (UNRC), in the role of Co-Chair; and
- o A representative of Spain.

Additional members may be invited as observers at the discretion of the National Steering Committee.

Functions**:**

Formulation
- To approve the joint programme before submission to the Fund Steering Committee. Minutes of the NSC meeting are to be sent to the MDG-F Secretariat with final programme submission;

Management set up
- To revise and approve the regulations and other tools of the National Steering Committee and to amend them as necessary;
- To approve the duly documented agreements or arrangements for the management and coordination of joint programmes;
- To approve the selection process for the Joint Programmes Coordinator/Manager;

Planning and reporting
- To approve the JP Annual Work Plans and the Annual Budgets as well as any adjustments required to achieve the desired results in line with the implementation guidelines, when applicable;
- To review/approve the annual report for each of the joint programmes, to make observations and take strategic decisions;
- To propose corrective actions for the implementation of joint programmes when it becomes apparent that there have been deviations from the Work Plans and to make recommendations on how to improve the implementation of programmes at the national level;

Monitoring, evaluation and audit
- To review the internal and external Evaluation and Audit reports for the programme or its components and ensure the recommendations are put into practice;
- To ensure and guide implementation of monitoring mechanisms and administrative procedures to enable the joint programmes to be managed efficiently.

- To review the bi-annual monitoring reports to assess progress and delivery on the implementation of joint programmes and to make observations and recommendations accordingly;

Advocacy and Communications
- To request and provide impetus to the articulation of National Advocacy Action Plans that are in line with the MDG-F Advocacy and Partnerships strategy.
- Discuss and approve the National Advocacy Plan and request periodic updates on its implementation ensuring that key national development priorities are targeted through articulated advocacy interventions that bring together UN Agencies, local governments as well as citizen groups.
- Ensure that policy outcomes are consistently being sought and that the MDGs are at the centre of development efforts.

Coordination and participation
- To promote synergies between the joint programmes and related projects and/or programmes, even if they are funded by Government or other development partners;
- To make sure that the participatory consulting processes with the main national and local partners take place, so as to ensure ownership, enable synergies and avoid any duplication or overlapping between the Fund and other financial mechanisms, thus reducing transaction costs.

Annex 2: Terms of Reference for the Programme Management Committee

One Programme Management Committee (PMC) will be set up for each joint programme.

Role: To undertake the technical and operational oversight and coordination of the joint programme at a management level.

Composition: The PMC is composed of the joint programme implementing partners who have decision-making abilities:
- o The UN Resident Coordinator or his/her delegate in the role of Co-Chair[13];
- o Lead Government representative in the role of Co-Chair[14];
- o Implementing National and local government counterparts;
- o Participating UN Agency Representatives or their delegates; and
- o Selected representatives of the non-state actors such as NGOs, civil society and the private sector. The most vulnerable populations such as women, indigenous populations, ethnic minorities, etc. are often forgotten and consequently the choice of representative in the PMC must be given the highest consideration.

Key Functions:

Management arrangements
- To manage and approve the hiring of the Joint Programmes Coordinator/Manager, and the team;
- To manage the programme resources appropriately in order to achieve the anticipated results and outcomes;
- To revise the consolidated progress and financial reports for the programme in order to identify any points requiring attention or any deviations from the Work Plan in the implementation, and to make recommendations;
- To address management and implementation problems;

Planning and Coordination
- To recommend approval of the Work Plans and the Annual Budgets for annual forwarding to NSC;
- To recommend any reallocations, adjustments or revisions of the budget required for the programme;
- To suggest and recommend approval to any reallocations, adjustments or revisions of the budget required to achieve the expected results;
- To undertake the general coordination for the joint programme between the UNS Agencies, national institutions and other participating Partners, as well as to create links with other similarly-themed programmes being implemented;
- To ensure that the technical and operational teams work together, in a coordinated way, on the programme activities and in consultation with the Programme Coordinator;

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[13] The MDTF Operational Guidance note refers to the UN Resident Coordinator being the sole Chair of the PMC. However, experience has shown that this committee should be co-chaired with Government.

[14] If there is no lead government partner, then the NSC government representative should designate the government Co-Chair for the PMC.

Technical oversight

- To provide technical and substantive advice on the expected results and the activities laid out in the Work Plan;
- To verify and ensure that the activities financed by the MDG-F are in line with the national priorities approved under the United Nations Development Assistance Framework (UNDAF);

Advocacy and Communications

- Organize brainstorming session with JP Coordinators and key partners from civil society and government to articulate clear advocacy and communication interventions that are in line with joint programmes policy objectives and national priorities. This session should produce a clear action plan that is shared and approved by the NSC.
- Coordinate media visits to JP programme activity areas ensuring proper briefing on programme goals as they relate to the overall MDG message. In collaboration with ongoing MDG advocacy efforts, help to nourish strategic partnerships with media for greater coverage of MDGs.
- Ensure that JPs have identified key local actors (citizen groups or others) and adequately include them in programmes creating neutral spaces for effective participation in MDG policy and practice. Explore and recommend partnerships with civil society groups, local governments, media, youth, academia, etc
- Ensure that programmes produce catchy and interesting communication materials (human interest stories, videos, reports, photo documentation etc) that can be used for advocacy and reporting back to MDG-F secretariat.
- To ensure consistent use of the MDG-F logo;

Monitoring and Evaluation

- To oversee the establishment of programme baselines to enable sound monitoring and evaluation
- To review the consolidated monitoring and evaluation reports of the joint programme and ensure the system works well by institutionalising it in national entities;
- To identify the lessons learnt from the implementation and ensure that they are documented and disseminated to the Agencies and Partners of the programme.

Annex 3: Terms of Reference for the Programme Management Team and/or Programme Manager/Coordinator

Role: To manage and coordinate the implementation of the joint programme on behalf of all the partners. The selection of the Joint Programme Coordinator is approved by the National Steering Committee.

Functions:

Planning and coordination
a. To support the operational teams of the Agencies and Partners in establishing the Work Plans and the Annual Budgets,
b. To timely consolidate the Work Plans and the Annual Budget and present them to the Programme Management Committee (PMC) for review and approval;

Implementation coordination
c. Play the lead role in ensuring that all partners work together to deliver the programme, in compliance with the work plan;
d. To advise the PMC on the implementation of the joint programme and to make recommendations on both substantive and financial issues, including budget revisions;
e. To provide secretariat services for the PMC and to follow up on the decisions taken;
f. To help establish working level coordination mechanisms, including at the sub-national level and generate synergies between different outcomes;
g. To support all partners' successful implementation of programme activities through direct assistance and technical and operational advice;
h. To facilitate resolution of disputes among partners and to troubleshoot obstacles to timely implementation;
i. To provide strategic advice on a comprehensive exit strategy.

Capacity development
j. Promote national ownership by supporting the government in its leadership role within the joint programme and strengthen the government's capacity to play this role
k. Ensure that all joint programme activities prioritise sustainable capacity development of the targeted beneficiaries.

Communication and advocacy
l. To drive the articulation of an advocacy and communications plan that advances the policy impacts of the joint programme while putting citizens and their organizations at the centre of local interventions.
m. Facilitate the implementation of the advocacy and communications plan in coordination with UN Agencies and national Partners;
n. To identify strategic partnerships with media organizations and other relevant non state actors with the aim of increasing awareness and visibility of poverty issues and the MDGs.
o. Work collaboratively with citizen groups fostering their active participation in programme management, implementation, monitoring and evaluation.
p. To leverage programme outcomes through advocacy to create broader, systemic change and achieve policy impact
q. Ensure that programmes are accountable to all relevant partners particularly citizens for delivering programme results making available information as and when needed.

M&E and Knowledge Management
    r. To ensure the implementation of the monitoring and evaluation plan, in a participatory manner;
    s. To ensure that corrective actions are taken as a results of M&E findings;
    t. To ensure transparency of the M&E process by disseminating information to partners and relevant stakeholders.
    u. To identify and disseminate lessons learnt;
    v. To forge links with other initiatives including joint programmes to identify best practices and share lessons with partners.

Reporting
    w. To prepare the narrative and consolidate financial information on expenditures for the programme and present them to the PMC for approval, before they are sent to the NSC.

Annex 4: Responsibilities of Programme's Lead Ministry

a) To coordinate participation by national, regional, municipal and territorial government partners in the programming and implementation processes of the joint programmes in order to ensure that they own them.
b) To promote the institutionalisation of the programme's processes and products (monitoring and evaluation, systematization, outreach, baseline, etc).
c) To consolidate feedback for the Government National Steering Committee member.

In addition to these responsibilities, the lead partner must ensure that there is a physical space for the coordinator and his or her team in the lead partners' facilities should one be planned for.

Annex 5: Responsibilities of Technical Ministries

a) To facilitate ongoing participation and coordination with the institutions and organisms related to the implementation of the programme's outcome(s).
b) To support the harmonization and allocation process among the central government and regional partners participating in the outcome(s), for the purposes of achieving a better implementation.
c) To implement/execute programme elements.
d) To ensure full participation of local authorities, etc.

Annex 6: Participation in Monitoring and Evaluation

What is Participatory Monitoring and Evaluation (PM&E)?
Participatory monitoring and evaluation is a process through which stakeholders at various levels engage in monitoring or evaluating a particular joint programme, share certain control over the content, the process and the results of the M&E activity and engage in taking or identifying corrective actions.

Why is Participatory Monitoring and Evaluation important?

Participation should be an integral part to certain types of M&E processes, since it offers ways of assessing and learning from change that are more inclusive, and more responsive to the needs and aspirations of those most directly affected. PM&E is geared towards not only measuring the effectiveness of a programme, but also towards building ownership and empowering beneficiaries; building accountability and transparency; and taking corrective actions to improve performance and outcomes. Participation ensures utilization of the monitoring and evaluation exercises.

What are the principles of Participatory Monitoring & Evaluation?

- Primary stakeholders are active participants – not just sources of information.
- Building capacity of local people to analyze, reflect and take joint action.
- Learning of stakeholders at various levels catalyzes commitment to taking corrective actions.

What are some of the tools used?
- Participatory rural appraisal (PRA)
- Citizen report card and community score card
- Public expenditure tracking survey (PETS)
- Beneficiary Assessments
- Participatory Poverty Assessments (PPA)
- Related Methodologies

References
There is a wealth of literature, manuals and documents that provide with guidance and examples on how to conduct participatory M&E. However there is not a one size fits all solution. Each manager, M&E officer or consultant should think through the best alternatives on how to use this powerful instrument for change. A complete resource center with on-line documents can be found at:
http://www.pnet.ids.ac.uk/prc/index.htm Institute for Development Studies Resource Center
On using participation to enhance the utility of evaluations: Quinn Patton, Michael, Utilization Focused Evaluation,4th Edition, Sage Publications 2008

Annex 7: Template for Joint Programme Monitoring Report

*This report is due no more than 20 days following the end of the2nd and 4thquarter. Please submit to the MDF-G Secretariat at: mdgf.secretariat@undp.org

The MDG-F, defines **monitoring** as a continuous process of collecting and analyzing data and information about the joint programme, especially on substantive indicators (meaning activity, output and outcome indicators). **Joint Programme Monitoring** involves the collection and analysis of data with the purpose to show progress in attaining outcomes. Monitoring is systematic, evidence oriented and quality based exercise where specific, measurable, attainable, and reliable, time bound indicators (SMART) show proof of the substantive Joint Programme progress.

The monitoring report comprises the following sections:

- I. Joint Programme´s cover page and identification section (same as annual report)
- II. Joint Programme M&E framework (same one as used in the joint programme document)
- III. Color coded work plan with financial information (commitment and disbursed)
- IV. MDG-F General Progress (indicators and questions)
  - a. Coordination and One UN
  - b. Paris Declaration
  - c. Thematic indicators
- V. Additional narrative comments

This **monitoring report** shall be submitted to the MDG-F Secretariat **twice a year** following the second and fourth quarters. Former quarterly narrative reports will cease to be submitted from now on. These reports will be replaced by the submission of a quarterly financial report and AWP instead.

I. **Joint Programme´s cover page and identification section (this information should be taken from the annual report cover page)**

Date of Submission: *Submitted by:* Name Title Organization Contact information 	*Country and Thematic Window*

OPAS No. **MDTF Atlas Award No:** **MDTF Atlas Project No:** *Title:*	*Report Number: 1* *Reporting Period:* **Programme Duration:**
Participating UN Organizations	**Implementing partners[15]**

Budget Summary	
Total Approved Programme Budget	...............................USD
Total Amount of Transferred to date	...............................USD
Total Budget Committed to date	...............................USD
Total Budget Disbursed to date	...............................USD

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[15] Please list all the partners actually working in the joint's programme implementation, NGOs, Universities, etc

Section II: Joint Programme Monitoring Framework (taken from JP document)
Please provide updated values for the indicators of your JP as of the end of the reporting period.

Expected Results (Outcomes & outputs)	Indicators (with baselines & indicative timeframe)	Means of verification	Collection methods (with indicative time frame & frequency)	Responsibilities	Risks & assumptions
From Results Framework (Table 1)	From Results Framework (Table 1) Baselines are a measure of the indicator at the start of the joint programme	From identified data and information sources	How was it obtained?	Specific responsibilities of participating UN organizations (including in case of shared results)	Summary of assumptions and risks for each result

JP Output 1.1. Please select the accomplishment rate of this JP output:

a. Less than 30%   b. between 31 -50%   c. between 51-60%   d. between 61-70%   e. between 71-80%   f. more than 80%

Annual Targets	Activity	TIME FRAME 2009		UN Agency	Responsible Party	% rate of accomplishment of activities	Financial Implementation Progress				
		Q2	Q4				Source of funding	Budget description	Total amount planned	Total amount committed	Total Amount Disbursed
	1.1.1	X	X				MDG-F	Personnel			
								Travel			
								Total			
	1.1.2	X	X				MDG-F	Contract			
								Travel			
								Total			
	1.1.3	X	X				MDG	Train/Conf			
								Supplies			
								Total			
	1.1.4	X	X				MDG	Personnel			
								Contracts			
								Total			
	1.1.5	X	X				MDG	Contracts			
								Total			
Programme Coordinator											
Total Planned Budget without management fee											
Management Fee for MDG-F (7%)											
Grand-Total											

Please, briefly explain the actual situation of the Joint Programme only in terms of progress on activities, outputs and outcomes. Refer only to progress in relation to the planned in the Joint Programme Document. Try to describe facts avoiding interpretations or personal opinions.

Activities:

Outputs:

Outcomes:

Only if applicable, what are the causes of the difficulties? Please check the most suitable option(s).

       a. UN agency Coordination
       b. Coordination with Government
       c. Administrative (Procurement, etc) /Financial (management of funds, availability, budget revision, etc)
       d. Management: 1. Activity and output management 2. Governance 3. Decision making 4. Accountability
       e. Joint Programme design
       f. External to the Joint Programme (risks and assumptions, elections, natural disaster, social unrest, etc)
       g. Other. Please specify:

Please, briefly describe (150 words) the challenges faced by the Joint Programme. Refer only to progress in relation to what is planned in the Joint Programme Document. Try to describe facts avoiding interpretations or personal opinions.

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Please, briefly explain (150 words) the actions planned to eliminate or mitigate the challenges described above.

Section III. MDG-F General Progress indicators

a) One UN at the country level

One Programme

Overall, has the Joint Programme continued to be in line with the UNDAF? Please check the relevant answer.

    a. Yes,
    b. No, please explain:

Coordination   **(**This section is to be provided by the Office of the Resident Coordinator)

The MDG-F Secretariat asks the Office of the Resident Coordinator to briefly comment on the joint programme, providing its perspective within the broader country context.

How does the joint programme fit into the country context development strategies?
What types of coordination mechanisms and decisions have been taken to ensure joint process and joint delivery? Other relevant comments:

One Budgetary Framework

Please provide the values for each category of the indicator table described below:

Indicators	Baseline	Actual Value	Means of Verification	Collection methods
Number of managerial practices (financial, procurement, etc) implemented jointly among agencies				
Number of joint analytical work (studies, diagnostic) undertaken under the JP				
Number of joint missions and analytic work undertaken under the JP				

Please, briefly provide additional information explaining the indicators value (150 words). Try to describe qualitative and quantitative facts avoiding interpretations or personal opinions.

b) Paris Declaration

Ownership: Partner countries exercise effective leadership over their development policies, and strategies and co-ordinate development actions

Are Government, civil society and other national implementation partners involved in the implementation of activities and the delivery of outputs? Please circle the relevant answer.

a. Not involved
b. Slightly involved
c. Fairly involved
d. Fully involved

In what kind of decisions and activities are the government and/or civil society and other national implementation partners involved? Please check the relevant answer.

a. Political
b. Managerial. Please indicate **a**.) budget, **b**.) procurement, **c**. service provision, **d**.) Other:

Indicators	Baseline	Actual Value	Means of Verification	Collection methods
% Of UN support to [16]Government sector under the Joint Programme reported on the Government budget				
[17]% of funded Technical Assistance /Technical Cooperation implemented through coordinated capacity development programmes consistent with the Government development strategies				

Briefly describe the actual situation regarding government's ownership of the joint programmes. Try to describe facts avoiding interpretations or personal opinions.

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[16] This indicator has been adapted from the Paris Declaration

[17] This indicator has been adapted from the Paris Declaration

c) Thematic Indicators

Three thematic indicators will measure progress in the 8MDGF thematic windows. At least one of the indicators (per window) will specifically measure progress towards the goal set in thematic window. These indicators are being reviewed with the convenor agencies.

Indicators	Baseline	Actual Value	Source	Means of Verification

VI.   Additional Narrative Comments

Please provide any other comments information, data you would like to communicate to the MDG-F Secretariat

Annex 8: Ten Steps to Joint M&E

1. **Refinement and adaptation of the M&E framework**: It is important to adjust the M&E plan included in the joint programme document to best fit the actual context. For this purpose take into account the checklist (included in the M&E guidelines), bear in mind that M&E plan should respond to the following principles:
   - Oriented to well balanced learning and accountability purposes with a participatory approach
   - Evidence-based: Judgments and conclusions drawn from monitoring and evaluation activities should be based on consistent data, information or knowledge to support or deny the validity of the questions posed through the monitoring and evaluation studies
   - Simple yet, Robust, Rigorous and Reliable
   - Measure change by describing, analyzing and understanding change and use results to improve programme and policy performance

   The technical work to refine the M&E plan may be carried out as a previous activity to the inception workshop that would finish with the validation of the changes by stakeholders during the inception workshop.

2. **Engage stakeholders, facilitate participation on M&E activities**: Participation is a process through which stakeholders influence and share control over development initiatives and the decisions and resources which affect them. When using participation, managers lose some control over the programmes and in doing so the programmes gain in ownership and sustainability, two of the key elements for the success of a development intervention. In order to obtain the most from M&E activities, the programme management team should: allow and facilitate the participation of the various stakeholder in monitoring exercises (such as indicators based on stakeholder perception); allow them to formulate questions to be included in the mid-term and final evaluation terms of reference; and allow them to have a voice during the evaluation process (this could be done by asking for comments and suggestions on draft reports and allowing them to have a role on the follow up of the recommendation process).

3. **Collection of a baseline**: The baseline is an essential element of the joint programme M&E plan. Without a baseline, it would be extremely complicated to measure change and the joint programme effects. The programme management teams can collect the baseline by itself or hire a consultant for this purpose (depending on the difficulty presenting of the indicators, means of verification, etc).

4. **Monitor and report on the joint programme**:
   As a result of executing joint programme M&E functions and activities the following products will be generated:

   1. **Monitoring reports:** The PC/M or an Evaluation Specialist will coordinate the draft of a narrative text (twice a year) supported by the data and evidence coming from the collection of quantitative and qualitative data on indicators (M&E framework section included in the Joint Programme document) as well as data on the coordination indicators, thematic indicators (provided by the Secretariat), and any other information (including financial) showing evidence of progress to attain results (see annex 7 for a template).

2. **Mid-term evaluation reports:** These reports are the products of the mid-term evaluation process coordinated and financed by the Secretariat and conducted by hired independent consultants

3. **Final evaluations reports:** These reports are the product derived from the process of conducting a coordinated final evaluation on the joint programmeas a whole and by itself. The PC/M or an Evaluation Specialist will coordinate the exercise with the support of independent consultants and the participation of the main stakeholders. The funds will be detracted from the 3% to 5% amount allocated in each joint programmefor M&E activities.

Other reporting requirements based on the legal agreement signed by the donor and UNDP on behalf of the participating agencies are the object of section 8. As mentioned before these elements are not part of the mechanism of MDG-F M&E although are an important starting point for M&E activities.

5. **Prepare for field monitoring visits**: The programme management team facilitates and coordinates field visits.(a protocol guide for field monitoring visits is being developed by the MDG-F Secretariat)

6. **Adapt general terms of reference for mid-term evaluations**: The Secretariat will provide thematic based terms of reference for the joint programme. The joint programme management team and the Secretariat will adapt these general terms of reference to the specificities of each particular joint programme.

7. **Facilitate the process of the mid-term evaluation**: Mid-term evaluations will involve the programme management team to facilitate the consutant's field work, provide feedback to data requests, and participate with comments and suggestions to the development of draft evaluation and final reports.

8. **Implement recommendations**: Mainstreaming recommendations derived from mid-term evaluations and monitoring exercises is also a responsibility of the programme management teams.

9. **Prepare Terms of reference for final evaluations**: The programme management teams will design final evaluation terms of reference in a participatory fashion with the support and participation of the Secretariat.

10. **Conduct, coordinate and disseminate final evaluations; mainstream recommendations; and scale up programmes**: The programme management teams will disseminate the recommendations; lessons learnt and best practices derived from the final evaluation exercise. If the programme has proven a successful intervention, steps should be taken to find opportunities to scale up and sustain successful interventions beyong the life of the programme.

Annex 9: Guidance Note for Advocacy Action Plan

<u>Context</u>

In 2009, the MDG-F Secretariat in consultation with the various participating UN Agencies elaborated an Advocacy & Partnerships strategy to help the MDG-F advance its main goal of accelerating progress on the MDGs and related goals while advancing collaborative UN efforts. It responds to the demonstrated need to strengthen citizen's participation in development efforts and have clear advocacy interventions that push for more inclusive and responsive public policy and practice.

The strategy, further described below, provides a guiding framework within which to articulate national advocacy plans, and has been articulated at a macro level intentionally so that countries can use it to define context specific activities that lead to similar overall outcomes/goals.

The overall strategy goal is to:

Accelerate progress on the MDGs by raising awareness, strengthening broad- based support and action and increasing citizen engagement in MDG related policy and practice.

<u>Key Outcomes:</u>

- Increased awareness and support for the MDGs and the Fund both at policy and general public level.
- Programmes are leveraged for increased MDG results and citizen engagement in MDG-F and MDG processes is strengthened
- Improved accountability and transparency towards all partners

<u>National Advocacy Plans</u>

MDG-F focus countries should aim to elaborate and implement a ***national Advocacy Action Plan*** using the same format that is provided in the table below. To the extent possible the overall goal and outcomes should remain the same, although countries may choose to work on one or two of the outcomes rather than all three (noting that ideally all three will be integrated in the plan). Countries may also choose to give higher priority to outcome one in the first year and then step up other outcome efforts in other years. There are several outputs outlined in the table below and many sample activities that will help in achieving them. Countries can choose from these as they are meant to serve as examples that can be adopted, adapted and/or discarded according to the national context. The idea is to plan and implement advocacy and citizen participation actions that are flexible yet point in the same overall direction.

The National Advocacy Action plan should be embedded in national MDG and related priorities and draw on existing joint programmes interventions that are relevant. As such, the Advocacy Action Plan should identify what key objectives it is trying to address and then articulate (with the given format as guidance) the interventions and resources that will be allocated towards these objectives.   Many joint programmes already have awareness raising, civil society and/or advocacy components and these should feed into national advocacy plans. Since these components are already accounted for in JPs workplan/budgets they can be financed and possibly implemented by that particular JP. To the extent possible, JP should also have advocacy plans that stem from the desired policy impact of their programmes and subsequently fit in with articulated national efforts/plans.

The implementation of the national Advocacy Action Plans should not lead to the creation of new structures within the UN but rather, where possible, should build on capacities that already exist. The UNCT has a long established experience with advocacy and communication for development and policy change. Articulating this strategy at the national level intends to give an impetus to these efforts and to the process of UN Reform and under the leadership of the Resident Coordinator ensure that the United Nations partners and communicates collaboratively to have greater impact at the national level.

If necessary, funds can be used to hire an advocacy specialist based in the RC office with oversight over and legitimacy with the UN Agencies. Countries are encouraged to use the funds available through joint programmes (2% recommendation as articulated in section 8 of this document) to leverage further resources that will help to make expand and/or operationalize action plans operational.

<table>
<tr><td colspan="4" align="center"><i><u>OVERALL STRATEGY GOAL</u></i>

<i>Accelerate progress on the MDGs by raising awareness, strengthening broad- based support and action and increasing citizen engagement in MDG related policy and practice.</i></td></tr>
<tr><td>Strategy Outcomes</td><td>Outputs</td><td>Indicative Activities</td><td>$$$</td></tr>
<tr><td rowspan="9">I. Increased awareness and support for the MDGs and the Fund both at policy and general public level.</td><td></td><td></td><td></td></tr>
<tr><td colspan="2">Media</td><td></td></tr>
<tr><td>• Establish alliances with media to regularly cover development stories/issues on MDGs and related goals</td><td>• Organize media field visits to programmes
• Host regular informational sessions with journalists to brief them on development issues and programmes. These could be breakfasts, monthly lunches, etc.
• Launch a media awards programme or establish a network of development oriented journalists to stimulate journalists to cover development issues.
• Negotiating media space to air news/video documentaries made by citizens involved in programmes thereby encouraging different views and alternative media</td><td></td></tr>
<tr><td colspan="2">Key dates and Events</td><td></td></tr>
<tr><td>• Key dates and events are used to raise awareness and link the advocacy efforts of various national actors including UN, private sector, civil society and government</td><td>• Identify key dates that can be used to bring different stakeholders together.
• Participate in the Stand Up and Take Action Against Poverty mobilization campaign for 2009 using existing networks and the multiplier effect to mobilize as many people as possible to participate and use this event to articulate policy demands.</td><td></td></tr>
<tr><td colspan="2">Citizen Engagement and Civil Society Participation</td><td></td></tr>
<tr><td>• Linkages have been made with select civil society organizations for MDG advocacy</td><td>• Organizations that are interested and active on MDG related issues are identified and activities are joined as and when relevant.
• Participate and support events that will facilitate partnership building with relevant organizations</td><td></td></tr>
<tr><td colspan="2">United Nations Communications Group and Coordination</td><td></td></tr>
<tr><td>• UN Communications Group provides a platform for joint communication, advocacy and mobilization in line with One UN and MDGs</td><td>• UN coordinates participation in key dates/events that highlight the MDGs and the work of the MDG-F in relation to these.
• UNCG establishes media contacts that are shared amongst Agencies and used for engaging with media.
• Strategic partnerships with media organizations are</td><td></td></tr>
</table>

		brokered to increase visibility of MDGs on media channels- e.g. through talk shows, radio/TV interviews, • UN Goodwill Ambassadors are brought together to speak out on MDGs issues- other advocates /champions can also be identified to rally for MDGs.	
	Public Outreach and Communication		
	• Awareness materials designed (brochures, information notes, newsletters, human interest stories, TV spots, radio spots) and distributed along appropriate channels.	• Agree upon key messages and designs and print materials that will help in raising awareness and stimulating action on programme goals and MDGs These should be done in accordance with MDG-F branding guidelines. • Identify local radios, TV channels, newspapers, magazines etc that are most effective in disseminating the message at local, regional, national level. These should take into consideration means that reach remote/rural areas.	
Strategy Outcomes	**Outputs**	**Indicative Activities**	**$$$**
II. Programmes are leveraged for increased MDG results and citizen engagement in MDG-F and MDG processes is strengthened			
	Support to citizen engagement and civil society		
	• Citizen groups/networks have been strengthened to have more effective participation in MDG policy and practice.	• Identify and reach out to relevant citizen groups and CSOs to determine what their current participation is and how it can be strengthened. Tapping into existing relationships between distinct UN Agencies and citizen groups could be a starting point as well as any existing mapping. • Ensure that marginalized groups such as religious and ethnic minorities are included in efforts to strengthen effective participation with particular attention to women. • Organize workshop and open forums at the local and/or national level to discuss key development /MDG priorities and channels to increase effective citizen participation. These efforts should result in concrete action points or policy papers that can be channeled to the relevant decision makers and used for lobbying and advocacy. • Link CSO with Universities and/or think tanks to conduct training and/or other activities that can help organizations strategically orient their work. Larger more active CSOs may also help to strengthen smaller ones. • Train CSOs to use video making, photography, storytelling, and other communication tools to report on local realities, solutions, progress, obstacles and to make their voice heard. These communication products should be used to raise awareness among general public and decision makers. (This will require	

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		identifying candidates and linking with trainers to train them on using these mediums).	
	Support to Local Governments		
	• Strengthened dialogue between local governments and civil society groups as it relates to JP goals and MDGs	• Ensure that regular contact and communication is established with Mayors/local governments and institutions putting them at the forefront of JP interventions and MDG localization. • Discuss and identify existing and new ways to increase citizen participation in local policy. • Use JP interventions as an opportunity to open neutral spaces for dialogue between citizens and government on key issues. These could be open forums.	
	Documentation and knowledge sharing		
	• Innovative and promising cases are highlighted and used to facilitate learning, scaling up and advocacy.	JP examples are identified and documented through multi-media to interesting, appealing and effective case studies.	
	Partnerships		
	• Wide range of partnerships has been established in support of the MDGs.	• Identify other actors working on MDGs and related development goals and establish contact to determine ways to come together at key moments (e.g. events, mobilizations, media inductions, etc.). Use other existing networks to advance the development agenda such as faith based organizations, private sector associations, celebrities, artists, etc.	
Strategy Outcomes	**Outputs**	**Indicative Activities**	**$$$**
III. Improved accountability and transparency towards all partners			
	Branding and Identity		
	• MDG-F identity is strengthened and it is recognized as a trusted partner.	• Ensure that all printed materials and events related to the MDG-F are branded according to the Fund's guidelines- using MDG-F logo to represent both the Spanish Government and all the UN Agencies.	
	Citizen Engagement and Accountability		
	• Accountability to citizens in pilot areas is strengthened	• Ensure that key CSOs are informed about the intent of the JPs, the resources that will be channeled towards their community and who will be responsible for the implementation, giving an opportunity for their participation including potentially taking responsibility for implementing certain elements of programme.	

		• Involve citizen groups in the monitoring and evaluation of programmes and in reporting on the status of development goals in their locality. This can be done through participatory video, storytelling, shadow reports, community assessments, citizen report cards, etc.	

Steps to Jump Start Implementation of Advocacy and Communications		
Activity	**Result**	**Timeframe**
1.Brief and designate an existing senior staff to lead UN advocacy efforts as they relate to MDGs	Lead person is briefed and designated by RC to bring advocacy and communication forward	1 week
2. Identify and convene a group that will determine substantive elements of advocacy interventions. Use existing group where possible.	Key participants identified and agreed to participate in this technical group. This should include the joint programme coordinators of MDG-F programmes in the country	2 weeks
3. Technical group designates lead person with UN oversight-not Agency specific- to lead implementation. (MDG-F may provide extra resources for oversight if needed)	Person is designated and delegated authority to take implementation forward	1 day
4. Planning session to develop action plan on advocacy and communication. (If needed, this can be done with help/presence of MDG-F Secretariat and a facilitator).	Action plan is developed and approved by the technical group for year one.	1 week
5. Action plan is sent to MDG-F Secretariat for approval and feedback	Action Plan approved and resources allocated	1 week
6. Strategic partners are identified and approached (increasing as you go along)	Media, local government/institutions, private sector, media, citizen groups contacted and partnerships made	2 weeks
7.Begin implementation of action plan	Specific activities and outputs delivered and reviewed	Ongoing..

Annex 10: Administrative and Procurement Processes

a.   Recruitment of Consultants

Diagram of Procedure

Details

Activity	Description
JP partners (incl. Agencies and Counterparts)	These are the people designated as Agency and Partner focal points for the implementation of the joint programme activities.
Support teams to Agencies and Partners	These teams are responsible for the administrative functions of the Agencies and Partners relating to the hiring of personnel, the purchase of goods and services, travel and finance.
Ad Hoc Assessment Committee	This is the Ad Hoc Committee in charge of assessing the candidates. It is made up of members of the Agencies, Partners and the Programme Coordinator/Manager so that its transparency is guaranteed.
Approval Committee	These are the high authorities responsible for approving the hiring process of Agencies or Partners, depending on the regulations that apply.
M 1 Submitting the contract request and drafting the TOR	The focal point of the Agency or Partner drafts the contract request and forwards it to the relevant administrative department to kick off the process. The focal point should also draft the TOR. The contract request should indicate which activity/outcome it

Activity	Description
	corresponds to on the Work Plan or which line it relates to on the Procurement and Contracting Plan. NB: It is suggested that the TOR be discussed with the other implementing partners and the Programme Coordinator/ Manager. Checklist for starting process: - Contract request signed by the focal point of the Agency or Partner (compulsory), indicating the link with the Procurement Plan. - TOR for the process (compulsory), indicating the account to be charged - Members of the Assessment Committee (recommended) - Assessment criteria (recommended) *NB: The TOR must include the frequency and amount/percentage of payments, as well as the progress or outcome sought for each one. The TOR must also mention the person who will sign off the payments.*
M 2 Shortlisting	The requester proposes a shortlist of candidates according to the TOR and the availability of the candidates. Checklist: - Curriculum Vitae (compulsory) - Recommendations or Assessments of the candidates (as supporting documents for the shortlist) (compulsory) *NB: The administrative departments can suggest other candidates who would be assets for the procedure.*
M 3 Setting up an Assessment Committee	- A Mixed Committee needs to be set up with representatives from Agencies, Partners and the Coordination Unit to assess and interview the candidates. The assessment criteria and the structure of the interviews need to be defined.
M 4 Conducting interviews and revising offers	1. In possession of all the information, the Assessment Committee interviews the shortlisted candidates, taking into account the following: - All candidates need to be interviewed in the same way and in approximately the same timeline. - All candidates must be asked the same basic questions by the same panel. 2. Following the interviews, the Assessment Committee assigns points to the candidates and creates an order of eligibility according to the specifications laid out in the TOR.
M 5 Drafting the Assessment Report	An Assessment Report must be drafted. It must include the work references of the shortlisted candidates. - The Committee must be convened to sign the report. - The members of the Committee revise the report and the work references. - If they are happy with the report, they sign it as proof of approval.
◆ 6 Is further approval required?	Depending on the regulations of the agency or partner in question, the process may require the revision and approval of a higher authority. This needs to be verified.
M 7 Revising the process	The appropriate Approval Committees (NSC) or bodies revise the assessment report and the supporting documentation, and approve the process or make observations.

Activity	Description
M 8 Drafting the contract offer	Following the approval of the report, the following activities need to be carried out: - The requestor drafts the final contract offer. - The offer is presented to the selected candidate. - The selected candidate accepts or refuses the contract offer.
M 9 Drawing up the contract	After the contract offer (which includes details of salary, modalities of contract and start date) is accepted, the following activities must be carried out: - The contract is drawn up. - It must be signed by the Representative of the Agency or Partner and the contractor. - The requestor must archive the documentation for the process, for audit purposes.

10.2 Procurement of goods and services

Diagram of procedure

Details

Activity	Description
▤ JP partners (incl. Agencies and Counterparts)	These are the people designated as Agency and Partner focal points for the implementation of the joint programme activities.
▤ Support teams to Agencies and Partners	These teams are responsible for the administrative functions of the Agencies and Partners relating to the hiring of personnel, the purchase of goods and services, travel and finance.
▤ Ad Hoc Assessment Committee	This is the Ad Hoc Committee in charge of assessing the candidates. It is made up of members of the Agencies, Partners and the Programme Coordinator so that its transparency is guaranteed.
▤ Approval Committee	These are the high authorities responsible for approving the hiring process of Agencies or Partners, depending on the regulations that apply.
[M] 1 Submit the procurement request and draft the TOR or Technical Specifications (TS)	The focal point of the Agency or Partner submits the procurement request and forwards it to the relevant administrative department to kick of the process. The focal point should also draft the TOR for services or the Technical Specifications for goods and works in consultation with relevant partners and agencies of the Joint

Activity	Description
	Programme.. The procurement request should indicate which activity/outcome it corresponds to on the Work Plan or which line it relates to on the Procurement and Contracting Plan. Checklist for starting process: - The procurement request needs to be signed by the focal point of the agency or partner (compulsory) and should state the link with the Procurement Plan. - TOR o TS for the procedure (compulsory), indicating the account to be charged. - Assessment criteria (recommended). - Appointment of the Tender Opening Committee, **if applicable** (recommended). - Appointment of the Assessment Committee (recommended). *NB: It is suggested that the TOR or TS be discussed with the Inter-agency Committee. If the level of complexity is high, the hiring of a specialist in the relevant field is recommended for the drafting of the TOR or TS.*
◆ 2 Type of process	Depending on the type of process, the following needs to happen: Open tender: the process is published using the means and within the deadlines specified in the regulations of the Agency or Partner. Closed tender: a shortlist of companies to be invited to participate in the process should be produced. The shortlist needs to be backed by supporting information. The relevant procurement documents need to be drawn up: tender specifications, quote, etc.
[M] 3 Invitations to Tender	For closed tenders, companies on the shortlist should be invited to tender.
[M] 4 Publishing the Open Tender	An open invitation to tender needs to be made in order to ensure the transparency of the process. - The documents to be published must be drafted. - Publish the process in the media (Web, press, etc.) and within the deadlines determined by the regulations of each Agency or Partner. - If it's an international invitation to tender, the relevant regulations must be complied with.
[M] 5 Setting up the Assessment Committee	The focal point sends a letter endorsing the documents for the procedure, including the composition of the Tender Opening Committee and Evaluation Committee (that includes relevant national partners and agencies), if applicable, or the department in charge.
[M] 6 Responding to Enquiries	The requester and the purchasing teams answer any technical or administrative enquiries, in compliance with their internal procedures. - The answers to the administrative enquiries need to be drafted, as well as the clarification notes if applicable. - An amendment should be made, if applicable.
[M] 7 Opening of tenders	- In the presence of the interested parties, the Opening Committee proceeds to open the original envelope and the copies of the offers. - The Opening Act form needs to be filled in and signed by the parties present and the Opening Committee.
[M] 8 Carrying out Assessments	The relevant assessments need to be carried out: preliminary, technical and economic as required.

Activity	Description
[M] 9 Drafting the Assessment Report	The Assessment Report needs to be drafted, with all the appendixes. - The Committee does detailed revision of the report; if all is in order, the report must be signed by the assessors.
10 Is further approval required?	Depending on the regulations of the Agency or Partner in question, the process may require the revision and approval of a higher authority. This needs to be verified.
[M] 11 Revising the Process	The appropriate Approval Committees or bodies revise the assessment report and the supporting documentation, and approve the process or make observations.
[M] 12 Notification of the awarding of the contract	With the approval of the relevant bodies, the letters of award need to be drafted and all the participants should be informed of the results.
[M] 13 Preparing the Purchase Order or the Contract	- The contract or the purchase order needs to be prepared and attached to the supporting documentation for signature.

Annex 10.3: Plan for Operational Closure of the Joint Programme

Activity	Details	Person/body responsible for the implementation
Operational Closure	The Programme Coordinator/Manager, in collaboration with all JP partners, is required to establish a plan for the operational closure of the programme. The plan must address the following: • Closing of bank accounts • Inventory • Transfer of assets • Audits • Evaluations Each UNS Agency will be responsible for the implementation of the operational closure plan. The Lead Agency must ensure that the operational closure of the programme takes place.	UNS and Partners -> Implement operational closure plan PMC -> Approves NSC -> Signs off