



UNEG Evaluation of the Pilot Initiative for Delivering as One

Evaluability Assessment Report on Albania

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Acronyms and Abbreviations

CCA	Common Country Assessment
DaO	Delivering as One UN
DSDC	Department of Strategy and Donor Coordination
EAMIS	External Assistance Management Information System
EC	European Commission
EU	European Union
FAO	Food and Agriculture Organization
GMC	Government Modernization Committee
HLCP	High-Level Committee on Programmes
IFAD	International Fund for Agricultural Development
ILO	International Labour Organization
INSTAT	Albanian Institute of Statistics
IPS	Integrated Planning System
IPSIS	Integrated Planning System Information System
JEC	Joint Executive Committee
M&E	Monitoring and Evaluation
NATO	North Atlantic Treaty Organization
NRA	Non-resident Agency
NSDI	National Strategy for Development and Integration
ODA	Official Development Assistance
RC	Resident Coordinator
SAA	Regional Directors' Team
SC	Stabilization and Association Agreement
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCT	United Nations Country Team
UNCTAD	United Nations Conference for Trade and Development
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group

UNDGO	United Nations Development Group Office
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNEP	United Nations Environmental Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UNHCR	United Nations High Commission for Human Rights
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNIFEM	United Nations Development Fund for Women
UNODC	United Nations Office on Drugs and Crime
UNV	United Nations Volunteers
USD	United States Dollars
WFP	World Food Programme
WHO	World Health Organisation

Executive Summary

1. Albania expressed its interest in becoming a “Delivering as One UN” (DaO) pilot country, noting that the launching of the DaO pilot initiative by the United Nations (UN) was in line with the philosophy of the reform undertaken during the last two years by the Government of Albania to enhance the process of strategic planning, external assistance coordination and, in particular, the harmonization of increased aid effectiveness in line with the principles of the Paris Declaration.

2. The One UN Programme, building on the United Nations Development Assistance Framework (UNDAF) 2006-2010, has five priority outcome areas: more transparent and accountable governance; greater inclusive participation in public policy and decision making; increased and more equitable access to quality basic services; regional development to reduce regional disparities; and environmentally sustainable development. The two main crosscutting areas are gender equality and development of national capacity. An additional outcome area, environmentally sustainable development, was added to the original four UNDAF areas in line with the government’s priority needs.

3. The One UN Programme responds to the highest priorities of the Government of Albania as reflected in the National Strategy for Development and Integration 2007-2013 (NSDI)¹. NSDI defines four strategic priorities and corresponding strategic goals: engagement in the long and difficult process of integration in the European Union (EU) and North Atlantic Treaty Organization (NATO); development and consolidation of the democratic state, on whose foundations stand the fundamental rights and freedoms of the individual; fight without compromise against corruption and other phenomena that obstruct the development and integration of the country and application of the law in equal way to all individuals; and rapid, balanced and sustainable economic, social and human development.

4. Currently, 11 UN agencies, funds and programmes participate in the DaO pilot initiative as the signatories to the One UN Programme in Albania. These are ILO, UNAIDS, UNDP, UNFPA, UNHCR, UNICEF, UNIFEM, and UNV as well as the non-resident UN agencies (NRAs), FAO, UNEP and UNESCO².

Assessment of the design of the DaO pilot initiative

5. The assessment of the design of the DaO pilot initiative can be summarized within the following five key aspects.

National ownership and leadership

6. The formulation of the One UN Programme was largely driven by the government’s intent to align and coordinate all external assistance in the country. Its Government Modernization Committee (GMC), chaired by the Deputy Prime Minister, is the highest level policy coordination and decision-making authority for monitoring progress and ensuring coordination of the One UN Programme

¹ NSDI is to be formally adopted by February 2008.

² These organizations are spelled out in full in the list of Acronyms and Abbreviations.

with its own national strategies and other inter ministerial and cross-sectoral policies and priorities. The Department of Strategy and Donor Coordination (DSDC) in the Prime Minister's Office led the government's effort to this end, and became the main counterpart for the UN system in Albania. The government has demonstrated its co ownership of the DaO pilot initiative and its leading role through the various institutional mechanisms in the One UN Programme so as to ensure its alignment with government priorities and needs. Central to this co-ownership mechanism is the Joint Executive Committee (JEC) of the government and the UN system, co-chaired by DSDC Director and the UN Resident Coordinator (RC). JEC makes key decisions such as programme priority identification, agency involvement and fund allocation. The resulting programmatic content of the One UN Programme can hence be considered as reflecting national priorities and needs. In this regard, it is worth noting that UNIFEM, which was previously an NRA, was asked by the government to become resident. In addition, one of the five outcome areas, environmentally sustainable development, was added to the four UNDAF areas, both in line with national priorities and needs.

Inclusiveness of national stakeholders

7. The One UN Programme was finalized with considerable consultations with national stakeholders, particularly the government including relevant line ministries, where DSDC played an important convening role³. The draft One UN Programme was also circulated for information and comments from provincial government departments, and government-recognized organizations representing civil society.

Inclusiveness of specialized NRAs

8. The DaO pilot initiative in Albania has been inclusive as it involved NRAs in the formulation of the One UN Programme. Two joint programmes are actually led by NRAs (UNESCO and UNEP). Further proposals for involving other UN organizations will be examined in the later part of 2008. The RC has established a focal point in her office for NRAs interested in contributing to the One UN Programme. Nevertheless, more effective involvement of participating NRAs in the decision-making process at JEC would be an important indicator of inclusiveness.

Programming and joint programmes

9. An important feature of the One UN Programme in Albania is joint design and implementation of programmes by multiple UN organizations. Seven joint programmes have been formulated so far, each involving two or more UN organizations and national partners with a common work plan for common outcomes. Successful implementation of these joint programmes would be a key factor for the success of the DaO initiative.

³ Prior to the finalization of the One UN Programme in November 2007, the government was consulted on 28 March and 16 July 2007, and the final comments from line ministries were received on 17 September 2007.

Support from UN Development Group Office (UNDGO) Headquarters and regional structures

10. In general, there has been support and attention to the pilot from the Regional Directors' Team as well as from UNDGO. However, even though the pilot benefits from having the opportunity to experiment, more coordinated and timely guidance from Headquarters was necessary on some issues.

Progress in the implementation of the “Ones”

One UN Programme

11. The One UN Programme in Albania was formally signed with the government. However, the following activities are still in progress and would need to be in place to assess implementation progress in 2009:

- a. Coordinated annual One UN Programme Workplan (expected to be ready by March 2008).
- b. Monitoring and Evaluation (M&E) Framework (proposed to be formalized by end June 2008).

One Budgetary Framework/ One UN Fund

12. The One UN Budgetary Framework has been prepared and agency resources have been costed under each result area for each agency. The One UN Programme represents approximately USD 18.7 million annually. This accounts for almost 80 percent of average UN delivered funds per year in Albania during 2004-2006, roughly meeting the criteria suggested in the recommendation of the United Nations Development Group (UNDG) Chair.

13. The One UN Coherence Fund has also been established and funding has started to arrive. Detailed fund allocation criteria for the One UN Coherence Fund have been drafted and are presently under consideration of all participating agencies and the Government, and shall be formally adopted at the next JEC meeting in March 2008. There is still a funding gap remaining in the Coherence Fund to be filled. A fundraising strategy is also under preparation.

One Leader

14. Despite progress on the ground, the institutionalization of the One Leader principle remains a challenge in the DaO pilot initiative in Albania. The enhanced role of the RC in shaping the One UN Programme on behalf of the UN system has been recognized and accepted by all participating agencies and national partners⁴. However, this is seen as a result of effective leadership skills of the current RC rather than a result of a clear delineation of institutional authority, which is yet to be formalized. Some critical agreements, such as on the Terms of Reference for the RC and the Code of Conduct between the RC and UN Country Team (UNCT), need to be formalized for the proper functioning of the DaO pilot

⁴ Stocktaking report of December 2007.

under One Leader⁵. Continued and, if necessary intensified, support and guidance from Headquarters and UNDGO are critical for the success of this endeavour.

One UN House/ Common services

15. Although the One UN House initiative faced a setback for a reason beyond the control of UNCT—the building offered was structurally unsuitable—the One House project was not considered urgent due to the proximity of UN offices in Tirana.

16. More concrete progress has been made on common services. An Operations Management Team drawn from staff of seven agencies has prepared an action plan for establishment of Long Term Agreements on behalf of UN organizations in respect to nine common services. According to the plan, awards of long-term contracts will be completed before May 2008. However, the full potential for common services could not be exploited due to incompatibilities among the procedures and systems in use across various UN organizations, which were prescribed by agency Headquarters and could not be altered at the country level. Contracts administration, human resources, and information technology software were identified as three ‘big ticket’ areas, where harmonized procedures could bring about greater savings if all UN organizations in the country could follow common procedures.

Transaction costs

17. There is no formal system in place to capture the investment and transaction costs of implementing the DaO pilot initiative. There is a general agreement among UNCT members that, in the short term, the pilot has increased transaction costs within the system, mainly due to the increased and overlapping reporting requirements for the One UN Programme and for individual agency programmes. Transaction costs in dealing with the government and other stakeholders are expected to decline. In this regard, proper documentation of the baseline and the trends (for example, the number of meetings with the government) would be needed for any objective assessment.

National resources to support an evaluation

18. Albania faces challenges in its national statistics and data collection systems. Several donors, implementing partners and other civil society stakeholders expressed concern that the national data from line ministries and the national statistics body, the Albanian Statistical Institute (INSTAT), may be inadequate to serve as indicators for measuring outcomes and development impacts. There are no formal networks of national M&E experts in Albania, though some sector-level expertise is believed to exist that could be used for specific evaluations with proper guidance.

Evaluability of the results of the One UN Programme

19. The mission’s assessments of the evaluability of results of the One UN Programme are as follows:

⁵ Draft guidelines for these agreements have recently been received by the RC and UNCT.

- a. The strategic intent is clear but should be better articulated in a mission statement that can be easily referred to by all stakeholders to gauge the eventual strategic impact of the DaO pilot initiative. The delineation of the UN value added, particularly its comparative advantage compared to the European Commission (EC), has not been articulated in terms of the following: demonstrated record of accomplishment leading to credibility in priority areas; recognized technical expertise; system and agency capacity; and geographical presence⁶. An exercise to establish comparative advantage in all relevant areas of the UN system would be required to make the pilot fully evaluable in this aspect.
- b. The approach of enlisting participation of various agencies has been one of strategic focus. The increased inclusiveness, though not perfect, provides an opportunity to mobilize the diverse expertise within the UN system, and there are mechanisms to further the participation of various specialized and NRAs. The evaluability in this respect is hence established, assuming that the processes of future reviews and consultations would be properly documented.
- c. For individual outcome areas and their components, the indicators are not yet completed and the evaluability in this regard can only be fully established once these have been formalized (expected in March 2008).
- d. The results evaluation should pay particular attention to the performance and impact of joint programmes in Albania, as they exemplify the benefits of the DaO pilot initiative at the programme level. The frameworks for mutual accountability and Code of Conduct for the RC and UNCT are not yet formalized. These would need to include the principles and procedures for implementation of the joint programmes. Therefore, the evaluability of joint programmes cannot be fully established except for outcome indicators at this stage.
- e. The One UN Programme M&E System, while indispensable due to the increased importance of joint programmes and the eventual alignment with the government's M&E system, is seen as an additional reporting requirement. The results evaluation should examine the effect of multiple M&E frameworks imposed by agency internal requirements on the effective monitoring of the joint programmes.
- f. The evaluability of the development impact of the One UN Programme depends on the availability and reliability of national data and statistics on development indicators. The programme is not yet fully evaluable in this respect, given the reported deficiencies in the national data system.

Overall assessment and key success factors

20. The DaO pilot initiative in Albania is making satisfactory progress on designing the four Ones. For the DaO pilot to be fully operational, however, there are some process elements that need to be in place. Once these elements are in place, the baseline situation for implementation of the pilot could be considered established, and hence the process fully evaluable. This should be accomplished by June 2008

⁶ Criteria produced by UNDGO to assess the UN comparative advantage.

so as to give one full year of implementation before process evaluation. It is also necessary to establish indicators for measuring the progress achieved and to monitor them thereon.

21. Overall, the DaO pilot initiative in Albania has created a framework and a mindset that enable the UN system apply its various expertise in assisting the Government of Albania in achieving its development and integration objectives. The design of the One UN Programme and the mechanisms introduced are geared towards fulfilling the stated strategic intent of the initiative.

22. The following changes can be attributed to the DaO pilot initiative:

- a. The One UN Programme is now seen as the main operational framework for UNCT since a large part of UNDAF is already covered by the One UN Programme, and there is strong ownership by the government to consider it as the main instrument through which the assistance should be provided.
- b. There has been a shift from information sharing, inter-agency coordination and some joint activities to joint programmes and shared responsibility for achieving results. Under the One UN Programme, the joint programmes have become the norm rather than an exception.
- c. There is more emphasis on M&E with the establishment of the M&E Working Group, although this has been without government's participation or consultation thus far.
- d. There is more systematic inclusion of NRAs in programme formulation and implementation.
- e. There is a clearer understanding of overall financial needs and fund mobilization requirements.
- f. Targeted fund-raising with donors has increased at the country level. However, whether fund-raising will become less time-consuming and result in more core and predictable funding for all participating agencies (leading to less competition for funds) is not yet clear.
- g. Government involvement has been institutionalized in terms of governance and management of the Programme through the GMC, JEC and Inter-Ministerial Working Group. The effective functioning of these mechanisms and reduction of the government's transaction costs in dealing with the UN remains to be seen.
- h. In theory, there is better coordination and harmonization with other international development agencies, at least at the policy level, thanks to newly established Sector Working Groups.
- i. There are intangible gains from 'Delivering as One' in terms of team spirit and common identity.

23. The following are key success factors for the pilot, which could constitute the elements for future evaluation:

- a. Adherence to the Programme design and implementation arrangements already set in motion
- b. A commonly agreed UNCT and RC Code of Conduct for implementation and management of the Programme

- c. Adequate and sufficient internal capacities for implementing and managing the One UN Programme
- d. Successful delivery of joint programmes
- e. Effective mobilization and participation of NRAs
- f. Satisfactory funds mobilization for the Coherence Fund
- g. Effective leadership of the RC amidst ambiguity on roles and authority structures
- h. Timely, effective and coherent guidance from Headquarters and governing bodies to pilots
- i. Continuity in the national policies, political leadership and government mechanisms.

A. Introduction

Mission dates and composition

24. The United Nations Evaluation Group (UNEG) evaluability assessment mission was composed of Mr. Masahiro Igarashi (Chief, Evaluation and Planning Unit, UNCTAD) representing UNEG, and two consultants, Mr. S.V. Divvaakar (ACE Global Pvt. Ltd, New Delhi) and Ms. Alison King (King Zollinger & Co. Advisory Services, Zurich, Switzerland). The 'official' part of the mission took place from 4-8 February 2008. The consultants arrived in the capital Tirana on 30 January 2008 to establish contact with the RC Office, assist in finalizing the mission programme, collect additional documents, and commence interviews.

Objectives and purpose of the mission

25. According to the Terms of Reference (Annex 1), the objectives and purpose of the mission were to:
- a. Support the Government of Albania and other stakeholders in the pilot country as well as the UNCT and the UN development system in identifying strengths and weaknesses in the design of their respective DaO initiative to inform immediate corrective measures, monitor progress and enable self-assessments.
 - b. Allow the government, other stakeholders, UNCT and the UN development system to receive immediate feedback on processes for the involvement of relevant and international stakeholders.
 - c. Allow stakeholders to establish baselines and progress measurements during the implementation of the pilot initiative for the assessment of results.
 - d. Allow the government, other stakeholders, UNCT, the UN development system and UNEG to identify national evaluators in Albania.
 - e. Allow UNEG to compile information from all eight pilot countries and to synthesize information as part of a comprehensive evaluability study that will facilitate the planning of subsequent stages of the overall evaluation.

Realised programme of the mission and the limitations

26. This report is based on a review of key documents, interviews and group meetings with a range of national and international stakeholders. The detailed mission programme is included in Annex 2.

27. In terms of limitations, the timing of the exercise was not perfect in that the M&E framework was not yet completed and some key information, particularly indicators and baselines for outcome areas and subcomponents, was yet to be finalized. In addition, due to the exigency, the mission was not able to discuss this issue in detail with the chairperson of the M&E Group. Therefore, the evaluability of the results of the pilot could not be examined to the full depth, that is, into individual outcome areas of the

One UN Programme framework. In addition, while the concern regarding the availability and accuracy of data at the national level required for measuring development indicators was widely shared, due to time limitations, the mission was unable to confirm this fully on the government side, in particular with the Albanian Statistical Institute (INSTAT).

Acknowledgements

28. The evaluability assessment team thanks the UN RC, Ms. Gülden Türköz-Cosslett, and the staff of RC Office, particularly Ms. Charlotte Hjertström, for their support. We also thank the Government of Albania, particularly the Deputy Prime Minister, Hon. Mr. Gazmend Oketa, and the Acting Head of the DSDC, Ms. Valbona Kuko. Our gratitude also extends to all other interview partners for the time they shared with the mission. We hope that our contribution will be useful to UN colleagues and their partners in Albania.

B. History, context and scope of the DAO in Albania

Government expectations regarding DAO

29. In a letter dated 11 December 2006 to the Chair of the undg, the Prime Minister of Albania reiterated the importance of enhancing aid and donor coordination under the leadership of the government to ensure harmonized support to national priorities. He expressed his confidence that the selection of Albania as pilot country would help accelerate this process⁷.

30. More recently, the Deputy Prime Minister, in a letter dated 8 January 2008 to the UN Deputy Secretary-General⁸, stated the government's expectation in clear terms:

“The launching of the One UN Pilot initiative by the United Nations is in line with the philosophy of the reform undertaken during the last two years by the Albanian Government, to enhance the process of strategic planning, external assistance coordination and in particular the harmonization of increased aid effectiveness in line with the principles of the Paris Declaration. The Government of Albania appreciates the new vision brought on by the ‘One UN’ Programme for future cooperation including other new and important domains such as support to the national priorities of the European Integration, gender equality, economic and regional development”.

Country context: Development challenges and national policies and planning

31. Albania has experienced major political, institutional and socio-economic changes since the end of the communist regime in 1991. Breaking the barriers of a closed society was a dramatic achievement. However, disillusion followed with the country's slide into anarchy and conflict just a few years later. Thanks to the sustained growth of recent years, the country has quickly evolved from being a low-income to a middle-income country.

32. The government, through the signing of the Stabilization and Association Agreement (SAA) with the EU on 12 June 2006, has set EU accession as its highest national priority. The SAA, along with the decision to join NATO and the preparation of the NSDI 2007-2013⁹ define the framework for the nation's medium and longer-term development.

33. NSDI defines four strategic priorities and corresponding strategic goals: engagement in the long and difficult process of integration in EU and NATO; development and consolidation of the democratic

⁷ Albania was selected in January 2007 as one of the eight countries, and the only one in Eastern Europe, to pilot the One UN.

⁸ The letter was sent in the context of the end of 2007 stocktaking.

⁹ NSDI is in the last stages of consultations and is targeted to be formally adopted by February 2008.

state, the foundation for fundamental rights and freedoms of the individual; fight without compromise against corruption and other phenomena that obstruct the development and integration of the country and application of the law in equal way to all individuals; and rapid, balanced and sustainable economic, social and human development.

34. In November 2005, the government adopted the Integrated Planning System (IPS) to ensure that its policy planning and implementation function in a coherent, efficient and integrated manner. Today, IPS embraces NSDI, the Medium Term Budget Programme, and other core planning processes, such as the Action Plan for the Implementation of SAA and the government's efforts to optimize the use of foreign aid in agreement with the commitments of the March 2005 Paris Declaration.

The UN development system in the national context and its relationship with other forms of external aid

35. In 2005, Albania received USD 387.8 million in Official Development Assistance (ODA), 60 percent of which was from multilateral donors. The UN system¹⁰ share was USD 26 million, nearly 7 percent of total ODA in the country. The One UN Programme (2007-2010), signed on 24 October 2007, accounts for approximately USD 75 million in total, or an average of USD 18.7 million per year.

36. The One UN Programme is aligned (in addition to the existing UN programmes) with the following: the EU integration agenda as reflected in SAA; NSDI; IPS; the programmes of other international development agencies; and the global reform context and the need for harmonization and increased aid effectiveness committed to in the Paris Declaration. The development focus of the One UN Programme will also complement and support implementation of the Instrument for Pre-Accession Assistance of the EC.

The relationship of the DaO pilot with CCA and UNDAF

37. In 2004, the UN system in Albania prepared a Common Country Assessment (CCA) as an instrument to design the UNDAF 2006-2010. The One UN Programme largely builds on the programme components already contained in this UNDAF. It covers the four areas of UNDAF intervention, which were built upon country programmes and agreements of individual agencies¹¹. In addition, it includes a fifth area of intervention, environment, and has strengthened the gender dimension. The UNDAF also provided the framework for the initial baseline costing of the One UN Programme, and the One UN Programme M&E Plan builds on that.

38. The five One UN Programme priority areas are as follows: more transparent and accountable governance; greater inclusive participation in public policy and decision making; increased and more

¹⁰ Including the International Organization for Migration.

¹¹ Country Programme Documents and Country Programme Action Plans (2006-2010) agreed for UNICEF, UNDP and UNFPA, the Biennial Collaborative Agreement (2006-2007) for WHO and the Country Operations Plan (2007-2008) for UNHCR.

equitable access to quality basic services; regional development to reduce regional disparities; and environmentally sustainable development. It also addresses two main cross-cutting areas: gender equality; and development of national capacity.

39. In addition, the Albania One UN Programme defines five ‘core elements’: policy advocacy and dialogue, capacity development, networking and partnership building, technical assistance and meeting international commitments.

Composition of UNCT and relationship with NRAs

40. UNDAF 2006-2010 was signed by the government and the four resident UN organizations, UNDP, UNFPA, UNICEF and WHO. In addition, the CCA process that preceded it involved six agencies that were not present in the country at that time: IFAD, ILO, FAO, UNESCO, UNODC and UNOPS.

41. Today, 11 UN organizations participate in the DaO pilot initiative as the signatories of the One UN Programme in Albania. From January 2007 (when Albania was selected as a country for the pilot) until April 2007, UNDP, UNFPA, UNHCR, UNICEF and UNIFEM (each of which have local representation in the country) participated in the design of the One UN Programme. Between April and October 2007, they were joined by ILO, UNAIDS, UNV, and several NRAs, namely, FAO, UNEP and UNESCO. Previously non-resident UNIFEM became a resident at the request of the government to meet national priority needs identified under the One UN Programme. While the World Bank and International Organization for Migration are active members of UNCT, they are not part of the One UN Programme.

Changes through DaO

42. Since the launch of the DaO pilot initiative in Albania, new instruments have been created or are in the process of being put in place. The main features of the DaO pilot initiative in Albania are:

- a. The One UN Programme 2007-2010, including an Integrated Results Matrix and a One UN Budgetary Framework, was approved and signed on 24 October 2007. Outcome Working Groups were constituted to coordinate the preparation of 2008 annual work plans for each outcome area.
- b. As an integral part of the One UN Programme, a number of joint programmes are being/have been developed, some of which already started under the UNDAF: Regional Development (led by UNDP), Support to Minority Rights and Roma (led by UNDP), Environment (led by UNEP), Gender Equality (led by UNIFEM), Culture and Development (led by UNESCO), Economic Governance (led by UNDP/World Bank), Youth Employment (led by ILO), Avian Influenza (led by UNICEF/WHO), and HIV/AIDS (led by UNAIDS).
- c. A One UN Coherence Fund was established in November 2007 to support coordinated resource mobilization, allocation and disbursement of donor-contributed resources for the unfunded elements of the One UN Programme¹². The original funding gap between existing resources and

¹² A Memorandum of Understanding among participating UN organizations and UNDP for the administration of funds was signed on 7 November 2007.

the cost of the One UN Programme is USD 35 million for four years. As of December 2007, USD 5 million had been pledged by donors¹³.

- d. A UNDP Country Director was appointed and assumed office in February 2008.
- e. A One UN House was offered by the government, but had to be refused due to poor structural soundness.
- f. New common services in travel, banking, health services and security have been created, with others planned.
- g. A One UN Communication Group has prepared a 'UN in Albania' website¹⁴, a One UN Newsletter and a 20-minute TV documentary. A joint Communications Strategy, including a re-branding exercise, has been drafted for discussion among UNCT in February 2008. A UNV communications specialist is to be recruited.
- h. An M&E Working Group, drawn from suitably experienced persons from participating agencies¹⁵, was established in October 2007. The Working Group has a technical function: the finalization of indicators for the Programme results as well as for the One UN process. An M&E specialist is being recruited by UNV to support these efforts.

¹³ To date by Norway, Spain and Switzerland.

¹⁴ See <http://www.un.org.al>.

¹⁵ According to the One UN Programme, the M&E Working Group would also include national and other stakeholders.

C. Assessment of the substantive design of the DAO Pilot

Key documents reflecting the substantive design of the DaO pilot

43. The One UN Programme Albania - Programme Framework Document 2007-2010, signed on 24 October 2007, by the Deputy Prime Minister of Albania, the UN RC and the 11 participating agencies, is the key document articulating the design of the DaO pilot initiative in Albania. The document contains the programme rationale, the role and contribution of the UN system in responding to national development priorities, the institutional arrangements, an implementation strategy, an Integrated Results Framework, a One UN Budgetary Framework, and an M&E Plan.

44. Other documents that reflect the design of the pilot include the following:

- a. Memorandum of Understanding of 7 November 2007 between participating UN organizations and UNDP as Administrative Agent, regarding the operational aspects of the One UN Coherence Fund in Albania.
- b. Standard Administrative Arrangements with donors.
- c. Draft funding allocation criteria for the One UN Coherence Fund¹⁶.
- d. Terms of Reference of the RC (revised proposal, 16.10.2007) and Corporate Guidance for UNDP Country Directors (draft).
- e. undg RC System Mutual Accountability Framework (draft, January 2008) and Guidance Note on RC/UNCT Working Relations/Code of Conducts (17.10.2007).
- f. Albania Operations Management Team—Draft Terms of Reference.
- g. One UN Communication Group in Albania—Draft Terms of Reference.

Reflection of national ownership and leadership in the design

45. The One UN Programme fits within the overall reform to align external assistance to national plans and a medium term budgetary framework and to achieve the government's commitments in the context of the Paris Declaration. The government's commitment is clearly observed in the institutional set-up for the DaO initiative: its GMC, chaired by the Deputy Prime Minister, provides the highest level policy coordination and decision-making authority for monitoring progress and ensuring coordination of the One UN Programme with its own national strategies and other inter-ministerial and cross-sectoral policies and priorities. The involvement of the UN system was designed according to jointly agreed assessments of the UN's comparative advantages and positioning to improve its impact and development effectiveness, and to reduce the government's transaction costs in dealing with a fragmented system.

¹⁶ JEC minutes of 17 December 2007.

46. The JEC is the central mechanism in which the government and the UN system established the One UN Programme. It will make future programmatic and funding decisions. The JEC is co-chaired by the RC and the Director of the DSDC in the Prime Minister's Office on behalf of the government. The DSDC is extensively and substantively involved through this mechanism in the design on the programme, particularly in identifying the priority areas in line with the national strategic priorities and the perceived UN comparative advantage, and in identifying agencies to be involved. The draft One UN Programme was extensively commented on by other line ministries¹⁷.

47. The outcome area of environment was added to the One UN Programme in accordance with the government's expressed needs, and UNIFEM - which was non-resident previously - was asked to establish its office in Albania by the government.

48. Given the way in which the DaO initiative was led by the government, and in which the One UN Programme was constructed through the above mechanism, there is clear evidence of national ownership and leadership in the design of the initiative.

Responsiveness to specific needs and priorities of the country

49. The design of the One UN Programme was largely driven by the government's intent to coordinate and align all external assistance with SAA and NSDI, the latter of which was consulted considerably with national and international stakeholders. The mechanisms to ensure and maintain the government's ownership and leadership in the One UN Programme are in place. Therefore, the One UN Programme is designed to effectively respond to the country's basic development needs.

Articulation of the strategic intent

50. The One UN Programme Document does not directly define the strategic intent of the DaO pilot initiative. However, the intent can be inferred from the following specific texts in the document:

- a. The One UN Programme's goal is to enhance development results and impacts by bringing together the comparative advantages of the UN system within a single Strategic Programme. The response of the UN system will align and support the European integration and development goals of Albania, while complementing the assistance provided by other multilateral and bilateral development partners. The ultimate aim of the UN in Albania is to contribute to making a difference in the lives of Albanians¹⁸.
- b. Through the One UN Programme, in partnership with the government and other development stakeholders in civil society and private sector, the UN system will deliver focused and value-

¹⁷ The government was consulted on 28 March and 16 July 2007 and final comments from line ministries were received on 17 September 2007, prior to finalizing the One UN Programme in November 2007.

¹⁸ One UN Programme Document, page 2, para 5.

added results in development assistance as a harmonized organization with unity of purpose, coherence in management and efficiency in operations¹⁹.

- c. The One UN Programme is an instrument for ensuring that the UN's contribution to national priorities is aligned and visible and leading to greater harmonization and simplification, it presents the potential to strengthen coordination with other donors and to further reduce transaction costs for government²⁰.

51. Both by the government and the participating UN organizations were consistent in their articulation of the strategic intent. The government considers the DaO pilot initiative an opportunity to demonstrate its seriousness in aligning and coordinating all external assistance in Albania, in line with the Paris Declaration principles, and responding to the highest national priorities as embodied in NSDI²¹. For the UN system, the initiative is a means to offer the comparative advantage of the entire UN system and deliver assistance with greater coherence (capturing the synergies of participating agencies), effectiveness (improving results through focused and joint programming), and efficiency (reducing transaction costs for its partners and within the system). Where the interest of the government and the UN system overlaps, a clear matching of the strategic intent between the two was observed.

52. However, sharing a common understanding of the strategic intent for the DaO pilot initiative does not always imply sharing a common view of the intent of overall UN assistance in Albania. A minority - from inside the system as well as from partners, including the donor community and non-governmental actors - raised the concern that the intent of responding to Albania's national priorities should not relegate the UN system to the role of service provider and should not be promoted at the cost of UN core mandates, such as its advocacy or check-and-balance roles. Some partners attached particular importance to a normative role of the UN system to address social development and inclusion priorities as well as international commitments and obligations, whether they are inside or outside the government's policy priorities. In some cases, the core mandates of the diverse UN organizations could necessitate an agency to intervene in areas outside the One UN Programme, particularly when these areas are not specifically listed as a part of national priorities under NSDI.

53. There is no fundamental incompatibility between the DaO pilot and the core mandates of UN organizations. The construct of the One UN Programme allows individual agencies to pursue their core mandates if they deem necessary and appropriate. At the same time, this is an issue of balance and of programmatic emphasis within each agency, which UNCT is well aware of and needs to pay particular attention when a tension arises. Future evaluations must consider this aspect when assessing UNCT progress in pursuing the strategic intent of the DaO initiative.

54. The strategic intent of the DaO pilot initiative should be easy to identify and refer to by all stakeholders. In this regard, the strategic intent could be better articulated as a Mission Statement (jointly

¹⁹ One UN Programme Document, page 2, para 6.

²⁰ One UN Programme Document, page 13, para 68.

²¹ See the quote from the letter of the Deputy Prime Minister in Chapter 2, Section A.

agreed between the United Nations and the government) that can be identified by the common person in Albania.

Quality of the design for the pilot

55. The report of the High-level Panel on System-wide Coherence provides some useful criteria for assessing the quality of the One Programme, which are used in the following analysis.

Country-owned, signed off by government, responsive to national development framework, strategy and vision, including internationally agreed development goals

56. As noted earlier, this has been sufficiently demonstrated in the Albania pilot.

Building on CCA and national analysis and reflecting added value from the entire UN system

57. The One UN Programme operationalizes the programme components covered by UNDAF 2006-2010, and therefore builds on CCA. Further, its alignment to NSDI indicates that it is built on the government's analysis of the needs. A specific addition of an outcome area—environment—was made to UNDAF, based on consultations and response requirements imposed by SAA. Gender and regional development are two further areas of activity that the One UN Programme has strengthened. In terms of the forthcoming evaluation, UNCT and the government will need to clarify the continuing relevance of UNDAF, since the One UN Programme is both thematically broader and owned by a greater number of UN organizations.

58. However, the delineation of the UN system's value added and comparative advantage compared to other actors, particularly the EC, has not been articulated in terms of: demonstrated track record leading to credibility in priority areas; recognized technical expertise; system and agency capacity; and geographical presence²². An exercise to establish comparative advantage in all areas of the UN system's expertise would be required to make it fully evaluable in these particular aspects. However, such an exercise may not be within the capacity of UNCT and would require intervention from the global inter-agency mechanism. Nevertheless, within the confinement of the priority areas identified in the One UN Programme, UNCT could more clearly articulate the value added in order to establish the parameters for future evaluation.

Strategic, focused, result-based, with clear outcomes and priorities, while leaving flexibility to reallocate resources to changes in priorities

59. The One UN Programme focuses on 12 outcomes corresponding to 5 strategic development goals, which are detailed in the Integrated Results Matrix and Indicators²³. Each outcome area is further composed of specific result areas to be attained through joint programmes and specialist interventions, a set of indicators using specific means of verification for measurement and, a list of participating relevant

²² Criteria produced by UNDGO to assess the UN system's comparative advantage.

²³ Annex 2 of the One UN Programme.

agencies and line ministries. While the outcome and sub-outcome areas have been defined clearly, some indicators²⁴ have not been developed adequately and many baselines still need to be established. It was agreed internally that a further refinement of the indicators would be taken up by the M&E Working Group. That process is currently underway. These indicators also need to be discussed with the line ministries and DSDC in order to ensure that they correspond or conform to the broader indicators being used under NSDI's Sector Strategies. This process must be completed for the programme to be fully evaluable in this regard.

Drawing on all UN services in order to deliver effectively a multi-sector approach to development (with due attention to cross cutting issues):

60. The approach to enlisting participation has been one of strategic focus, mapping the expertise areas of the UN system to the national development priority areas. The role of RC Office and DSDC in coordinating the selection of UN organizations for the first phase was significant. It was based on identifying agencies considered most appropriate in responding to the government's development priorities and inviting a few specialized agencies and NRAs such as ILO, FAO, UNEP, UNESCO and UNIFEM to participate. The list of participating agencies will be reviewed later in 2008, and possible inclusion of other agencies is foreseen²⁵. The evaluability in this respect is established, assuming that the processes of future reviews and consultations are properly documented.

61. The One UN Programme Document provides some commonly agreed upon criteria for allocation from the One UN Coherence Fund, which is designed to fill the funding gaps based on commonly agreed upon criteria designed to promote the objectives of One UN reform (impact, coherence, efficiency and positioning). The allocation mechanism also rewards programmes that successfully meet the pre-defined criteria and work towards 'Delivering as One', implying a leaning toward joint programmes based on synergies of agencies and prospects of greater efficiencies through optimizing resources in joint programming, monitoring and reporting. The fund allocation mechanism through JEC is established and includes sufficient flexibility to allow adjustments to the changing needs and priorities.

M&E system

62. The One UN Programme Document refers to the establishment of an M&E Plan, consisting of an M&E framework and an M&E programme cycle calendar²⁶. According to the Programme Document, a 'Joint M&E System' was to be developed in 2007 to be used in the Annual Review of the Programme in 2008 and other formal reviews. A joint system would be indispensable, given the increased importance of joint programmes and the need for an eventual alignment with the government's M&E system. The M&E Working Group however has yet to put this in place.

²⁴ Illustrative examples: 1.3.1, 1.3.2 and 1.3.5, under Outcome 1.3: Government adopts economic policy, regulatory, and institutional frameworks that promote pro-poor growth, socially inclusive legal and economic empowerment.

²⁵ A number of NRAs expressed an interest in participating in the One UN Programme. They include UNIDO, UNCTAD, International Trade Centre (UNCTAD/WTO), UNODC and IFAD. Possible adjustments later in 2008 to include some of them were under consideration.

²⁶ Appearing as Annex 4 of the One UN Programme Document.

63. The term ‘Joint M&E System’ is internal to the UN system and does not imply constitution of a joint M&E system with the government, which will have its own national M&E mechanisms to deal with external assistance in the country. The precise structure of the national M&E system is not known, as IPS and NSDI are still under finalization. DSDC is the department most likely to be in charge of a national M&E system.

64. Discussions with some ministries as well as UNCT indicate the need for further clarity on the practical aspects of harmonizing the Joint M&E System with the national M&E system, particularly on matching indicators in result and outcome areas. This is because line ministries are responsible for recording performance indicators for monitoring of results under their respective NSDI Sector Strategies. Some ministries, such as the Ministry of Energy, Trade and Economy, have stressed a strict matching of the results indicators used by the One UN Programme with the sector indicators used by the ministry. This may pose some technical issues, considering that the quality of national statistics is viewed with some skepticism²⁷. The M&E Working Group proposes to work with various line ministry counterparts to identify indicators for the individual outcome areas of the One UN Programme. How this correspondence of indicators would be established is one of the important aspects to be examined in the future evaluation.

65. Concerns on multiple M&E reporting as a result of the DaO pilot initiative have been pointed out by most UNCT members. UN organizations already have internal reporting requirements on their country programmes, and therefore the One UN Programme M&E System is seen as an additional reporting requirement. The M&E Plan also provides that agency-specific M&E systems will continue to be used until the Joint M&E System is established, or as long as agency-specific systems may be required to provide feedback on contributions to the One UN Programme. This is seen as acceptance of possible multiple reporting requirements by agencies to meet head office requirements as well as of the One UN Programme. Whether agency Headquarters and governing bodies would consider practical exemptions for pilot countries is an indicator of the eventual success of the pilots, as these exemptions hold the key to savings and reductions in some important transaction costs.

66. On indicators, the DaO pilot requires two groups of M&E parameters: one group measuring the development outcomes of the One UN Programme, focusing on relevance and impact aspects; and the other measuring the results of the implementation of UN reforms through DaO, focusing on efficiency.

- a. Outcome indicators: The Integrated Results and Budgetary Framework (Annex 2 of the One UN Programme Document) includes a set of indicators and corresponding means of verification for each expected result under the five outcome areas. However, these are to be further developed and revised, and could not be fleshed out in greater detail within the time limits set for completion of the Programme Document.
- b. Process indicators for the pilot: A limited number of specific indicators of the reform process have been included in the Programme Document (section 7.1). The M&E Working Group is also revisiting the process indicators for the pilot, and specific details could not be shared at this stage, as these were still works in progress.

²⁷ See Section E of this report.

67. The M&E Working Group has received useful guidance from an external consultant in formulating and clarifying the performance indicators of the pilot. The consultant's report, which had many good suggestions, was shared with the mission. A retreat was proposed for late February 2008, after which the indicators would be finalized in coordination with the working groups for each of the outcome areas. These indicators would form the basis on which future evaluations could be conducted.

68. While the indicators are still under finalization and the detailed assessment of the existing indicators in the Programme Document would be premature, a few specific comments need to be made on some indicators:

- a. One of the reform targets (Target # 2), that is, inclusion of UN organizations, is that by the end of the programme cycle in 2010, all resident agencies and at least half of NRAs active in Albania will be participating in the One UN Programme. This numerical target presupposes that all agencies have significant contributions toward Albania's strategic priorities and does not support the strategic inclusiveness principle currently being followed by the Programme. Further, being included in the Document as a 'participating agency' is not a sufficient indicator of inclusiveness.
- b. Similarly, reform target (Target # 3), that is, the One UN Fund target, stipulates that 65 percent of the total available resources will be managed under the One UN Fund, an increase from the current level of 45 percent. Given that the One UN Fund only finances the funding gaps of the Programme Work Plans, this target could be seen as an incentive for agencies to design programmes with large funding gaps, to be funded from the Coherence Fund rather than the core budgets and non-core pledges raised by the respective agencies. This runs counter to the concept of a good programme design.

69. UNCT is fully aware of the need to refine these targets, and these are part of the fine tuning exercise currently under way.

70. In the course of the discussions, the M&E Working Group as well as other members of UNCT asked the mission for useful advice on preparing indicators for the process. Although this was not part of the Terms of Reference for the mission, based on the mission's understanding of the Albania pilot and incorporating the One UN benchmarks proposed for assessing One UN Programmes²⁸, a list of process indicators has been included in Table 1 at the end of this report, to facilitate the work of the M&E Working Group.

²⁸ Guidance document dated 10 July 2007.

D. Assessment of the DAO Pilots Process and Implementation

National ownership and leadership in the DAO process

71. In general, the government's ownership and leadership concerns mainly the One UN Programme dimension of the pilot and the One UN House²⁹.

72. The formulation of the One UN Programme was largely driven by the government and originated from the government's decision in 2005 to align and coordinate all external assistance in the country. Previously, there was not even a governmental mechanism for collating ongoing and prospective external assistance activities, which were all being negotiated at the level of line ministries. Donor and external assistance coordination are among the highest priorities of the current government, and the DaO pilot initiative is seen as a showcase demonstrating the government's keenness to align external assistance with national priorities.

73. The government has demonstrated its co-ownership of the DaO pilot and its leading role through the various institutional mechanisms in the One UN Programme. This manifests in the institutional and management structure of the Programme, with clear Terms of Reference for three tiers of government involvement:

- a. The GMC is chaired by the Deputy Prime Minister. Its members are the Ministers of Finance; Economy, Trade and Energy; Interior; Public Works, Transport and Telecommunications; and European Integration. It is the highest-level policy, coordination and decision-making authority, with a mandate to provide strategic direction to the One UN Programme. It also ensures coordination with the Government Modernization Programme, IPS and other inter-ministerial and cross-sectoral policies and priorities.
- b. JEC is co-chaired by the Director of DSDC and the RC. Encompassing the participating UN organizations, it is the key executive and joint decision-making body for the One UN Programme.
- c. An Inter-Ministerial Working Group, composed of Secretary-Generals of line ministries that are counterparts of the UN organizations, provides consultative inputs on technical and substantive aspects of the One UN Programme.

74. While an extensive effort was made, in particular by DSDC, to ensure the government's ownership of the One UN Programme, some difficulties were encountered. First, DSDC, which must play a central and strategic role in donor coordination and the alignment of sectoral programmes and policies of line ministries with national strategy, has limited resources. Second, there is an inherent difficulty in coordinating line ministries that, in turn, affects the coherence of the sectoral programmes of the UN system. While the Inter-Ministerial Working Group is expected to provide advice on substantive and technical aspects of the One UN Programme, an inter-ministerial coordinating mechanism at the technical level was also contemplated to ensure a more practical approach to inter-sectoral coordination.

²⁹ The counterpart in terms of the One UN House is the Ministry of Foreign Affairs.

75. The proper functioning and effectiveness of these mechanisms—in particular the JEC to directly provide leadership of the government in the DaO pilot initiative, and inter-ministerial mechanisms to ensure the One UN Programme’s full responsiveness to national needs—would be the criteria for future evaluations.

Inclusiveness of national stakeholders

76. The One UN Programme was finalized with considerable consultations with national stakeholders, particularly government partners. The draft One UN Programme was also circulated for information and comments from provincial government departments. In time, the functioning of the Inter-Ministerial Working Group will demonstrate to what extent line ministries are effectively involved in and committed to the One UN Programme, and as such is seen as an important indicator.

77. The draft Programme was also shared with government-recognized agencies representing civil society. It is not clear to what extent private sector entities were consulted. Non-governmental organizations that were interviewed indicated a high level of awareness of the Programme, particularly in their domain expertise, and made particular mention of the UN capability to influence national priority setting and involve civil society in national policy dialogue. Some, notably implementation partners, also mentioned their involvement in designing the Programme’s subcomponents and activities. However, bilateral contacts with specific UN organizations seem to prevail based on existing relationships.

78. UNCT has satisfied the inclusiveness criteria in establishing the One UN Programme. The assessment of inclusiveness in the future would hinge on whether or not such good practices are maintained at appropriate occasions. From the perspective of evaluability, it would be desirable to have some guidelines on when and how such consultations should take place.

Inclusiveness of specialized agencies and NRAs

79. The DaO pilot in Albania has been highly inclusive in involving NRAs in the formulation of the One UN Programme. Presently, UNCT includes FAO, UNEP and UNESCO, which are all not resident in Albania. For instance, environment was identified as an area of national priority needs³⁰, and this led to the involvement of UNEP in the One UN Programme. At the same time, the government and the RC wished to have a manageable number of participating agencies to ensure that the Programme remained focused, and to have a One UN Programme without significant funding gaps. Further proposals for involving other UN organizations will be examined in the later part of 2008, once the implementation of the work plan for 2008 is in progress and the Coherence Fund has sufficient resources to meet the funding gaps. DSDC is taking the lead role in deciding which agencies can contribute to achieving the government’s development priorities in a strategic way.

80. Involvement of some NRAs has been significant also at the level of joint programming: two of the joint programmes are actually led by NRAs (UNEP and UNESCO), which indicates a participative

³⁰ This outcome area is important in enabling Albania to comply with EU environment standards, which are requirements under SAA.

approach that recognizes the specialized expertise of these agencies and seeks their inclusion in the One UN Programme, despite logistical limitations. The Spanish MDG Achievement Fund has served as an important incentive to include NRAs in joint programme formulation.

81. Participation of NRAs in the One UN Programme has enhanced their alignment with national development strategies and leveraged visibility and targeting of particular concerns. However, there have been practical constraints to their full participation in all the deliberations on the One UN Programme. NRAs are unable to convene at short notice as easily as the resident agencies, and at times, this has led to them being faced with a *fait accompli* on important decision-making processes. From the resident agencies' viewpoint, working with NRAs can be time-consuming and can slow down the process. The increased use of videoconferences and sufficient notice of forthcoming discussions could considerably increase their participation in operational decisions. The RC Office has established a focal point for NRAs interested in contributing to the One UN Programme, which is appreciated.

82. The involvement of participating NRAs in JEC is an important indicator of inclusiveness in implementing the One UN Programme, given that the allocation of resources among activities and the consideration of proposals themselves take place at this forum. Membership in JEC, including that of participating NRAs, was originally set out in the One UN Programme Document³¹. One NRA will be included in future JEC meetings with full voting rights on a rotational basis (one-year term). For transparency and common understanding, the Terms of Reference of JEC need to be revised to reflect this arrangement.

83. Despite this additional representation and the articulation by all NRAs of their satisfaction with the RC - who has ensured adequate visibility and inclusion of their interests and demonstrated her equidistance among all agencies - fuller participation of NRAs in JEC would be desirable, especially given the availability of technology that would enable them to participate more effectively from a distance. The future evaluation of this aspect would call for surveying the views of NRAs on the extent to which their interests have been effectively represented in JEC, including in the consultative process leading to decision making.

Relationship with other forms of external assistance

84. The government has put in place suitable institutional mechanisms for its overall external assistance coordination under the supervision of DSDC. These include the Donors Technical Secretariat, the Development Counselors Group, and the Government-Donor Round Tables. The four multilateral institutions, the World Bank, the UN system³², Organization for Security and Co-operation in Europe and EU rotate as Co-chairs in the Donors Technical Secretariat. Donors and UN organizations, contribute to sector-specific issues through their participation in various Sector Working Groups constituted by DSDC within the 17 sectors that are part of NSDI. There have been a range of views from stakeholders as to the quality and effectiveness of the interactions at the Sector Working Groups. However, there is unanimity as to the interest and commitment of the government in ensuring effective donor coordination. Several

³¹ Annex 1.2, page 53.

³² Represented by the RC.

stakeholders see the implementation of monitoring tools (IPSIS and EAMIS)³³ under IPS as positive steps in this direction.

85. The One UN Programme was improved through consultations with interested donors³⁴. It also shares and exchanges information with all the previously mentioned mechanisms to ensure coordination with donor funding to government priorities. In particular, the Programme, and its social dimensions, is an important complement to the EU accession agenda, increasing the negotiating power of the UN system compared to the pre-pilot phase. These coordination mechanisms have just been put in place, while IPS is yet to be operational. Any future evaluation would need to assess the functioning of these donor-coordination mechanisms and how they affect the UN system's capability to deliver effectively.

Support from UNDGO, Headquarters and regional structures of UN organizations

86. The DaO pilot initiative in Albania benefited from support missions for the One Fund (27-30 March), the One Programme Concept Note (April 2007), a visit by the UNDG Chair (14 May 2007) and common premises (6-11 August 2007). Additionally, UNCT requested support for the following:

- a. Practical guidance on balancing strategic focus and inclusiveness.
- b. Feasibility study on the UN House offered by the government³⁵.
- c. Communications from agency Headquarters on their corporate positions about the One UN and their commitment to participate.
- d. Leadership structure, authorities and accountabilities of UNCT and RC in the One UN; minimum standards and principles of accountabilities of UNCT and RC; and possible dispute resolution mechanisms.
- e. Design and setting up of an M&E mechanism for the One UN Programme and organizational accountability and reporting systems; and an M&E framework for One Programme and indicators of success and benchmarks for the whole pilot.
- f. Additional capacity for economic development analysis.

87. According to UNCT, both the Regional Directors' Team and UNDGO have supported the pilot. However, even though the pilot benefits from having the opportunity to experiment, more coordinated

³³ Integrated Planning System Information System (IPSIS) and External Assistance Management Information System (EAMIS).

³⁴ For instance on 20 February, 29 March and 24 July 2007.

³⁵ Completed for Albania, but the building was not found suitable. Studies would be required for future offers.

and timely guidance from Headquarters was necessary on some issues. The stocktaking report and the mission findings point to the following challenges:

- a. More clarity would be useful on support expected from UNDGO, Regional Directors' Team and the Chief Executives Board.
- b. The generally harmonious UNCT process of developing the One UN Programme needs to be fully supported at regional and Headquarters level. There is a danger that - due to a perceived lagging behind in terms of culture and mentality - regional structures and Headquarters may undermine agreed divisions of roles and responsibilities at country level. More support at Headquarters level could be given to resource mobilization efforts and to ensuring convergence of operations procedures and systems.

88. Some of the challenges in implementing the DaO pilot required support, guidance and decisions not only from agency Headquarters, but also from the respective governing bodies, for example the questioned need for individual agencies' country programmes beyond 2010 in the light of the One UN Programme. The responsiveness and support of Headquarters is a critical external dimension in the success of the pilots, and any evaluation would need to consider and include assessments of the same, as perceived and experienced by UNCT.

Programming and joint programmes

89. An important feature of the One UN Programme in Albania is joint design and implementation of programmes by UN organizations. Joint programmes, involving two or more UN organizations and national partners with a common work plan and related budget, are effective mechanisms for DaO and for reducing duplication. Joint needs assessments, joint missions, joint implementation and joint monitoring are key features of joint programmes, which enable the UN system to reduce transaction costs while blending resources and strengths.

90. In terms of the forthcoming evaluation, the principle of strategic inclusiveness and the successful implementation of joint programmes are key success parameters for the DaO pilot initiative in Albania, as they capture the essence of the initiative, from both internal efficiencies and development effectiveness perspectives. Joint programmes are not new *per se*, but in Albania, they constitute at least in financial terms the bulk of the One UN Programme³⁶. Therefore, joint programmes call for fundamental changes in the way UN organizations collaborate with shared resources and accountabilities for common outcomes. If joint programmes are executed well, they could provide stimuli for initiating bolder reforms for the UN system.

91. In addition, for donors to consider un-earmarked multi-year pledges to the One UN Coherence Fund, the success of joint programmes is critical. The difficulties in fund-raising for the One UN Fund partly stems from donors' preference to provide agency-based funding for clear accountability and for the ease of identifying funding purpose at the sectoral level. Hence, successful joint programmes would at least allow donors to consider favourably thematic funding as opposed to traditional agency-based

³⁶ Although it is currently not possible to attribute them directly to one or another of the five outcome areas.

funding. Demonstrating that the integrated planning process of the One UN Programme would provide more demand-driven assistance through joint programmes would also be a strong basis for supporting the Coherence Fund.

Assessment of progress in the implementation of the four ‘Ones’

92. In Albania, two of the four Ones - One Programme and One Budget/One Fund - have been established and are being put into operation. The design of the third - One Leader - is progressing, although its institutionalization still remains a challenge. The fourth - One House - has seen an unforeseen set-back after considerable progress, but still remains on track.

93. A roadmap for the implementation of the four Ones was prepared in April 2007, but has not been revised to indicate amended time lines for each of the four Ones. In view of the current status, a revised implementation schedule for the pilot would be useful for both internal monitoring purposes as well as to document external dependencies for consideration during the process evaluation.

94. The DaO pilot in Albania provides an interesting example for the implementation sequence of the four Ones. By focusing on the One UN Programme first, UNCT was able to come together on the areas of agreement and joint implementation of the Programme, which reflected the combined offering of participating agencies for consideration by the government. The early completion of the One UN Programme Document and the One UN Coherence Fund provided a work agenda for joint delivery of activities, resulting in UNCT adopting a practical, learning-by-doing approach, instead of engaging in discussions to clarify the more sensitive issues such as One Leader. This approach has enabled a direct experience of the functioning of UNCT under the leadership of RC, without formally waiting for explicit structures of responsibility, authority and accountability. However, the absence of a formally agreed upon institutional Code of Conduct has the potential risk of any participating agency seeking alternative working arrangements, thereby possibly derailing the implementation of the Programme.

One UN Programme

95. The One UN Programme in Albania was formally signed with the government. However, the following activities are still in progress and would need to be in place to assess implementation progress in 2009:

- a. Coordinated annual One UN Programme Workplan (expected to be ready by March 2008).
- b. M&E framework for the outcome areas of the One UN Programme and for process assessments of the DaO pilot initiative (proposed to be formalized by the end June 2008).

96. The One UN Budgetary Framework³⁷ has been prepared and agency resources have been costed under each result area for each agency and aggregated for arriving at the One Budget. According to this document, the total budget for the One UN Programme for 2007-2010 is USD 75 million, split among USD 11.3 million core funding, USD 29.9 million pledged non-core funding and a funding gap of

³⁷ Annex 3 of the. One UN Programme Document.

USD 34.6 million. The One UN Programme represents approximately USD18.7 million annually, which accounts for almost 80 percent of average UN delivered funds per year in Albania during 2004-2006³⁸, in line with the recommendation of 80 percent made by the undg Chair³⁹.

97. The One UN Coherence Fund was also established and funding has started to arrive⁴⁰. Initial funding of almost USD 1 million has already been received into the Fund as of December 2007. According to latest reports, USD 5 million in confirmed pledges has been obtained and approximately USD 11 million is expected to be mobilized in 2008⁴¹. The following aspects need to be taken into account in process evaluation:

- a. Resource mobilization strategy 2008 and allocation of budgets among outcome areas - the full picture for 2008 should be clear by April 2008, at which point all donor commitments for the year should have been realized.
- b. UN gives priority to early, multi-year, un-earmarked contributions to the One UN Coherence Fund. In practice, however, donors have expressed difficulties in providing un-earmarked contributions given their respective rules and procedures, which have not (yet) been harmonized with the new DaO mechanisms, and much still depends on personalities. In addition, a number of donors are phasing out their ODA to Albania in view of the country's accession to EU. Therefore, interest and corresponding funds may dwindle. A medium-term resource mobilization strategy needs to consider these external dependencies.

98. The funding allocations mechanism is centrally located at JEC. The first JEC meeting was held on 17 December 2007 and three proposals were cleared, with a total allocation of more than USD 950,000. Some agencies have raised concerns about the criteria to be used for selection of projects, given that already the One UN Programme represents the highest strategic priorities. In this regard, detailed fund allocation criteria for the One UN Coherence Fund were drafted and are under consideration by all participating agencies and the government. They will be formally adopted at the next JEC meeting. These criteria will serve as the basis for all future prioritization of resources in the Coherence Fund.

One Leader

99. Despite much progress on the ground, the institutionalization of the One Leader principle still remains a challenge in the DaO pilot initiative in Albania. According to the 2007 stocktaking report, the enhanced role of the RC in shaping and negotiating the One UN Programme on behalf of the UN system has been recognized and largely accepted by all participating agencies and national partners. The

³⁸ USD 23.5 million in 2004, USD 26.0 million in 2005 and USD 21.4 million in 2006.

³⁹ Annex 1. Letter of Mr. Kemal Dervis dated 9 Jan 2007 to all pilot countries.

⁴⁰ To date, Spain, Norway and Switzerland have committed resources for the Coherence Fund. Spain is presently the biggest donor: present commitments include an un-earmarked USD1 million per year, as well as USD 5 million from the Spanish MDG Achievement Fund for the Culture and Development and the Economic Governance joint programmes. Further resources are expected from the Netherlands and Austria.

⁴¹ Stocktaking report, page 5.

relationship between UNCT and the RC has gained clarity modeled on the principles stated in the letter from the undg Chair to the Prime Minister of Albania dated 11 January 2007 and through ‘learning by doing’. General trust in the concept of One Leader is evident. Increasingly, the RC is called upon to advocate for and represent the broader UN agenda and to facilitate in the development of joint programmes. However, this is seen as a result of effective leadership skills of the current RC rather than a clear delineation of institutional authority, which is yet to be formalized at higher levels of decision making. Conversely, through the Outcome Working Groups, individual participating agencies are sharing accountability and leadership for delivering specific outcomes of the One UN Programme.

100. Some agencies are concerned about the neutrality of the RC under the One UN system, considering that the RC is also the Resident Representative of UNDP. The desire for an institutional firewall in UNDP, as originally recommended by the report of the High-level Panel on System-wide Coherence, between the management of its programmatic role and the management of the RC system was recalled. So far, despite the absence of formal clarifications on the mutual accountability structure of the RC and UNCT, there has been no specific incidence that negatively influenced the DaO process in this regard. Heads of agencies, including NRAs, have unanimously commended the RC’s leadership and neutrality. In Albania, UNDP has been *de facto* represented by a Deputy Resident Representative, and not by the RC. In fact, UNDP country office staff considered the RC’s involvement in the DaO process to have resulted in her paying less attention to UNDP matters.

101. Notwithstanding the current situation, the RC and UNCT members think a formal specification of the institutional arrangement - mutual reporting and accountability structures under the One Leader - is necessary as soon as possible, in order to avoid any ambiguity and impasses in the future. In Albania, a UNDP Country Director assumed office in February 2008 and will be responsible under delegated authority for the day-to-day operations of UNDP.

102. The accountability framework for the RC and the mutual accountability of UNCT and the RC within the One UN Programme were to be clarified in 2008, supported by the inter-agency working groups on this area and undgo⁴². Draft guidelines were received for RC-UNCT Working Relations/Code of Conduct, Terms-of-Reference of RC, and Corporate Guidance for UNDP Country Directors (Management and Operational Arrangements). Continued and, if necessary intensified, support and guidance from Headquarters and undgo are critical for the success of this endeavour.

One House/ Common Services

103. The One UN Programme Document has set 2010 as the target for all resident UN organizations to have accommodations in a One UN House, with measurable achievement in economies of scale through provision of related One UN premises, facilities and common services. Considerable progress was made in this direction in 2007. Seven agencies expressed interest in moving into a One UN House, and the government proposed a building. The undg Working Group on Common Premises and Services assessed the proposed building and found it unsuitable in terms of structural safety. Therefore the project has not progressed further. The stocktaking report indicates that agreements with the government for a One UN House shall be firmed up in 2008. New proposals are awaited. However, given the physical

⁴² Stocktaking report.

closeness of most of the UN organizations in Tirana, the One UN House is considered an important, but not urgent, factor for the DaO process in Albania.

104. A cost-benefits assessment was made for common premises and services. Cost sharing norms for common premises and services are based on per capita norms already in place and in use in the UN system. The investment in the One UN House (based on the premises assessed by the Working Group on Common Premises) was estimated to be approximately USD 1 million⁴³. According to the stocktaking report, a saving of USD 350,000 is expected in the first year, which is approximately 40 percent of the resident agencies' expenditures on rent, common services and maintenance⁴⁴. The saving is expected to increase with time. However, the estimates of investment costs needs to be revised as the premises have been rejected.

105. Much progress has been made in common services. An Operations Management Team drawn from staff of seven agencies was constituted to implement the common services component of the DaO pilot initiative. The team has prepared an action plan for establishment of Long Term Agreements on behalf of UN organizations in respect to nine common services: translation; interpretation; editing; printing/copying/publishing house; travel services; fuel for vehicles/generators; information technology equipment; events management; and mobile communications⁴⁵. Task Forces were constituted for each of these areas. According to the action plan, awards of long-term contracts will be completed before May 2008. A workshop is proposed to be held in February/March 2008 to finalize the details of various agreements and other implementation arrangements. Even though only seven agencies have presently volunteered for common services, future participants would enjoy the same terms and conditions of the long-term costs as present participants.

106. The Operations Management Team, a team largely composed of national staff, is highly motivated in the implementation of the One UN House and common services. The most important finding was that the team considered the intangible gains of working as one, such as collaborative approaches, problem solving, workload sharing and teamwork, to be more significant than the cost savings from enhanced economies of scale in procurement of services and moving into common premises. The concept of One UN instills a sense of belonging to a much larger and more visible public identity than present, particularly for the agencies that have less staff.

107. Contracts administration, human resources, and information technology software were identified as three 'big ticket' areas, where harmonized procedures could bring about greater savings if all UN organizations in the country could follow common procedures. The Operations Management Team noted that the full potential for common services could not be exploited due to incompatibilities among the procedures and systems in use across various UN organizations, which were prescribed from agency Headquarters and could not be altered at the country level. At present, even though all agencies benefit from the long-term agreements for outsourced services, there is practically no reduction in the transaction costs, either for the service providers or for the agencies themselves. Agencies will continue to sign

⁴³ Report of the Working Group on Common Premises, August 2007.

⁴⁴ Derived from Stocktaking report and the report of Working Group on Common Premises.

⁴⁵ At present, common services are already in place in respect of travel, banking, health services and security.

contracts for their ‘common services’ in accordance with their internal administrative regulations as set by Headquarters. Similarly, moving toward common human resource planning and recruitment (or even staff pooling among agencies) is another area where local advantages are foreseen, but constrained by agency staff regulations.

108. Headquarters’ efforts towards harmonized and common practices have been under consideration for some time now. It is easy to appreciate the constraints at Headquarters level in initiating reforms only for the pilots. However, if the DaO pilots are to serve as test beds for deepening the reforms within the UN, it would be worthwhile to consider a common set of exemptions for the eight pilots, to be able to realize the full potential benefits arising from common services and be the harbinger of results from system wide reforms/harmonization in administrative practices.

Change management

109. DaO calls for a fundamental shift in the way agencies and individuals in these agencies see themselves in the new architecture and engage with one another in joint programming and implementation with shared accountabilities. While the agencies, individuals and national staff met by the mission were unified in their commitment to DaO, there was an undercurrent of anxiety as to how agencies need to reorient themselves in order to deliver greater coherence and efficiency, and the enormous time and human resource efforts being expended in the pilot amidst existing commitments within the agencies.

110. The DaO pilot initiative necessitates a change in behavior - within and among agencies, and with external stakeholders, including counterpart ministries, across ranks and files. This behaviour change needs to manifest across all processes: programming, funds mobilization, planning, general and financial administration, implementation, and M&E. The new design also brings in new aspects, particularly the joint accountability of agencies for implementing the One UN Programme collectively. The involvement of several UN organizations, with their diverse expertise areas, also calls for an assessment of their respective capacities in implementing the One UN Programme jointly and undertaking joint responsibilities.

111. UNCT has identified a list of change management activities for 2008⁴⁶ that includes the following: head-of-agencies retreats; preparation of Annual Work plans; capacity assessments of the involved agencies to deliver on commitments; training of operations staff on harmonization of systems; analysis and definitions of benchmarks and indicators to ensure alignment with Paris Declaration agenda; team building for technical level staff; and One UN Communications Strategy and retreat⁴⁷. Change management was generally undertaken in an orderly and planned manner. It might be useful to review the contents of change management activities in the light of key success factors presented later in this report.

⁴⁶ Funding support of USD 250,000 for change management was provided by Switzerland.

⁴⁷ The mission was also informed that useful inputs are expected from the current project for change management and capacity assessment at the Headquarters and regional levels, conducted by a consultancy firm, Dalberg Associates.

Assessment of investment and transaction costs

112. There is no formal system in place to capture the investment and transaction costs of implementing the pilot. This is because there is currently no estimate on physical infrastructure costs required for the One UN House and common facilities. The other costs are not actual but notional, such as staff time spent on One UN Programme design preparation and implementation, and time spent on additional reporting requirements (to Headquarters as well as to the government) imposed by the One UN Programme.

113. However, there is general agreement among UNCT members that, in the short term, the pilot has increased transaction costs within the system. This is mainly due to additional reporting requirements under the DaO pilot initiative, such as the financial and narrative reports to UNDP as administrator of the One UN Coherence Fund to be further reported to donors, the joint reporting to the GMC/JEC by lead agencies of the five outcome areas, and other reporting by UNDP to donors and by RC/UNCT to respective Headquarters.

114. Transaction costs in dealing with the government and other stakeholders are expected to decline as a result of joint programming, joint reporting, and joint M&E missions. However, this would necessitate preparation of a baseline. There is a need to clearly document meetings by various agencies with line ministries and meetings for donor coordination purposes and to track their trend under the DaO process.

Other parameters to assess process

115. The evaluation of the pilot cannot be complete without the inclusion of two major external influences - agency Headquarters and donor agencies. A few important parameters to be assessed during the process and subsequent evaluations are listed below.

Strategic guidance on implementation from agency Headquarters and UNDGO level

116. The assessed needs for strategic guidance and support were detailed in section D. Key parameters in assessing the external influences should be:

- a. Timely and adequate resolution of guidance and support requests.
- b. Headquarters directions on agency participation, harmonization of programming cycles, resource mobilization, joint programme management and reporting systems.
- c. Level of satisfaction with quality and timeliness of support and guidance.
- d. Coherence of guidance provided by different governing bodies.

Donor considerations and policy constraints in funding One UN pilots

117. Given that the strategic intent of the government for the DaO pilot is within the broader objective of enhanced donor coordination in line with national development and integration strategy, and the general downward trend of ODA in Albania, continued and enhanced support by donors to the One UN Programme is critical: Two possible parameters for assessing these aspects would be:

- a. Coherence of donor policies (in particular the bilaterals) and the DaO pilot framework.
- b. Funding of One UN Coherence Fund to match the expressed political support.

E. National Resources for Future Evaluations

Documentations

118. Albania faces challenges in its national statistics and data collection systems. Several actors - donors, implementing partners and other civil society stakeholders - expressed concern that the national data from line ministries and the national statistics body (INSTAT⁴⁸) may be inadequate to serve as indicators for measuring outcomes and development impacts.

119. There are concerns over the accuracy of basic data such as population, particularly of refugees and migrants, and land holdings. Basic documents, such as birth and death registrations, or proof of address, are not compiled accurately at the county level. The data released by different ministries on the same indicators may not match, due to different collection methods, baselines and the lack of formal exchange and coordination.

120. INSTAT has had serious staffing challenges, including a change of its entire staff some years ago. As a result, most statistics are available only up to 2005, which poses a challenge for establishing baselines. However, INSTAT and other statistics and information sources are beneficiaries of a major technical assistance programme funded and supported by EU, UNDP and the World Bank, which will upgrade the data quality of these national information agencies.

121. Despite varying degrees of accuracy, the most important information sources in Albania for M&E purposes are the following:

- a. Ministry Annual Reports including NSDI Progress Reports; EU SAA Report; and Annual Reports of such line ministries as: Ministry of Economy, Trade and Energy; Ministry of European Integration; Ministry of Labour; Ministry of Social Affairs and Equal Opportunities; Ministry of Environment; Ministry of Education and Science; and Ministry of Health.
- b. Other reports including World Bank Human Development Index; UN Human Development Reports, MDG progress reports; Multiple Indicator Cluster Surveys; and alternate development reports by reputable representative civil society organizations.
- c. Databases such as IPSIS and EAMIS⁴⁹, as well as statistical information from INSTAT.
- d. Public surveys such as the Living Standard Measurement Survey, Household Budget Survey, and Labour Force Survey.

⁴⁸ Albanian Institute of Statistics.

⁴⁹ External Assistance Management Information System (EAMIS).

Stakeholders

122. In addition to the participating UN organizations, the following stakeholders are important for future evaluation of the DaO pilot initiative:

- a. GMC: Deputy Prime Minister's Office.
- b. Director, DSDC.
- c. National ministries including: Ministry of Economy, Trade and Energy; Ministry of European Integration; Ministry of Labour; Ministry of Social Affairs and Equal Opportunities; Ministry of Environment; Ministry of Education and Science; Ministry of Health; and Ministry of Foreign Affairs.
- d. Co-chairs of Sector Working Groups.
- e. Multilateral institutions including World Bank, Organization for Security and Co-operation in Europe, and EC.
- f. Bilateral donors.
- g. Non-governmental organization partners.
- h. Local government agencies in locations where programmes are implemented.
- i. Selected principal beneficiary groups.

National evaluation capacity

123. There are no formal networks of national M&E experts in Albania. However, some donors indicated they had used local resources—often in combination with international experts - for their programmes' M&E activities. Some sector-level expertise exists in various line ministries, and such experts are periodically used in monitoring donor-assisted programmes. Similarly, some non-governmental organizations that are implementation partners for UN organizations indicated their involvement in M&E missions in Albania. Whether these persons or agencies require further orientation and grounding in M&E techniques needs to be assessed.

124. The local resources cited were generally sectoral and technical experts, rather than evaluation experts, who either had experience participating in evaluations and project assessments, or had technical expertise to contribute. Albania appears to have plenty of highly educated technical experts who are not currently engaged in specialized or public-sector work due to the economic situation and the high turnover rate of public-sector officials. With further orientation and grounding in M&E techniques, these experts could be used in future evaluations depending on each programme's specific requirements.

F. Overall Evaluability Assessment of the DAO Pilot

Evaluability of the results of the One UN Programme

125. The evaluability of the results of the One UN Programme rests on the following parameters:
- a. A clearly articulated Programme, with a clear strategic intent, and a results framework with indicators and means of verification.
 - b. Implementation modalities for joint programmes and inter-agency accountability and responsibilities for results delivery.
 - c. Smart, objectively verifiable results indicators for individual outcome areas and their components, agreed by all stakeholders.
 - d. Quality and reliability of baseline data to measure results and outcomes.
 - e. Adequacy and predictability of financial resources for the entire coverage of the Programme.
126. The mission's assessments of the evaluability of results of the One UN Programme under these parameters include the following:
- a. The strategic intent is clear, but should be better articulated in a mission statement for maximum strategic impact of DaO. The design of the programme is aligned with the expressed priority needs of the country and hence is expected to address them more effectively than previously. However, in terms of the forthcoming evaluation, UNCT and the government will need to clarify the relevance of UNDAF in light of the One UN Programme, which is both thematically broader and owned by a greater number of UN organizations.
 - b. The delineation of the UN value added and its comparative advantage (particularly in comparison to the EC), has not been articulated in terms of demonstrated record of accomplishment leading to credibility in priority areas, recognized technical expertise, system and agency capacity, and geographical presence⁵⁰. UNCT could more clearly articulate the UN value added and its comparative advantage, at least for the priority areas identified in the DaO programming process, so as to establish the parameters for future evaluation.
 - c. The overall approach of enlisting participation has been one of strategic focus, mapping the expertise areas of the UN system to the national development priority areas. As there are mechanisms to further the participation of various specialized agencies and NRAs, the results evaluation needs to examine how such mechanisms functioned to address the priority needs of the country. The evaluability in this respect is established, assuming that the processes of future reviews and consultations would be documented.

⁵⁰ Criteria produced by UNDGO to assess the UN comparative advantage.

- d. The results evaluation should pay a particular attention to the performance and impact of joint programmes in Albania, as they exemplify the benefits of the DaO pilot initiative at the programme level. The frameworks for mutual accountability and Code of Conduct for the RC and UNCT are yet to be formalized. These would need to include the principles and procedures for implementation of the joint programmes as well. Therefore, while the outcomes of joint programmes per se could be evaluable once the indicators and baselines are established, the assessment of implementation aspects (such as efficiencies and analysis of problems occurred) cannot be established at this stage.
- e. The One UN Programme M&E system is seen as an additional reporting requirement. The M&E Plan also provides that agency-specific M&E systems will continue to be used until the joint M&E system is established, or as long as agency-specific systems are required to provide feedback on contributions to the One UN Programme. The results evaluation should also examine the effect of multiple M&E frameworks stemming from agencies' internal requirements on the effective monitoring of the joint programmes.
- f. For individual outcome areas and their components, the indicators are not completed and hence cannot be commented—it is expected to be completed in a retreat (planned in for late February 2008), and the evaluability in this regard can only be fully established thereafter.
- g. The evaluability of development impact of the One UN Programme depends on the availability and reliability of national data and statistics on development indicators. The Programme is not fully evaluable in this respect, given the reported deficiencies in the national data system. Although improvements are expected—this may affect collection of accurate baseline data and eventual measurements of progress in some outcome areas.

Evaluability of the One UN Process

127. The DaO pilot initiative in Albania is making satisfactory progress on designing the four Ones. For the DaO pilot to be fully operational, there are some process elements that need to be in place. Once these elements are in place, the baseline situation for implementation of the pilot will be clearly established, and hence the process fully evaluable. It is also necessary to establish indicators for measuring the progress achieved and to monitor them thereon. Some suggestions in this regard are made later in this report.

128. For the proposed evaluation in mid 2009, it would be helpful if the remaining process elements were fully in place by June 2008, so that the pilot has at least one full year of implementation to enable a sufficient body of implementation experiences, covering planning, resource mobilization, execution and reporting aspects.

129. The pilot will be fully evaluable when all the following process elements are in place. Some of these elements are obviously outside the control of UNCT and therefore should be considered as external factors to UNCT.

One Leader

- a. Terms of Reference of the RC and UNDP Country Director.
- b. Mutual Accounting Responsibilities for the UNCT and RC.
- c. Code of Conduct for the UNCT and RC, including provisions addressing dispute settlement.
- d. Human resource selection procedures for joint programmes.
- e. One UN Communications Strategy (expected to be ready by March 2008) and identification of funding source for its implementation.

One Budget/ One Fund

- a. Fund allocation criteria for Coherence Fund resources (new guidelines expected to be finalized at the next JEC meeting in March 2008).
- b. Resource mobilization strategy for One UN Coherence Fund.
- c. Funds mobilization (closing fund gaps) for Work Plan 2008 (expected to be fully mobilized by April 2008).

One Programme

- a. Annual Work Plans for 2008 (expected to be finalized by March 2008).
- b. Results Indicators for One UN Programme (expected to be finalized following a retreat in end February 2008).
- c. Operational Guidelines for Joint Monitoring Missions.
- d. Joint Reporting Guidelines and Formats for JEC, Administrative Agency, Headquarters and Donors.
- e. Identification of staffing resources for M&E system.

One House/ Common Services

- a. Identification of suitable premises for UN House (new proposals awaited from the government).
- b. Long Term Agreements for common services (nine groups).
- c. Headquarters approvals, clearances and exemptions for extent of harmonization of agency procedures at local level under One UN Office concept.

Change management and capacity development

- a. Commonly agreed action plans for change management and capacity development (expected to be finalized at a retreat in March 2008).
- b. UN reforms process criteria under each One.

Overall assessment and key success factors

130. Overall, the DaO pilot initiative in Albania has created a framework and a mindset that enable the UN system to put its various expertise together in assisting the Government of Albania in achieving its development and integration objectives. The design of the One UN Programme and the mechanisms introduced are geared towards fulfilling the stated strategic intent of the initiative. There was also a change in the mindset of those involved (both UNCT and participating NRAs) to make a collective effort to achieve this goal. In addition, the government and UNCT are working in tandem to fulfill this objective.

131. In more concrete terms, the following changes are attributable to the DaO pilot initiative:

- a. The One UN Programme is now seen as the main operational framework for UNCT since a large part of UNDAF is already covered by the One UN Programme, and there is strong ownership by the government to consider it as the main instrument through which the assistance should be provided.
- b. There has been a shift from information sharing, inter-agency coordination and some joint activities to joint programmes and shared responsibility for achieving results. Under the One UN Programme, the joint programmes have become the norm rather than an exception.
- c. There is more emphasis on M&E with the establishment of the M&E Working Group, although this has been without government's participation or consultation thus far.
- d. There is more systematic inclusion of NRAs in programme formulation and implementation.
- e. There is a clearer understanding of overall financial needs and fund mobilization requirements.
- f. Targeted fund-raising with donors has increased at the country level. However, whether fund-raising will become less time-consuming and result in more core and predictable funding for all participating agencies (leading to less competition for funds) is not yet clear.
- g. Government involvement has been institutionalized in terms of governance and management of the Programme through the GMC, JEC and Inter-Ministerial Working Group. The effective functioning of these mechanisms and reduction of the government's transaction costs in dealing with the UN remains to be seen.
- h. In theory, there is better coordination and harmonization with other international development agencies, at least at the policy level, thanks to newly established Sector Working Groups.

- i. There are intangible gains from ‘Delivering as One’ in terms of team spirit and common identity.

132. One cannot expect immediate impact from such a large project as the DaO pilot initiative within one year of its inception. There are a number of milestones to be cleared and pitfalls to be avoided. Listed below are some key success factors, both internal and external, which could constitute the elements with which the DaO pilot initiative can be evaluated.

- a. Adherence to the Programme design and implementation arrangements already set in motion.
- b. Ability to continue to benefit from individual agency brands in addition to being part of the One UN.
- c. A commonly agreed UNCT and RC Code of Conduct for implementation and management of the Programme.
- d. Adequate internal capacities for implementing and managing the One UN Programme, including knowledge of EU accession procedures and standards as well as joint understanding of results-based management.
- e. Successful delivery of joint programmes, including at the minimum, timely completion of activities, smooth coordination and execution by participating agencies, and appropriate and efficient use of resources.
- f. Effective mobilization and participation of NRAs to address fully the government and developmental needs of Albania and to mobilize the full range of expertise in the UN system to this end.
- g. Satisfactory fund mobilization for the Coherence Fund: bridging of funding gaps for each year’s work plan; predictable and reliable funds that include trends in early allocations, multi-year commitments, and share of un-earmarked funding; diversity of supporting donors; non-diversion of funds from other pots; and more clarity on fund-raising mechanisms.
- h. Effective leadership of the RC amidst ambiguity on roles and authority structures—interpersonal skills, team management, and leadership that is earned rather than conferred.
- i. Timely, effective and coherent support from Headquarters and governing bodies to pilot initiatives: responsiveness to major guidance requests; degrees of freedom given to the pilots by virtue of their being ‘pilots’; and continued interest and commitment to the UN pilots at the higher levels of the system and based on a strategic vision, including the UN Secretary-General Continuity in the national policies, political leadership and government mechanisms, over the duration of the Programme, with continued emphasis on the basic development agenda within NSDI⁵¹.

⁵¹ National elections will take place in 2009.

Illustrative indicators for a process evaluation in 2009

133. A process evaluation for the pilots will be undertaken by UNEG in mid 2009. This will assess the pilot on implementation of design and the quality of implementation of the DaO pilot initiative, in terms of improved delivery of the UN system compared with the pre-pilot 'business as usual' situation, and improved efficiencies and internal coherence as a result of undertaking reforms characterized by the four Ones.

134. In July 2007, UNDGO prepared benchmarks, partly based on the report of the High-level Panel on System-wide Coherence, for consideration by the One UN pilots in devising their indicators for the various Ones. These benchmarks have been shared by the mission with the RC Office to be circulated to the M&E Working Group. Based on these benchmarks, a set of indicators suitably adapted to the Albania pilot have been proposed below to assist the M&E Working Group in finalizing indicators to serve as reference material for the proposed process evaluation in mid-2009. Evidently, the baselines and target values, as well as means of verification will need to be prepared by the M&E Group, and not by the mission.

Table 1: Illustrative One UN pilot indicators to support process evaluation in 2009

	Indicators/parameters suggested by UNDGO	Indicators suitably adapted to Albania context, and new indicators added
	One Programme	
1	Programme Document signed off by government. Country owned and responsive to national development priorities, including internationally agreed goals	One UN Programme signed by the government and participating UN organizations and notified officially Provisions and procedures for adjustments, modifications and amendments agreed
2	Building on CCA or national analysis and reflecting the UN added value in country specific context	Building on CCA and reflecting the UN added value in Albania
3	Strategic, focused, results based, with clear outcomes and priorities, while leaving flexibility to reallocate resources to changes in priorities	Outcome areas based on and respond to key national priorities and also internationally agreed goals and commitments Clarity and agreement among all participating agencies and the government on definition of results and milestones of achievement for each project/ activity group Provisions for review and adjustment of indicators based on changed scenarios and budget resources
4	Drawing on all UN services and expertise, including those of NRAs, in order to effectively deliver a multisectoral approach to development (with due attention to cross cutting issues)	Inclusiveness in design: opportunities for contributions for all UN organizations including NRAs and specialist agencies in programme design and formulation; number of agencies participating; number of NRAs and specialist agencies in programme Number of joint programmes (involving at least two UN organizations with continued substantial involvement (at least x percent of activities/resources) and jointly engaged in formulation, implementation and monitoring under a lead agency Share of One UN Programme resources accounted for by joint programmes (annual trends) Withdrawals by initially participating agencies from joint programmes Number of joint programmes executed as planned Share of individual agencies' country programme resources channeled through

		<p>One UN Programme</p> <p>Targeting—convergence of One UN and other agency interventions on common beneficiary groups (geographic regions and demographic groups)</p> <p>Synchronizing monitoring of schedules and calendars, resource sharing.</p>
	One Budgetary Framework/ One Fund	
5	Transparency, management and effective implementation of One Country Programme through One Budgetary Framework	<p>Setting up the One UN Coherence Fund and Administrative Agreements</p> <p>Integrated Results/Budget Framework for Programme developed with funding sources and coverage over entire implementation period</p> <p>Fund mobilization strategy and responsibilities identified and assigned</p>
6	Funding should be linked to performance of UNCT preparing and implementing a strategic One Country Programme.	<p>Fund allocation criteria for Coherence Fund resources developed and agreed by UNCT and Government of Albania</p> <p>Donor contributions to Coherence Fund adequate to cover funding gaps</p> <p>Share and volume of early pledges, multi-year pledges and un-earmarked pledges increase</p>
7	Budget should be completely transparent, showing clearly the overheads and transaction costs of the UN and all its funds, programmes and specialized agencies in the country	Format of One Budget Document indicates programme costs and agency overhead costs for each agency by project/ activity group
	One Leader	
8	RC authority to negotiate One Country Programme on behalf of entire UN system and to shape the programmes, including authority to allocate resources from pooled and central funding mechanisms	<p>Terms of Reference for RC for One UN pilots, specifying duties, responsibilities and authority, to be approved at Headquarters level</p> <p>Funding allocation criteria for programme areas for One UN Programme agreed by UNCT members</p> <p>Headquarters to confer authority of RC to allocate resources from pooled and central funding mechanisms</p>
9	Clear accountability framework for RC and effective oversight mechanism for RC system	Headquarters directions for 180 degree assessments of RC and UNCT
10	Competitive selection of RC candidates drawn from best talent	Not relevant presently in Albania as RC and Country Director are both already

	within and outside UN system	appointed
11	RC authority to hold members of team accountable to agreed outcomes and compliance with strategic plan; RC should also be accountable to members of UNCT	<p>Signing of Agreement/ Memorandum of Understanding between Heads of Agencies for Code of Conduct of UNCT/RC</p> <p>Delineation of RC and Country Director responsibilities at UNDP through terms of reference and Code of Conduct</p> <p>Outcome area accountability/responsibilities among UNCT members for implementation of One UN Programme</p> <p>Dispute settlement mechanism in case of bottlenecks in implementation</p> <p>Smooth functioning of implementation arrangements according to established mutual accountability guidelines and agreed codes of conduct (agency views)</p> <p>Timely use and completion of programme activities by all agencies involved according to agreed quality prescriptions</p>
12	Strengthened RC capacity with adequate staff support to manage UNCT and ensure effective dialogue and communication with partners	Staffing of RC Office for managing One UN pilot to be approved and appointed
	One Office	
13	One integrated results-based management system with integrated support services	<p>Agreements/ Memorandum of Understanding on number/ scope of common shared services among participating agencies outlining cost-sharing principles and modalities</p> <p>Common services administration and governance structures established</p> <p>Cost-benefits analysis monitoring formats to be agreed for common services</p> <p>Savings in administrative overheads in absolute terms</p> <p>Savings effected as percentage of Programme resources</p> <p>Number of reporting and administrative simplification proposals identified and recommended by UNCT/heads of agencies to regional or corporate Headquarters</p> <p>Number of reporting and administrative simplification proposals approved by agency Headquarters—aggregate and by agency and resultant cost savings</p> <p>Number of specific or one-time administrative exemptions and concessions</p>

		<p>approved by UN Headquarters for all eight One UN Pilots, and resultant cost savings</p> <p>Aggregate number of UN missions being met by government representatives</p> <p>Aggregate number of reports being prepared and sent to external stakeholders under the Programme as per existing Country Programme Action Plans</p> <p>Perceptions based on experiences reported by external stakeholders—implementing partners, government ministries, and donors in dealing with One UN compared to earlier.</p> <p>Other specific Development Assistance Committee indicators to be agreed with the government of Albania</p>
14	Joint premises	<p>Identification of premises for UN House</p> <p>Reduction in administrative cost/programme budget ratio</p> <p>Approval of premises by UN technical and security agencies</p> <p>Number of common services arrangements agreed by agencies</p> <p>Number of long-term agreements for pooled services signed with suppliers and service providers</p> <p>Reduced transaction costs for national counterparts</p> <p>Cost reductions and actual estimates from common services and management practices</p> <p>Savings in administrative overheads in absolute terms</p> <p>Savings effected as percentage of Programme resources</p> <p>Number of reporting and administrative simplification proposals identified and recommended by UNCT/heads of agencies to regional or corporate Head quarters</p> <p>Number of reporting and administrative simplification proposals approved by agency headquarters—aggregate and by agency and resultant cost savings</p> <p>Number of specific or one-time administrative exemptions and concessions approved by UN Headquarters for all eight One UN Pilots, and resultant cost savings</p>
15	Common security infrastructure and clear lines of accountability	<i>Covered under other indicators above</i>

Annex 1: Terms of Reference

UNEG Evaluation of DaO UN Pilots

Terms of reference for evaluability study in eight DaO Pilot Countries

(January -March 2008)

Background

In November 2006, the Secretary-General's High-level panel on UN System-wide coherence published the report 'Delivering as One'. It put forward a comprehensive set of recommendations including the establishment of One UN pilot initiatives at the country level, with One Leader, One Programme, One Budget, and where appropriate, One Office. The recommendations were largely grounded in General Assembly resolution 59/250 adopted in 2004, which provided guidance for joint offices and a rationalization of UN country presence.

The recommendations to establish pilots at the country level were met with great interest in the UN system, and by the end of December 2006, eight governments had expressed interest in joining this initiative. By February 2007, eight countries had asked the UNDP Administrator in his capacity of chair of the undg to support their pilot initiatives: Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay and Viet Nam.

Following discussions by the High-level Committee on Programmes (HLCP) on 20-21 March 2007, the Chief Executives Board, in its meeting in Geneva, Switzerland, on 20 April 2007, called on UNEG to undertake an evaluation of the pilots that would focus on design and progress, to be followed at a later date by an evaluation of results and impact¹.

To this end, UNEG established a management group to oversee the design and implementation of the evaluation, co-chaired by the heads of the evaluation services of UNICEF and FAO². A comprehensive process of consultations was initiated that resulted in the basic design of the evaluation. Main elements of the design were, as a first step, an evaluability study to be reported in March 2008 covering country and UN systemic mechanisms put in place for implementing the reforms. A second step would be a process evaluation of the pilot experience to be accomplished by September 2009. The last step would be an evaluation of the results and impacts of the pilot experience, for delivery to the HLCP by September 2011.

¹ Exact phrasing "called upon UNEG to urgently establish the substantive parameters and process for the evaluation of pilots, and requested to be kept fully informed of progress."

² A DaO evaluation interim manager/coordinator was appointed as from 1 January 2008 who is a senior staff member of the Evaluation Office of UNICEF.

At its meeting on 20-21 September 2007, the HLCP endorsed the overall evaluation in its report to the Chief Executives Board as well as the first step, an assessment of the evaluability of the Delivering as One Initiative by March 2008. This study would assess the process to date, plans, targets and tools. The study would provide lessons and independent advice to country teams to improve the quality of their planning. UNEG agreed that “the evaluability study to be completed in March 2008 would be substantive and would examine both the scope of the plans drawn up by country teams and criteria such as those indicated by members of the HLCP (including, inclusivity, diversity, openness of the process and how the single programme corresponded to national priorities)”. This same meeting stressed the need for timely feedback from evaluation for management decision making on the future of Delivering as One.

The evaluability studies to be conducted by UNEG will benefit from a separate initiative launched by the Deputy Secretary-General to request governments of the eight pilot countries to provide additional information on the anticipated benefits and impact on national ownership so far. These assessments by governments will be complemented by a ‘stocktaking’ exercise to be conducted by the chair of the UNDG with UNCTs and organizations overseeing the pilots.

The new resolution of the Triennial Comprehensive Policy Review adopted by the General Assembly on 18 December 2007 encourages the Secretary-General to support programme country pilots countries to evaluate and exchange their experiences with the support of UNEG. The emphasis is hence on UN system support to the evaluation by the programme countries themselves. In addition, the resolution calls for an independent evaluation of lessons learned from these efforts for consideration of Member States, without prejudice to a future inter-governmental decision.

The self-assessments of the DaO pilots by the governments of the eight countries are now fully mandated by the Triennial Comprehensive Policy Review and provide an important frame of reference for the UNEG evaluability studies. On the one hand, the UNEG evaluation process will closely follow these self-assessments and possible exchanges of experiences among DaO pilot countries. On the other hand, emerging findings of the UNEG evaluability studies can be brought to the attention of DaO pilot countries and contribute to the self-assessments.

Evaluation of the DaO Programme and pilots (2007-2011)

The main elements of the evaluation design include the following:

- a) An evaluability study to be carried out at the country and UN systemic levels, that is, a technical assessment of design of the pilots and mechanisms put in place for implementing the reforms (mission reports are to be made available as soon as possible and the synthesis report is due in March 2008)³.
- b) In 2009, a synthesis of the self-assessments done by the pilots during 2008 and a UN systemic process evaluation of the pilot initiative for delivery to the HLCP (the synthesis

³ Due to a delay in the start-up of the DaO evaluation process and constraints to the planning of country visits the overall study is not likely to be completed before the end of April 2008.

report is due in September 2009 and will contribute to the preparation of the Triennial Comprehensive Policy Review⁴ of 2010).

- c) An overall evaluation of the results and impacts of the pilot experience, for submission to the HLCP (due in September 2010/2011).

First step: Conduct of evaluability studies (January-March 2008)

The evaluability study of the Delivering as One of each of the pilots and as a whole is a technical assessment of the basic parameters that will make it possible to fully evaluate at a later stage both the results of the programmes and of the pilots, and of the processes that will lead to these results. These parameters comprise:

- a) Quality of the design for the achievement of results, that is, the existence of clear objectives and indicators to measure results at a later stage.
- b) Initial appraisal of processes for the optimal involvement of relevant national and international stakeholders (including the governments of recipient countries; civil society; the private sector; UN funds, programmes and specialized agencies; and external aid agencies).
- c) Existence of adequate sources of information to assess the achievement of results and indicators as well as of the required processes.
- d) National ownership and leadership in the evaluation process, identification of independent and credible evaluators in pilot countries who can be involved in the evaluation of process and results of the Delivering as One pilots at a later stage.

The purposes and objectives of the evaluability study include the following:

- a) Support governments and other stakeholders in the pilot countries as well UNCTs and the UN development system in identifying strengths and weaknesses in the design of their respective Delivering as One initiatives to inform immediate corrective measures, monitor progress and enable self-assessments.
- b) Allow governments, other stakeholders as well as the UNCT and the UN development system to receive immediate feedback on processes for the involvement of relevant and international stakeholders.
- c) Allow stakeholders to establish baselines and progress measurement during the implementation of the pilots for the assessment of results achievement.
- d) Allow governments, other stakeholders, and the UN development system as well as UNEG to identify national evaluators in pilot countries.

⁴ The Triennial Comprehensive Policy Review was undertaken by the Economic & Social Committee of the United Nations.

- e) Allow UNEG to compile information from all eight pilot countries and to synthesize information as part of a comprehensive evaluability study that will facilitate the planning of subsequent stages of the overall evaluation.

Conduct of evaluability study field missions to pilot countries (January-March 2008)

The field missions to pilot countries will take place within a very short timeframe (January-March 2008). Due to time constraints, some will have to take place in parallel.

The field missions to pilot countries will be consultative of the national government, other national and external stakeholders, all members of the UNCT and, where possible, NRAs and funding agencies.

The mission will begin its work with a series of briefings on the UNEG evaluation and will hold wind-up sessions to share its main findings and conclusions with the main stakeholders in line with purposes and objectives described above.

The reports of the missions will be provided to the UNEG coordinator within 10 days of the completion of the country visit (period to be adjusted where country visits are organized back-to-back). The reports will be structured around the parameters of the evaluability study described above. UNEG will share the reports with concerned stakeholders as soon as possible.

Requests from UNCTs to address weaknesses and shortcomings in the design and process of the Delivering as One will be shared with appropriate support mechanisms, for example UNDGO.

Conduct of the evaluability study of the UN system support to Delivering as One (January-March 2008)

Measures taken by the UN organizations to support the Delivering as One initiative will be mapped. The evaluations done by UN organizations in order to distill lessons and best practices will be reviewed. The information gathered will enable UNEG to prepare the evaluation design of the process evaluation to be conducted during 2008-2009 on the readiness of the whole UN system to support the Delivering as One Initiative.

The report to be submitted in March 2008 will cover the adequacy of the scope of the plans drawn by the UNCTs and the UN system as a whole. It will include the criteria indicated by HLCP (for example, response to national needs and priorities, inclusiveness, diversity and openness of the process).

Annex 1.a Mission checklist and coverage of the reports of the field missions

A. Basic facts—history, context and scope of the DaO pilot

- a. What was the pre-pilot situation with respect to CCA, UNDAF and the RC system?
- b. When and how was the DaO pilot conceptualized and how has it been implemented? Which national stakeholders are involved in the process (government, civil society, private sector)?
- c. What are the priorities of the government concerning DaO?
- d. What has changed since the pilot started? What has been the progress in the implementation of the ‘Ones’?
- e. What organizations are members of the UNCT? What is the role of NRAs?
- f. What is the size of the UN programme, its main characteristics and its relative importance to the country (taking into account ODA, South-South cooperation, etc.)?

B. Assessment of the substantive design of the DaO pilot (4-5 pages)

- a. What is the vision of the government and other national partners concerning DaO and what are specific expectations?
- b. To what extent does the UN system respond to specific needs and priorities of the country? How ‘tailor-made’ is the UN contribution?
- c. What is the relationship of the DaO pilot with national development plans and strategies (including poverty reduction strategy papers, sector-wide approaches, and national plans related to internationally agreed development goals, including the MDGs)?
- d. To what extent is there a strategic intent for the totality of the contribution of the UN development system?
- e. What is the relationship of the DaO pilot with other forms of external aid (e.g., budget support)?
- f. How ‘SMART’ (specific, measurable, achievable, relevant and time bound) are the objectives and indicators of the DaO pilot?
- g. How adequate is the M&E system?
- h. What other parameters need to be taken into consideration to assess the design of the DaO pilot?

C. Initial assessment of the DaO pilot processes and implementation (4-5 pages)

- a. To the extent that there is a formal agreement between the government and the UN development system concerning the objectives, the plan, and at what level in government decisions are being taken, what are the scope and main features of that agreement?
- b. What is the process in place at the national level to plan and develop the pilot concerning, for example, interaction between various parts and levels of government and the UN system, interaction of the UN system with other national stakeholders (civil society, private sector), and interaction between the UN system and other external aid agencies?
- c. How does the UN system interact with other forms of external aid (OECD-DAC and South/South)? How is the UN system perceived by other partners?
- d. How are needs and priorities of the countries reflected? What needs to be responded to by NRAs of the UN development system?
- e. How is joint programming conducted (CCA/UNDAF)? What is the importance of joint programmes?
- f. What support has there been to the process from undg, undgo and from UN regional teams and Headquarters?
- g. What has been the progress in the implementation of the Ones (One Programme, One Leader, One Budgetary Framework, One Office)?
- h. To what extent do the support systems (for example, financial and administrative procedures, human resources, information technology, procurement) support the DaO?
- i. How can the cost of the DaO pilot be assessed? How is the cost perceived by different stakeholders?
- j. What are the basic parameters that need to guide an ulterior evaluation of process?

D. Assessment of the adequacy of sources of information

- a. What are the key documents that guide the DaO pilot (government policies and strategies, UN programme documents, budgetary frameworks, documents of individual UN organizations, etc.)?
- b. What national and international stakeholders need to be interviewed for a full-fledged process evaluation?
- c. What other methods (apart from document review and interviews) should be considered to allow for greater triangulation and objectivity of information (e.g., field visits, surveys)?

Note: The mission will also contact national institutions and individuals that are specialized in evaluation and that can potentially play a role in subsequent stages of the evaluation process.

Annex 1.b Views of stakeholders on the start-up process

The mission will meet with representatives of government, the UN system and other major stakeholders, including donors and seek their views on the following.

Objectives and strategic intent of the One UN pilots and the coordinated or joint programme:

- a. Are all agencies and the government well aware of the objectives and strategic intent?
- b. Do all agencies and the government agree on what the objectives of the pilot are?
- c. If not, what are the divergent views?
- d. Do all partners fully subscribe to the objectives?

With respect to plan(s) for achieving the objectives of the pilot, the coordinated or joint programme, budget and relationship to the government and UN priorities:

- a. Are all partners fully aware of the content and the implications?
- b. Do all partners subscribe to the plans, budgets, etc.?
- c. If any, what are the divergences of view?

One Leader:

- a. How is this working in practice?

Participation and process:

- a. What is the level of participation as viewed by each of the stakeholders, for their own participation and for the participation of others?
- b. What is the level of satisfaction of each of the stakeholders with the system in place for development of concepts and plans and for decision making?

Support:

- a. What is the level of satisfaction with the central UN system guidance, support with tools and methods, and monitoring and reporting requirements?
- b. Individual agencies of the UN system?
- c. How do concerned government departments view their roles in the pilot?

Annex 2: Key documents consulted

Documents provided by UNRC office in Albania

Comments from Ministers on the Draft One UN Programme, 19 September 2007.

‘Communications for Change Report’, 6 December 2007.

‘Concept Note—Joint Programme on Gender’.

Draft Notes on Consultation with Donors

Final Notes on Joint Consultation with Government, 16 July 2007.

‘Fund Allocation Criteria—Albania’, draft.

Joint Executive Committee (signed)

Letter of Acknowledgment—Norway Suites

Letter from Albanian Deputy Prime Minister on Stocktaking

Memorandum of Understanding—One UN Coherence Fund

M & E Consultant Rapid on Outcome Indications (Paul Balogun)

National Strategy for Development and Integration

One UN Communication—Albania

‘Resident Coordinators’ Accountability Framework’, final draft, January 2008.

Speaking on One Albania

Terms of Reference—Albania Operations Management Team