**UNEG**
United Nations Evaluation Group

# UNEG Evaluation of the Pilot Initiative for Delivering as One

# Evaluability Assessment Report on Uruguay

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## Acronyms and Abbreviations

| | |
|---|---|
| CCA | Common Country Assessment |
| CEB | Chief Executives Board |
| CSO | Civil Society Organization |
| DaO | Delivering as One UN |
| ECLAC | Economic Commission for Latin America and the Caribbean |
| FAO | Food and Agriculture Organization |
| GoU | Government of Uruguay |
| HLCP | High-level Committee on Programmes |
| IFAD | International Fund for Agricultural Development |
| ILO | International Labour Organization |
| IOM | International Organization for Migration |
| M&E | Monitoring and Evaluation |
| MDG | Millennium Development Goals |
| NRA | Non-resident Agency |
| OPP | Planning and Budget Office of the Presidency of the Republic (Oficina de Planeamiento y Presupuesto) |
| PAHO | Pan American Health Organization |
| SMART | Specific, Measurable, Attainable, Relevant and Time-bound |
| SWOT | Strengths, Weaknesses, Risks and Opportunities |
| RC | Resident Coordinator |
| TCPR | Triennial Comprehensive Policy Review |
| 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 |
| UNDP | United Nations Development Programme |
| UNEG | United Nations Evaluation Group |
| UNEP | United Nations Environmental Programme |

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| UNESCO | United Nations Educational, Scientific and Cultural Organization |
| UNFPA | United Nations Population Fund |
| UN-HABITAT | United Nations Human Settlements Programme |
| UNHCR | United Nations High Commission for Refugees |
| 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 |
| UNOPS | United Nations Office for Project Services |
| UNV | United Nations Volunteers |
| USD | United States Dollar |
| UNWTO | United Nations World Tourism Organization |
| WHO | World Health Organisation |

# Executive Summary

## History, context and scope

1.      The implementation of the reform process to harmonize programming of UN organizations began in Uruguay in early 2005 with the preparation of the Common Country Assessment (CCA) as a base to design the United Nations Development Assistance Framework (UNDAF) 2007-2010. This happened simultaneously with the accession of the new national government in March 2005. This made it possible for the UN system to work on the basis of the national priorities set forth by the government at the beginning of its term of office.

2.      The UNDAF 2007-2010 was the first UNDAF for Uruguay. This is proof of the commitment of those involved, as it is not mandatory to prepare a UNDAF in middle-income countries. The UNDAF was signed on 28 April 2006 by nine UN organizations, the World Bank and the Director of the Planning and Budget Office of the Presidency of the Republic (OPP) on behalf of the Government of Uruguay (GoU). The GoU assumed a proactive role in the elaboration of the One Programme. It encompasses 63 outputs; 54 of these are taken from the 100 outputs under the four outcomes of the UNDAF, and nine are new joint outputs matching state priorities. The nine joint outputs are still subject to a funding gap. So far USD 4.43 million of a total of USD 15 million has been pledged.

## *National ownership and leadership*

3.      The Delivering as One United Nations (DaO) pilot initiative has been steered by two state agencies—the OPP and the Ministry of Foreign Affairs—and by the support of the UN Resident Coordinator (RC) as the leader of the United Nations Country Team (UNCT). The One Programme for 2007-2010 was signed by the GoU and the UN system in Uruguay on 19 October 2007. The GoU has demonstrated strong ownership and leadership, in particular in defining the nine additional outputs, and is prepared to assume an increasing lead. A One Programme Steering Committee met in December 2007, composed of the RC, participating UN organizations and the GoU through the OPP.

4.      The One Programme is composed of 54 outputs that are part of the UNDAF and nine outputs funded through the One Coherence Fund. The projects contributing to those nine outputs are currently in their formulation phase[1]. However, it is expected that the GoU will continue to show ownership through the fine-tuning of the programme and the implementation of these nine outputs, as well as in the monitoring process. The OPP is pointing to evaluation capacity building as one of the most pressing demands in their process of state reform.

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[1] Editorial note: At the time of the mission, the projects were at the formulation stage. According to updated communications from the RC Office, during the elaboration of this report, the projects are now in the implementation stage.

## Inclusiveness of other national stakeholders

5.      A mechanism for participation of civil society was established in the course of the round-table discussions of the Millennium Development Goals (MDGs) in 2005. This mechanism was not set forth in the preparation of the One Programme, as the GoU and the UNCT wanted to first define the priorities of the Programme before opening the participatory process. The civil society organizations (CSOs) perceive their involvement and participation in the overall design of the One Programme so far as rather limited. A meeting took place at the end of 2007 to inform civil society about the DaO experience and progress. There is no formalized dialogue or forum for participation of civil society in the DaO process.

## Inclusiveness of UN stakeholders

6.      The DaO initiative, in particular the development of the One Programme, has brought UN organizations in Uruguay closer together. The One Programme is highly inclusive in respect to non-resident agencies (NRAs) and specialized agencies, their representation in the UNCT and in the joint work in projects.

7.      The One Programme has 18 signatory agencies, almost double the number of signatories of the UNDAF (which had 10). UNDAF was signed by the national government; the UN RC/UN Resident Representative of UNDP/UNFPA; World Bank; seven UN organizations (FAO, IMF, ILO/Cinterfor[2], PAHO/WHO, UNESCO, UNIDO, UNICEF); and IOM, a non UN organization member of the UNCT. The One Programme Document was signed by ECLAC, FAO, IFAD, ILO, IOM, UNAIDS, UNDP, UNEP, UNESCO, UNFPA, UN-HABITAT, UNHCR, UNICEF, UNIDO, UNIFEM, UNODC, UNOPS and UNWTO[3]. The signatories are members of the UNCT. Compared to the UNDAF, there was a high number of NRA signatories. This demonstrates the change triggered by DaO and the inclusiveness of the DaO approach in Uruguay.

8.      IFAD is considering opening a country office with a country programme of USD 20 million for rural development. UNOPS and UNIFEM have recently opened offices in Uruguay and UNEP has hired a consultant as liaison officer who is based in the same premises as the RC Office. These are also indicators of inclusiveness of the DaO design towards NRAs.

## Joint programming and joint programmes

9.      With the development of the UNDAF, a change has taken place from joint programmes (a summary of existing projects of signatory agencies under a certain number of thematic priorities) towards joint programming (in which UN organizations work jointly on formulating and implementing outputs). This approach has also been fostered by the MDG Achievement Fund funded by Spain for all DaO pilot countries. Though financially separate and not contributing to the funding gap, the project awarded under the thematic window 'culture and development' is thematically linked to some of the nine outputs to be

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[2] The Inter-American Center for Knowledge and Vocational Training.

[3] These organizations are spelled out in full in the list of Acronyms and Abbreviations.

financed by the Coherence Fund. So far, the experience with these outputs relates to programme formulation. Successful implementation will be the core element of the success of the DaO initiative.

## Assessing progress on implementing the four Ones

### One Programme

10.     The One Programme Document in Uruguay was signed in October 2007. The process is still in the formulation stage as far as the nine new outputs and preliminary procedures are in place. A work plan for the RC Office has been shared in a draft version, but no work plan was available for the One Programme. The following are the identified next steps: definition of lead, implementing and associated UN organizations in the implementation phase; fine-tuning the joint work on the nine outputs; and agreeing on a strategic approach to closing the funding gap.

11.     Regarding the implementation of the One Programme, concerns have been raised by some members of the UNCT, particularly regarding the joint outputs (in particular the nine new outputs) under the One Programme, which do not necessarily reflect the priorities of the individual UN organizations.

### One Budget

12.     A UN Coherence Fund and a Transformation Fund were established, the former channeling the funds through UN Headquarters level by the UN 'pass through' modality. In this modality, donors and participating UN organizations agree to channel the funds through one UN organization, the designated Administrative Agent. The Administrative Agent is responsible for financial management as well as the preparation of narrative and financial reports to donors and partners. Spain and Norway have contributed to the UN Coherence Fund (for all eight DaO pilots), and the Netherlands has contributed to the Transformation Fund, intended to strengthen country level coordination.

13.     The level of overhead cost is still subject to discussion between the UN system and the GoU. The government expressed interest in assuming a lead role in implementation, whereas the UN is mainly seen as a provider of technical counseling capacity. This subject is directly related to the centralized procedures of the UN system, thus the solution will not to be found at the country level but at the UN central level.

14.     An Output and Resources Table is part of the One Programme Document. USD 10 million corresponding to approximately 60 percent of the funding gap will have to be pledged to put additional joint projects in motion. In this context, the demand of the donors for accountability towards their governments has been clearly expressed and requires action, particularly from the RC Office. An indicator of ownership of the DaO process by the UNCT would be the willingness of UN organizations to contribute from their resources to close the funding gap. However, this decision is usually made at the Headquarters level rather than by the UNCT.

### One Office

15.     The One Office is the least pressing aspect of the DaO initiative in Uruguay. Montevideo is a small city with light traffic. A working group of operations divisions of various UN organizations has

carried out a stocktaking exercise for main services and products purchased. An analysis is in progress related to cost reduction potential. There are perceived benefits of working in the same premises, as underpinned by the new agencies that moved to share the office with UNDP (the RC Office, UNFPA, UNIFEM and UNOPS). Other agencies emphasized the increased requirements for and cost of security in case of a One Office due to the enhanced risk of being target for aggressions and increased rental cost.

16.     A major challenge for the One Office and DaO is the harmonization of management practices. There is little or no harmonization of procedures, such as budget framework, management and financial reporting, and monitoring systems. Furthermore, some UN organizations can make decisions at the country level that other agencies have to make at the regional or Headquarters level, which slows down processes. There is an important role regarding the One Office at Headquarters level of UN organizations that impacts to what extent efforts at the country level will be successful. The harmonization of procedures at Headquarters level would indicate UN system commitment beyond the eight pilot countries.

### *One Leader*

17.     The current RC is appreciated by the UNCT in the role he has played in the DaO process. However, this aspect of the DaO appears to be the most controversial. A concept note setting out the role of the RC (among other aspects) has not been endorsed by the UNCT and is still trying to find consensus. The roles of RC and UNDP Country Director, earlier assumed by the same person, have been separated to build a firewall. Nevertheless, the fact that the RC is also the UN Resident Representative, and thus in hierarchical superiority to the Country Directors of UNDP and UNFPA, was flagged as a potential conflict of interest.

## Evaluability assessment

18.     DaO in Uruguay is still at an early stage. It is finalizing the formulation of the nine new outputs and their components, starting with a stocktaking exercise for the Monitoring and Evaluation (M&E) system, and discussing how first steps are to be implemented.

### *Design*

19.     The design of the One Programme shows agreement with the UNDAF and is aligned with the three main strategic areas defined by the GoU and the national priorities of the UNDAF. The strategic intent of the One Programme - UN system support for the formulation and implementation of Uruguay's public policies - is found in the One Programme Document. This intent is shared by the GoU representatives and the RC Office. Moreover, the GoU perceives the One Programme as an opportunity for the UN system to use its joint expertise in tackling the challenges identified as outcomes in the One Programme. However, there is not a shared understanding of the strategic intent of the One Programme by all the UNCT members and civil society[4]. The strategic intent is described in rather general terms at the level of public policies and refers to overall objectives rather than to the means to achieve these

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[4] During the mission, more than 35 representatives of UN organizations and four representatives of CSOs were interviewed.

objectives. Open issues need to be discussed so that the UNCT will sign the DaO concept note (drafted in April 2007 and only validated by the RC) as a statement on strategic intent of DaO in Uruguay.

## *Mainstreaming*

20.    Even though the One Programme has defined some outputs on gender equality and human rights, little information has been received about how the three cross-cutting themes of UNDAF and the One Programme - human rights, gender equality and local development - are to be integrated into the implementation of the One Programme. In order to improve the effectiveness of the One Programme and to comply with the Triennial Comprehensive Policy Review (TCPR) resolution 2007, it is strongly recommended that these horizontal priorities be clearly mainstreamed in the current formulation of the nine joint outputs and related projects, fostering expertise from specialized agencies and CSOs, and that specific benchmarks be introduced in this regard for future M&E.

## *Inclusiveness of CSOs*

21.    Civil society should be involved in formulating the nine outputs and their 35 modules, and formal mechanisms of consultation and dialogue should be established. This would not only enhance national ownership, but also result in acquiring specific expertise from the organizations, thus fulfilling the UN mandate.

## *Coherence of programme design*

22.    The One Programme design has multiple levels of results in a complex structure: four UNDAF challenges, three levels of interventions established in the One Programme, four outcomes, and 63 outputs. Of the 63 outputs, nine outputs have 35 components. There is a need to simplify and improve internal communication on and coherence between these levels, especially at the level of the outputs and projects, in order to improve the quality of design and to establish the contribution from one level to the higher one.

## *Results orientation*

23.    The current design of the One Programme does not clearly follow a results-orientation with SMART (specific, measurable, attainable, relevant, and time-bound) objectives. This will make it difficult for the UNCT and GoU to assess progress towards outcomes and to evaluate the impact of the One Programme.

## *M&E system*

24.    Work on the M&E system for the One Programme began in the fourth quarter of 2007, but it has not been fully developed. The first step of gathering information about existing systems and indicators at the agency level has been taken. The DaO pilot in Uruguay will only be able to demonstrate results if the design of the One Programme is results-oriented, that is, if there are adequate monitoring systems in place that can measure results at the output, outcome and impact level. Quality and reliability of baseline data to measure results and outcomes determine the availability and the quality of monitoring results.

25.     A small but high profile working group on M&E should be established to work jointly on the design, ideally made up of representatives of Government and UN organizations that have specialized M&E experience or are involved in the implementation of the joint projects. It is important that this approach has buy in from the Headquarters of the involved agencies, as it will likely require increased effort and human resources. For indicators on development, the lead agency, associated agencies, involved line ministries and the OPP should contribute. It is also recommended to look for existing capacities within the UN system such as the regional and central M&E capacity of IFAD, ILO, UNDP and UNICEF and involve them in the development of the M&E system.

26.     Irrespective of the delays in the development of an M&E system, now is a good time to take corrective action, as the nine new outputs of the One Programme are still in the formulation phase and the monitoring system can be developed in one holistic process, ideally aligned with the UN system and the GoU and OPP.

## *DaO evaluations*

27.     The composition of the evaluation teams for the mid-term and final evaluation of DaO still need to be discussed and agreed upon. The One Programme Document states that the team should consist of "an official from the Resident Coordinator's Office, two officials from the UN system and an expert in follow-up and evaluation from OPP". In evaluation terminology, these evaluations would be considered as internal evaluations.

28.     For accountability and transparency, an external team accompanied by in-country specialists should be considered to make joint external evaluations, with GoU and the UN system being the evaluation managers and an external consultancy firm being the evaluation team leader. The mid-term evaluation of UNDAF and One Programme, originally scheduled for the last quarter of 2008, should be aligned with the systemic process evaluation of the DaO pilot initiative in Uruguay to improve efficiency. In order to be able to evaluate progress towards results, these exercises should be aligned and scheduled for the first semester of 2009.

29.     The UNCT should invest in evaluation capacity building within each of the agencies of the UN system in Uruguay. It is important to first build on existing expertise within the UNCT - both resident agencies and NRAs at the national, regional and global level. An evaluation capacity building strategy should be developed with the support of the UN Evaluation Group (UNEG). The One Programme evaluation parameters should also include the process of establishing a partnership with GoU (and relevant CSOs where appropriate). This capacity building should be conducted in all DaO pilot countries in order to make results and lessons learned comparable and to share experiences.

30.     The development of an M&E system is a resource demanding exercise. All available knowledge and expertise within resident and non-resident UN organizations at the country, regional and Headquarters level should be combined. There is also a funding requirement for setting up the system. A decision should be made about how the design of the system will be financed and sufficient resources should be set aside. Cost for running the M&E system, once established, can be allocated within the budget of the One Programme.

## *Implementation*

31.     So far, implementation modalities have not been agreed upon between the RC, UNCT and the GoU. The funding gap of USD 15 million is not yet been closed[5]. A resource mobilization strategy for the One Coherence Fund should be developed at national and Headquarters level for fund mobilization for joint projects under the Work Plan 2008 and until 2010.

## *Inclusiveness of NRAs*

32.     Even though the number of NRAs joining the One Programme has increased in comparison to the UNDAF (including an increased contribution of human and financial resources, and increased participation in the UNCT decision-making processes), NRA participation in the formulation and implementation of the project could be strengthened. The involvement of the associated agencies in the formulation process and the distribution of projects and programmes to lead and associated agencies in the implementation phase could and should be more participatory. The mechanism for establishing the role of lead, implementer and associated UN organizations involved in the nine outputs and 35 modules and alignment of agency interests with the joint programming and implementation should be discussed with more clarity.

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[5] Editorial note: However, after the mission took place, the RC Office indicated that it was not intended to close the funding gap in the first year of implementation of the One Programme, but rather that this is understood as a process of meeting the annual financial commitments.

# A. Introduction

## Background

33.	In November 2006, the Secretary-General's High-level Panel on United Nations System-wide Coherence published its report titled 'Delivering as One', which 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 grounded in General Assembly resolution 59/250 adopted in 2004, which provided guidance for joint offices and a rationalization of UN country presence.

34.	The recommendations to establish pilots at the country level were met with interest in the UN system. By the end of December 2006, eight governments had expressed interest in joining this initiative: Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay and Viet Nam. The Deputy Secretary-General and the chair of the United Nations Development Group (UNDG) committed support to these pilot countries and considered a rapid increase in the number of pilot initiatives as of 2008[6,7.]

35.	Following discussions by the High-level Committee on Programmes (HLCP) on 20-21 March 2007, during a Chief Executives Board (CEB) meeting in Geneva on 20 April 2007, the CEB called on the UNEG to undertake an evaluation of the pilots that would focus on progress, to be followed at a later date by an evaluation of results and impact[8]. Subsequently, the UNEG decided on a three-phase approach: a) an assessment of the evaluability of DaO by March 2008 at the country and UN systemic levels; b) an independent process evaluation of the pilot experience to be completed by September 2009; and c) an independent evaluation of the results and impacts of the pilot experience by September 2011.

## Objectives and purpose of the mission

36.	The evaluability study of the DaO pilots 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 pilots and the processes that led to these results. The parameters include the following:

   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.

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[6] An informal process of consultations among Member States took place during the 62nd Session of the General Assembly and will continue during the 63rd Session. A majority of Member Countries opposed a rapid expansion of the process.

[7] Even though the decision to have pilot initiatives was made by the former Secretary-General, support from the present Secretary-General for the process was made explicit only in April 2007.

[8] The exact phrasing was "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".

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 and identification of independent and credible evaluators in pilot countries who can be involved in the evaluation of process and results of the DaO pilots at a later stage.

## Mission dates and team composition

37.     The evaluability mission in Uruguay took place 25-29 February 2008. The purpose and objectives of the mission are set out in the Terms of Reference (Annex 1). The independent evaluability assessment team comprised of two senior staff members of evaluation units of UN organizations, Ms. Belen Sanz Luque (Team Leader) and Mr. Francisco Guzman, both representing UNEG; and one external senior consultant, Ms. Monika Zabel from crossXculture consulting. The work was commissioned by UNEG. Ms. Sanz coordinated the mission and Ms. Zabel drafted the evaluability assessment report.

## The mission programme and its limitations

38.     The following methods were applied to compile this report: desk review; individual and group interviews with representatives of the GoU, UN organizations (Executive Committee agencies, specialized agencies, resident agencies and NRAs), donors and lenders in country, and CSOs, a structured mail survey to UN organizations active in Uruguay. The mission started with a briefing of the RC and representatives of the GoU in separate meetings and a debriefing of the RC with presentation of preliminary mission findings.

39.     The mission programme is attached in Annex 2. Five questionnaires were returned by NRAs (all signatories of the One Programme) at arrival of the mission team[9].

40.     The OPP and the Ministry of Foreign Affairs were the only GoU sources for interviews. While the time allocated by the GoU for meetings was appreciated, the opportunity to also meet focal points within relevant line ministries to get a first-hand account of their perception of DaO and their relationship with UN organizations in Uruguay, would have been welcomed[10]. On the UN side, the UNCT and the UN organizations were interviewed. Opportunity for triangulation remained thus limited.

41.     Documents regarding the GoU monitoring system on public policies currently under development were sent by the OPP after the team had completed the mission. The system appears to be in a very early

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[9] IFAD, UNAIDS, UN-HABITAT, UNEP and UNWTO.

[10] GoU requested the evaluability mission meet with OPP and the Ministry of Foreign Affairs only and not directly with line ministries.

stage of development, since documents consisted of first attempts at activity-level indicators for some of the outputs[11].

## Acknowledgements

42.     The team thanks the RC, Mr. Pablo Mandeville, and the team of the RC Office for the support provided prior to and during the mission in Uruguay. Without this support, the mission would not have been able to proceed so efficiently. We also thank the GoU, represented by the Ministry of Foreign Affairs and the OPP, for the views shared with the team. Many thanks as well to the UNCT members, CSO representatives, representatives of donor countries, and the staff of UN organizations who participated in interviews.

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[11] Editorial note: After the mission took place, the RC Office noted that both the UNCT and the GoU had progressed in the design of an M&E framework that will allow the assessment of results, including indicators and means of verifications. Given the *post-facto* nature of this information, the team was not able to analyze such progress.

# B. History, context and scope of DaO in Uruguay

## History

43.     Negotiations about the DaO pilot in Uruguay started in early 2007. In October 2007, the UNCT reached a common agreement with the government on the contents and characteristics of the One Programme. On 5 December 2007, the Minister of Foreign Affairs, the Director of the OPP, and the RC presented the One Programme, based on the strategic priorities identified within the 2007-2010 UNDAF. The government representatives and the RC pointed out that the implementation of the One Programme will strengthen the efficiency and impact of the cooperation provided by the UN system in Uruguay by operating within a framework of enhanced coherence.

44.     The RC has noted that the One Programme constitutes the core objectives of the UN DaO initiative. Likewise, the GoU sees the programme as "essential for the government and the United Nations", because it would allow both partners to move forward with important transformations in the approach to development assistance.

## Country context and national policies

45.     Among the eight pilot countries of DaO, Uruguay is the only country in Latin America and the only middle-income country. Uruguay is also the only country of the DaO pilots that, to date, has not signed the Paris Declaration on Aid Effectiveness[12].

46.     Representatives of the UN system and the GoU advocate to take into account the concept of 'borderline countries', in which indicators other than per capita income should be taken into consideration when defining cooperation strategies. Borderline countries such as Uruguay combine high human development indicators with acute vulnerabilities in key areas: low investment and growth rates; institutional weaknesses regarding design, implementation and coordination of public policies; gaps in national capacities; and social and economic inequalities.

47.     Uruguay is a relatively open and small economy with approximately 3.5 million citizens. Due to its geographical situation, it is largely dependent on the neighboring larger economies of Argentina and Brazil. These countries are also its main commercial partners in the *Mercado Común del Sur[13]*. The economic structure of Uruguay has changed during the last 15 years. The service sector has increased continuously while the manufacturing sector has decreased. Primary products remain the most important production, thus making the national economy vulnerable to world market conditions[14].

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[12] The dates on discussion and signature of the Paris Declaration coincided with the post-election period in Uruguay in early March 2005, where the newly elected president and his cabinet assumed their duties.

[13] The *Mercado Común del Sur* is made up of Argentina, Brazil, Paraguay and Uruguay and aims to fight poverty and improve socio-economic development in the region.

[14] Brief Uruguay, part of the mission briefing package, February 2008.

48.     Uruguay has a high concentration of poverty amongst children under the age of 6 years (49.5 percent in 2006)[15] and dramatic levels of exclusion amongst children, youth and women. Gender inequality is persistent and manifests in both private and public spaces. Women's access to decision-making processes is one of the main weaknesses. Women represented only 11 percent of the Parliament in 2004. Although access to education and participation in the work force has increased for Uruguayan women, there is still a high level of segregation. In 2005, wages for women were 30 percent lower than men's, and more than 65 percent of their time is used for non-remunerated work. In the private sphere, gender-based violence is recurrent. According to existing information, it is estimated that one of every nine women in the country is a victim of violence. Uruguay is also affected by both highly and poorly qualified migration flows. Furthermore, it faces gender, generation, race and territorial inequities, as well as environmental challenges related to changes in soil and land use patterns, urban sanitation and waste management. In 2005, the government and the UNCT conducted a joint CCA, which describes the situation and provides a more detailed analysis[16].

49.     As a middle-income country, Uruguay does not substantially depend on the United Nations for financial resources. Social and development spending by the GoU is vastly superior to funding from the United Nations and other official development assistance flows.

50.     However, the United Nations has a role in leveraging national resources, both public and private, towards achieving the MDGs. This is done by providing policy guidance and technical support for public policies aimed at achieving the MDGs both at the national and sub-national level. The latter is critical, as national averages in Uruguay tend to mask economic and social disparities based on geographical location (rural, urban and regional variations), gender, ethnicity (such as Afro-Uruguayan), and generation.

51.     The United Nations can also help build capacities to close the gap between policy frameworks and capacities to implement those frameworks (again at both national and sub-national levels) and can support the generation, systematization and dissemination of knowledge.

52.     Another role of the United Nations in middle-income countries is that of disaster preparedness and emergency response, which is included in the UNDAF and is one of the activities in one of the nine outputs that will be funded by the One Coherence Fund as part of the One Programme. This seems a natural area for interagency support.

53.     Finally, the United Nations can act as an independent voice and a conveyor of state and non-state actors in support of the MDGs, sustainable human development and human rights.

## UN development system and other forms of external assistance or partnership fora

54.     As a consequence of being a middle-income country, Uruguay is not a priority country for international cooperation and not eligible for grants from most of the donors, thus cannot count on

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[15] National Statistics Institute (INE) 2006.

[16] See www.onu.org.uy.

significant donor aid. In this context, a Coherence Fund has been established to channel resources from the main donors towards the financing gaps of the One Programme, thus satisfying the funding requirements for the DaO pilot.

55.    The One Programme was signed by the GoU and UN system in October 2007 and has a budget of USD 95.5 million, with a USD 15 million funding gap. This gap should be closed by resources pledged in the frame of the Coherence Fund. So far, USD 2.6 million and USD 1.8 million have been secured for the One Coherence Fund from Spain and Norway, respectively (see Table 1). The Netherlands has contributed USD 250,000 million to a Transformation Fund[17].

**Table 1. One Programme 2007- 2010 budget by funding sources (USD)**

| Source | Regular Resources | Other Resources | | Funding Gap | Total |
| --- | --- | --- | --- | --- | --- |
| | | Bilateral and decentralized co-operation, UN funds, private sector | Government budget & loans of international financial institutions (IADB and World Bank) | | |
| Total budget | 6,646,025 | 35,960,117 | 37,854,215 | 15,000,000 | 95,460,357 |
| Contribution against funding gap, by donor | | | | | |
| Spain | | | | 2,600,000 | |
| Norway | | | | 1,830,000 | |
| Funds disbursed | | | | 4,430,000 | |
| Remaining funding gap | | | | 10,570,000 | |

Source: One Programme Document, 17 October 2007 and interviews. Note: IADB indicates Inter-American Development Bank.

56.    This should cover the first year of implementation of the nine additional outputs and its joint projects. The governments of Norway and Spain are supporting all eight DaO pilot countries. These funds should not be earmarked by the donors but available to finance already identified joint projects and programmes.

57.    The main donors in Uruguay are the European Commission, which is also implementing its regional programmes for the *Mercosur* region, and Italy and Spain as bilateral donors.

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[17] The Transformation Fund has a similar function to the RC Funds. Such funds are intended to strengthen country level coordination, including coordination capacity, and allow RCs to respond quickly and effectively to opportunities for UN system collaboration. It is not geared to financing projects.

58.     Currently, there are no other integrated forms of aid delivery in Uruguay, such as Sector Wide Approaches or Sector Programmes, in place. However, the Inter-American Development Bank sees opportunities for future Sector Programmes[18]. The Inter-American Development Bank[19] and the World Bank are contributing with loans and credits to the 'Reform of the State' agenda of Uruguay.

59.     There is no system of formal donor coordination in place. Communication between donors usually concerns information about new projects. There is also no formal donor coordination assumed by the GoU. Different GoU entities act as direct counterparts for donors. In case of the European Union, it is the Ministry of Economy and the OPP, depending on the subject of a project or programme[20]. Donors have been informed about the DaO initiative in general, but there is no system in place to inform and monitor the pilot process.

## DaO relationship with CCA and UNDAF

60.     The implementation of the UN reform process began in Uruguay in early 2005 with the preparation of the CCA as a base to design the UNDAF 2007-2010, signed in April 2006. This happened simultaneously with the assumption of the new national government in March 2005. This made it possible for the UN system to work on the basis of the national priorities set forth by the government at the beginning of its term of office[21].

61.     The CCA is a tool used to analyze the national development situation and identify key development issues. It is intended to feed into, rather than duplicate, similar national work and priority-setting processes[22].

62.     The UNDAF consists of 100 outputs and is geared towards the attainment of four outcomes, agreed upon by the GoU and the UN system. The One Programme encompasses a total of 63 outputs related to the same four outcomes, of which 54 outputs are a subgroup of the UNDAF and nine are newly defined outputs (See Table 2 and Figure 1)[23].

63.     These nine new outputs, to be financed by a Coherence Fund, are aligned with the three main strategic areas of the GoU and the national priorities of the UNDAF. A joint project under the thematic window 'Culture and Development'[24] is one of the ten joint projects. However, financially it is sourced by

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[18] Memorandum  Inter-American Development Bank, 28 February 2008.

[19] For example Inter-American Development Bank Support for the Strengthening of Management by Results, signed May 2007.

[20] Memorandum, European Union Delegation, 28 February 2008.

[21] Uruguay, 'One UN Status Quo', update of 31 January 2008.

[22] 'UN Common Country Assessment and UN Development Assistance Framework: Guidelines for UN teams Preparing a CCA and UNDAF', February 2007, page 13.

[23] Outputs are called 'productos' in the documents in Spanish translation. However, the stated outputs have more the character of programmes with a number of projects under each of the programmes.

[24] The project contributes to several One Programme outputs, concretely to output 1.17, "Plan to develop cultural industries has been designed and is being executed".

the MDG Fund, thus it is not contributing to closing the funding gap. The timeframes for both the UNDAF and the One Programme are aligned (2007–2010).

**Table 2. Relationship between outputs in UNDAF, funded by the Coherence Fund and One Programme**

|  | UNDAF | Outputs carried over from UNDAF to One Programme | Joint Outputs to be funded under the Coherence Fund | Outputs One Programme |
|---|---|---|---|---|
| **Number of outputs** | **100** | **54** | **9** | **63** |
| Other outputs | 46 |  |  |  |
| Imported into One Programme | 54 |  |  |  |
| **Of which are:** |  |  |  |  |
| Multi agency | 24 | 24 | 9 | 33 |
| Single agency | 30 | 30 |  | 30 |

Source: Desk review and interviews.

**Figure 1: Evolution from UNDAF to One Programme**[25]

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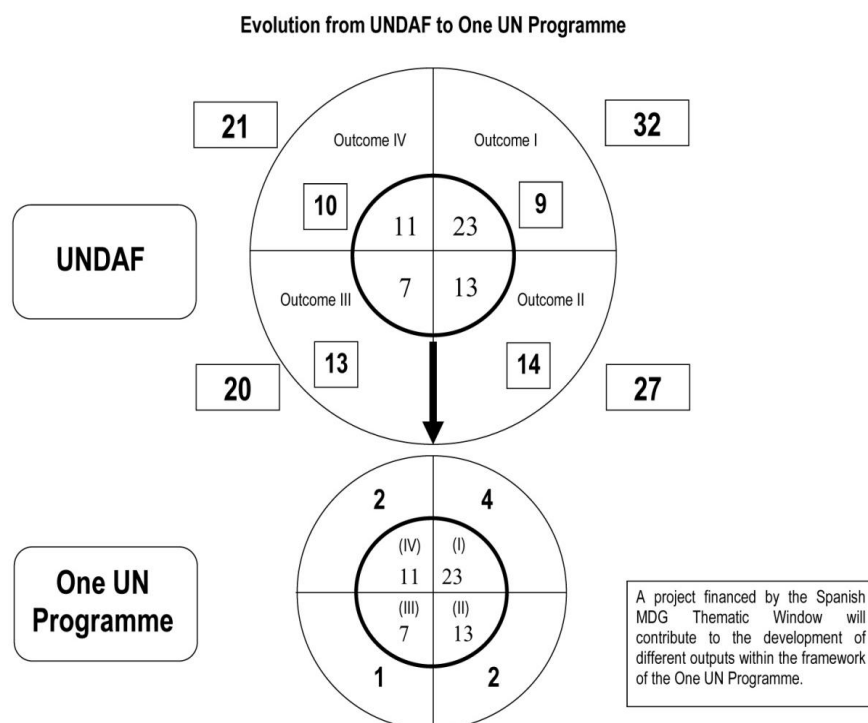
[25] Provided by RC Office Montevideo.

## Government expectations for One Programme and DaO

64.     The GoU relates in different ways to the four Ones (One Programme, One Leader, One Budget and One Office). Within the One Budget, the GoU is interested in the availability of additional funding streams through the Coherence Fund and its 'pass through' delivery mechanism. The GoU has expressed intentions to act as administrator of funds in the future. GoU also relates to the One Office, where the GoU thinks alignment of administrative, financial and reporting procedures could facilitate cooperation with the UN system in joint projects. The GoU has offered a plot for the construction of a new UN building. The One Leader is appreciated by the GoU, as they are also streamlining their management process by defining the OPP as the coordinator with the UN system. However, the greatest interest and expectation of the GoU lies with One Programme and its rapid implementation.

65.     The GoU and the UNCT had a previous experience in close cooperation in working on the UNDAF 2007-2010. This was the first UNDAF for Uruguay. Because it is not mandatory for a middle-income country to prepare a UNDAF, this shows the motivation of those involved in its drafting. The UNDAF was signed on 28 April 2006, by nine UN organizations, the World Bank, and the Director of the OPP on behalf of the GoU. The GoU assumed a proactive role in the elaboration of the One Programme.

66.     The process as a DaO pilot has been steered by two state agencies - the Ministry of Foreign Affairs and the OPP - and the UNCT[26]. The One Programme for 2007-2010 was signed by the GoU and the UN system in Uruguay on 19 October 2007. On 26 November 2007, the Minister of Foreign Affairs addressed a letter to the Deputy Secretary-General of the United Nations stating that the GoU is assuming "a positive and constructive attitude in relation to the UN reform process"[27]. In the document, the GoU underlines that it sees the DaO pilot not only as an instrument to carry out the reform of the UN system operational activities, but also as a cooperation exercise in priority areas identified by the GoU, in the context of a national development strategy in which the State Reform Framework with its three pillars - reform of public management and modernization of the state, decentralization, and social and productive development - is the core.

67.     The process of being acknowledged as a DaO pilot country has created high expectations from the GoU. These refer to capacity building and training within the GoU, as the GoU has indicated a lack of human resources and management as current weaknesses. The GoU hopes that the UN system will help build these capacities and thus close the gap between policy frameworks and capacities to implement those frameworks, both at the national and sub-national levels.

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[26] Even though the assessment team was able to meet only with two state institutions as representatives of the GoU for the DaO initiative, the OPP emphasized the consultative process undertaken internally to involve all state institutions at all levels, underlining that there are 32 governmental institutions participating in the One Programme. (Letter from the Deputy Director of OPP to the RC, 13 June 2008, in response to the Evaluability Assessment Report). The assessment team was not able to meet with these institutions.

[27] Letter of the Ministry of Foreign Affairs of 26 November 2007.

68.     The opportunity for additional resources was another strong expectation of the GoU concerning the DaO pilot. In the perception of the OPP, DaO is an addition to, not a substitute for, the current programmes of individual UN organizations, leading to a parallel implementation of DaO programmes and individual project implementation of UN organizations. One of the main expectations related to the DaO in Uruguay is the need to redefine the cooperation of the UN system with middle-income countries in order to sustainably overcome their vulnerabilities.

69.     In the DaO context, UNDP and other UN organizations are not seen as the financial administrator but primarily as providers of technical advice on subjects pertinent to the country. The UN system can support the generation, systematization and dissemination of knowledge. Representatives of OPP indicated that OPP could imagine assuming the role of the financial administrator of the One Programme funds in future.

70.     The GoU preference for stressing public policy formulation, costing, and monitoring, along with civil society participation and local government development involvement, reflects its assessment of the country's development challenges and UN comparative advantages.

**The UNCT and its relationship with NRAs**

71.     The One Programme has been signed by 18 UN organizations (nine of which are NRAs): ECLAC, FAO, IFAD, ILO, IOM, UNAIDS, UNDP, UNEP, UNESCO, UNFPA, UN-HABITAT, UNHCR, UNICEF, UNIDO, UNIFEM, UNODC, UNOPS and UNWTO[28]. The IOM, a non UN organization member of the UNCT, is also a signatory. The UNCT resident agencies are UNDP, UNFPA, UNICEF (the three Executive Committee agencies in Uruguay), ECLAC, FAO, UNIDO, UNESCO, PAHO/WHO, UNOPS, the World Bank and the IMF. The UNCT NRAs are IFAD, ILO/Cinterfor, UNAIDS, UNEP, UNIFEM, as well as IOM as an associated agency to the system. PAHO/WHO[29] is a member of the UNCT but is not a signatory of the One Programme.

72.     The World Bank and IMF are resident organizations and members of UNCT but not part of the One Programme. The One Programme has increased NRA interest in actively joining the UNCT. This is generally perceived as inclusive and a positive step forward, but has also increased coordination and information efforts by the resident agencies for the 'new' NRAs. Some agencies have recently opened new offices in Montevideo (UNIFEM and UNOPS) or are considering doing so (IFAD).

73.     UNDAF was signed by the national government, the UN RC and Resident Representative of UNDP and UNFPA, World Bank, seven UN organizations (FAO, ILO/Cinterfor, IMF, PAHO/WHO, UNESCO, UNICEF and UNIDO), and IOM as a non UN organization member of the UNCT. Compared to the number and composition of signatories of the UNDAF, the number of signatories of One Programme has almost doubled, in particular the number of NRAs. This demonstrates the change triggered by DaO and the inclusiveness of the UN system in its DaO approach in Uruguay. Further detailed analysis is provided in section D.

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[28]    Editorial note: In June 2008, after the mission took place, a new signatory joined the One Programme - International Trade Centre (ITC), UNCTAD/ WTO.

[29]    WHO is a member of the UNCT and a signatory of the UNDAF, but not a signatory of the One Programme. WHO expressed its disappointment that the Agreement was signed without allowing all agencies enough time to comment, but a cordial exchange of correspondence points to a possible solution in the future.

# C. Assessment of the substantive design of the DaO pilot

## Design of the DaO

74.    There is little documentation available that sets out the intended design of the DaO pilot in Uruguay, other than related to the One Programme Document itself. There is no DaO Steering Committee[30] in place. Instead, the UNCT is the mechanism where all the matters related to the DaO pilot are discussed and captured in minutes of the meetings. Given the openness and participatory nature of the UNCT mechanism, this is conceived as the space to address all aspects related to the One UN initiative. In the case of the One Programme, there are Terms of Reference for the Coherence Fund consisting of Terms of Reference for the One Programme Steering Committee and Consultative Committee, and criteria for the allocation of funds for the Joint Projects of the One Programme 2007-2010 'Building Capacities for Development'[31]. The UNCT agreed that the Steering Committee would be in charge of specific aspects relating to the One Programme, as well as to the other three Ones[32].

75.    The One Programme Document is the centerpiece of DaO in Uruguay. In this assessment of it, the following documents were reviewed:

    a.    The UNDAF document for Uruguay 2007-2010, prepared by the UNCT, signed in April 2006.

    b.    The One Programme 2007-2010, 'Building Capacities for Development', signed by the GoU and the UN system in Uruguay on 19 October 2007.

    c.    A DaO draft concept note[33].

    d.    Terms of Reference for the Coherence Fund.

    e.    Memorandum of Understanding regarding operational aspects.

    f.    Summary Note One UN Budgetary Framework.

    g.    Letter of 26 November 2007 by the Minister of Foreign Affairs to the Deputy Secretary-General of the United Nations.

76.    Four main challenges were identified in the Joint Programming Document[34]:

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[30] It has to be differentiated between a DaO Steering Committee for the pilot as a whole with its four Ones and a Steering Committee for the One Programme only.

[31] Communication and document of RC Office of 13 March 2008.

[32] Communication of the RC Office/UNCT of 10 April 2008.

[33] Editorial note: Called 'One UN' in Uruguay, Progress Report of 19 April 2007. The note is still a draft and pending endorsement by the UNCT, as no agreement on the text about the One Leader could be achieved.

[34] Sistema de las Naciones Unidas en Uruguay, Documentos de programación conjunta, UN 2006.

a. Sustained and sustainable growth of the Uruguayan economy, with an emphasis on productive diversification, participation in international markets, incorporation in the scientific and technological innovation in productive processes, and increases of investment.

b. Reduction of significant levels of poverty (in particular among the younger generations), with emphasis on the eradication of extreme poverty.

c. Reduction of inequalities (economic, social, territorial, generational, gender and ethnic) in starting conditions and in access to quality social services.

d. Promotion of the access to all human rights through the adjustment of national legislation and the strengthening of public and civil institutions.

77. The One Programme largely takes the programme outputs already set out in the UNDAF (54 outputs, of which 24 are joint projects and 30 are single agency projects). The additional nine joint outputs[35], planned to be financed by the Coherence Fund, are aligned with the three main strategic areas of the GoU and the four national priorities of the UNDAF.

78. The One Programme refers to a coherent and coordinated group of inter-agency projects and initiatives, implemented and monitored jointly by the agencies, funds and programmes of the UN system in Uruguay. The One Programme is the result of a joint strategy to set priorities by the GoU and the UN system, stemming from the UNDAF 2007-2010. The attainment of the MDGs inspires and steers national priorities of the GoU and the UN system in formulating the One Programme around the UNDAF priority areas: promoting productive sustainable development based on economic and technological diversification; combating poverty and inequity; and strengthening democratic governance.

79. UNDAF sets out three horizontal cross-cutting issues: gender, human rights and local development. They can also be found more implicitly in the One Programme. Furthermore, the TCPR resolution 2007 calls "upon the organizations of the United Nations development system, within their organizational mandates, to further improve their institutional accountability mechanisms and to include intergovernmentally agreed gender equality results and gender-sensitive indicators in their strategic frameworks". This calls for mainstreaming these aspects throughout the totality of the outputs.

80. There is a general thematic coherence between the different levels - the CCA, UNDAF and One Programme, with its additional nine outputs related to three pillars of GoU priorities, described in 35 interventions or components. However, there is a need to fine tune the internal articulation and coherence between them, especially at the level of the projects, to improve the quality of the design and to establish the contribution from one level to the next level (output to outcome to impact).

81. The following are the additional nine outputs:

a. Building of state institutions' capacities to design development strategies

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[35] Outputs are called 'productos' in the documents in Spanish translation. However, the stated outputs have more the character of programmes with a number of projects under each of the programmes.

b. Strengthening of public policies on productive production.

c. Supporting environmental protection policies at the local level.

d. Strengthening of state and social capacities in the promotion of development in the territory.

e. Supporting the central government's Equity Plan in its implementation, follow-up and evaluation.

f. Strengthening institutions in the social policy system (education, employment, health and social security).

g. Supporting the design and execution of policies, plans and programmes to fight inequity (in particular, gender and generational).

h. Designing and implementing programmes to modernize public administration and services to citizens.

i. Supporting policies and decentralization and promotion of citizen participation in the territory.

82.     The design of the One Programme Document is complex. The design currently consists of the following: four UNDAF challenges; three intervention modalities; three programmatic areas; and four outcomes with 63 outputs, nine of which will be funded through the Coherence Fund (and the latter group of nine outputs has 35 components). It would be useful to simplify this framework, focusing especially on the existing linkages between the lower programming levels and the higher programming priorities with a limited number of indicators.

83.     Adding to the skepticism toward a strategic approach to UN delivery is the perceived lack of participation of civil society in identifying outputs for the four main outcomes established in the UNDAF, as elaborated in the upcoming sections.

## Responsiveness to country needs and priorities

84.     The One Programme is built on GoU priorities in the areas of modernization of the state, supporting the decentralization process, and strengthening social and productive policies. Once the Programme is implemented, it will be possible to evaluate whether its areas are actually contributing to the specific needs of the country.

85.     The GoU believes the One Programme provides value added, as the UN system can use its joint expertise to tackle the challenges identified as outcomes in the One Programme. It is hoped that the design and implementation of the Programme will help free UN organizations from their administrative activities and enhance their technical support in each of the sectors that will participate in the One Programme. Within this context, the OPP seems to be seriously considering assuming the implementation of the One Programme and establishing the institutional framework that would sustain national execution of international assistance.

## Articulation of strategic intent

86.     Similar to the UNDAF, the One Programme[36] is in line with GoU strategies and priorities. The One Programme encompasses roughly half of the outputs of UNDAF 2007-2010 and nine additional outputs, with ten joint projects that are based on multi-agency delivery. This is the centerpiece of the One Programme. Apart from the One Programme, there are the other outputs aligned under the UNDAF priorities. Beyond those outputs set out in the UNDAF, there are projects implemented by UN organizations (which are either non-signatories of UNDAF or the One Programme) and projects executed by specialized agencies that do not fall under the UNDAF priorities.

87.     The One Programme Document sets out a 'Strategy for Cooperation Alliances' to advance in the One Programme, based on the experience of the UN system in working together. This joint work should consolidate the UN system in order to do the following: a) contribute to the articulation of the different public-sector actors and, through these, with society for common reflection and dialogue; b) provide technical inputs for public policies and public strategies formulation; c) contribute to national capacities for implementation; d) support the implementation of public policies and development programmes; and e) provide technical assistance to the national government, decentralized governments and other institutions of the state to improve their efficiency in the provision of goods and public services[37]. This can be interpreted as the strategic intent of the One Programme. However, it is rather generic and refers to the 'what' more than the 'how'. This intended contribution of the One Programme can be used as a benchmark for further reviews and evaluations as a way to assess its strategic coherence and effective contribution.

88.     The One Programme is a positive start in joint articulation. However, the One Programme, understood as the totality of UN contribution and presence in Uruguay, still has to improve its common vision, strategic intent and coherent design.

89.     There has been a trade-off observed between a demand-oriented approach towards country ownership and a supply-driven approach based on the UN mandate of advocacy and check-and-balance roles. A One UN Strategy at Headquarters level should include guidance regarding whether and how far to follow either of the approaches at the country level.

## M&E system

90.     The One Programme Document[38] states that "OPP and UNCT, with support from the Resident Coordinator"'s Office, shall be responsible for establishing the M&E mechanisms, tools and revisions

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[36] The One Programme is translated into Spanish as 'Programa Conjuncto', joint programme. Joint programme is also a term often used only for the nine joint outputs and the 'joint projects' to be funded by the Coherence Fund. We use the term 'One Programme' in this report, if we are referring to the signed document with its four outcomes and 63 outputs.

[37] One Programme Document, Part V.

[38] One Programme Document Part VII, Monitoring and Evaluation.

necessary to ensure the permanent monitoring and evaluation of the One Programme, aiming at ensuring the efficient use of Programme resources as well as accountability, transparency and integrity".

91.     DaO pilot countries will only be able to demonstrate results if the design of the One Programme is results-oriented, that is, if there are adequate monitoring systems in place that can measure results at the output, outcome and impact level. The Programme will not have to prove efficient use of resources and effectiveness.

92.     The existence of a functioning M&E system is a relevant element in the assessment of evaluability. Without an M&E system and baselines, indicators and means of verification in place, it will be difficult for the mid-term evaluation team to carry out their work. In the current stage of the One Programme and in light of the elements identified to be evaluable, it would be premature to conduct a mid-term evaluation in the last quarter of 2008. Due to the aligned programme cycle of UNDAF and One Programme and the fact the 54 outputs of the latter are from UNDAF, the synchronization of both appears efficient. The mid-term evaluation should be aligned with the systemic process evaluation of the DaO pilot initiative—realistically due for the first semester 2009 - as the synthesis report is provisionally scheduled for September 2009[39].

93.     At the time of the mission, the joint projects under the nine new outputs were still in their formulation phase and the composition of agencies for each of the projects about to be agreed upon. Prior to the development of the M&E system for the One Programme, however, an intervention logic for the Programme should be developed, fleshing out how the new 9 joint outputs are translated into the 35 modules and how they relate to the output and outcome level (see section D).

94.     Currently, both the RC Office and the OPP have hired consultants to assist in developing a monitoring system for the One Programme. The RC Office has hired an external consultant to take stock of existing M&E tools used by UN organizations and to validate the inventory of indicators for the UNDAF 2007-2010. The OPP is working with another consultant to set up a monitoring system for public policies, which should be run by the focal points in the line ministries. However, requirements for capacity building were expressed by various UN organizations and also by the GoU.

95.     Representatives from the UN system and GoU confirmed their interest in capacity building in M&E. Some UN organizations referred to their systems in place and their willingness to share experience (IFAD, ILO, UNDP, UNICEF and UNOPS).

96.     Efforts towards establishing a monitoring system are new and rudimentary. Although an effort has been made by the RC Office to analyse the different programming levels and to start the design of a system, at the time of the mission, not all the UN organizations were part of this process. Future efforts must be coherent and coordinated, rather than parallel. A non-harmonized approached is not cost effective[40].

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[39] See Terms of Reference for the evaluability studies in eight DaO pilot countries.

[40] Editorial note: After the mission took place, the RC Office noted that both the UNCT and the GoU had progressed in the design of an M&E framework that will allow the assessment of results, including indicators and means of verifications. Given the *post-facto* nature of this information, the team was not able to analyze such progress.

97.     The draft M&E model, albeit a good first effort to take stock of available elements, reveals several key gaps that could have a detrimental effect on the evaluability of the programme: gaps in the identification of indicators and their quantitative and qualitative values; indicators that are not specific to the interventions proposed; and indicators that do not measure the proposed benefits of the DaO interventions.

98.     There were also problems in identifying baselines, milestones and target data for tracking of indicators. There were also many instances in which activities, objectives and indicators were used inappropriately, that is, activities were identified when objectives were called for or activities were being used instead of indicators.

99.     Although the strategy discusses identifying outputs within each of the established themes, the current M&E matrix does not classify outputs accordingly. This could lead to an incoherent model, making it difficult to correctly measure efficiency of the programme's implementation.

100.    In the case of the RC Office efforts, the outputs of the One Programme were put in relation to the outputs of UNDAF as a first step in M&E. This created several challenges: a number of UNDAF indicators identified were not suitable; to date, no monitoring system is in place for the UNDAF either; and a UNDAF mid-term evaluation is scheduled for the second semester 2008.

101.    The time-frame for developing a system that captures the 100 UNDAF outputs and the additional nine comprising 35 components of the One Programme does not appear realistic, which puts the M&E system at risk. At the same time, the credibility of the One Programme would be at risk if the M&E system is not in place in due time.

102.    The timing of the mid-term evaluation of the UNDAF and the mid-term evaluation for the DaO programme should be harmonized and scheduled for the end of 2009. This evaluation should be a joint effort between RC Office and GoU. This would improve effectiveness and resource allocation.

103.    Meanwhile an intervention logic interlocking the different levels - policies, programmes and projects - starting with the new group of 10 joint projects related to the three GoU priorities should be established with SMART indicators, sources of verification and risks. This could serve as a pilot for an M&E system that could be extended to the entire UNDAF in a second step. This would demonstrate how to put in place a system to monitor and evaluate joint inter-agency and inter-ministerial projects.

104.    The donors contributing to the Coherence Fund and other funding sources clearly noted that reporting on progress and results will be a prerequisite for future funding. This is a strong incentive to put a monitoring system in place.

105.    An aspect often neglected is the setting aside of funds for the design, implementation and running of an M&E system. Funds could be pledged, for example, through the Transformation Fund - as introducing M&E as good practice is part of change management. This could be included in budgets attached to outputs in the output and resources matrix as a percentage. Typically three to five percent of the budget is recommended.

106.    A small working group should be established to work on the design of the M&E system, ideally composed of representatives of government and agencies that have specialized M&E experience or are

involved the implementation of the joint projects. It is important that this approach has a buy in from the Headquarters of the involved agencies, as it will likely require increased effort and human resources.

107.     Signatories of the One Programme have been contacted by the RC Office about the outputs that had been assigned to them in the One Programme and UNDAF, and information exchange is taking place to incorporate agencies' inputs on the indicators for the M&E system. On the government side, the OPP has started developing an M&E system for public policies and has shown interest in linking this with the M&E framework of the One Programme.

108.     Because the nine new outputs of the One Programme are still in the formulation phase, the M&E system can be developed in one process, ideally aligned with both the UN system and the OPP and GoU system.

109.     The composition of the evaluation teams for the mid-term and final evaluation of DaO still need to be determined. The One Programme Document notes that the team should consist of "an official from the Resident Coordinator's Office, two officials from the UN system (at least one of them should belong to Agencies with harmonized cycles preferably with experience in follow-up and evaluation), and an expert in follow-up and evaluation from OPP". In evaluation terminology, these would be considered internal evaluations. It should be discussed and agreed if this is the intention of the DaO initiative. For accountability and transparency, an external team accompanied by in-country specialists should be considered to make joint external evaluations.

# D. Assessment of the pilot process

## National ownership and leadership of DaO processes

110.    National ownership of the DaO processes The OPP is the main national counterpart in the GoU, together with the Ministry of Foreign Affairs. The OPP aims to act as 'one voice' of the GoU in its dialogue with the UN RC[41]. The GoU demonstrates a clear national ownership and leadership, in particular in the One Programme. To strengthen its coordination capacity, it is in the process of creating a National Institute of International Cooperation, to be chaired by the OPP[42].

111.    The GoU assigned 12 DaO focal points in line ministries and other relevant organizations, such as the National Administration for Public Education, for internal dialogue in May 2007. The GoU is also represented in the One Programme Steering Committee (composed of the RC, the UNCT and the OPP), to address its planning and coordination.

112.    At present, the nine outputs of the One Programme financed through the Coherence Fund are still in their formulation phase. However, it is expected that GoU will continue to show ownership in the fine-tuning and implementation of the Programme as well in the monitoring process. Regarding leadership, OPP's lack of administrative capacity is an issue. The OPP itself notes that capacity building is one of the most pressing demands in the process of state reform.

113.    The GoU has developed and is demonstrating a true sense of ownership in the DaO pilot, in particular in the One Programme. A One Programme Steering Committee met in December 2007, composed of the RC, participating agencies and the GoU through the OPP.

## Inclusiveness of other national stakeholders

114.    The involvement and participation of CSOs in the overall design phase of the One Programme has been limited. There were three workshops and meetings in 2007 that were geared to inform civil society about the DaO. There was a formalized dialogue with CSOs in 2005 about the MDG that was considered a useful space for exchange. For the One Programme, there is no similar forum for participation of civil society in place yet, and the dialogue remains limited to informal conversations with the RC or bilateral communication with specific UN organizations, not with the UN system.

115.    There is a need to broaden the platform for discussion, as currently the CSOs are not actively involved in the decision-making process. This would be particularly important in the discussion about the

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[41] Nothing can be stated about the perception of the focal points regarding the DaO in general and their role in particular, as it was not possible for the assessment team to interview these focal points. This was due to a request by the GoU that (as part of their effort to strengthen coordination mechanisms) the mission team only meets with the OPP and Ministry of Foreign Affairs as representatives of the government.

[42] The Instituto Uruguayo de Cooperación Internacional was created by the Law 18172, Art. 116, of 31 August 2007, as referred by the One Programme Document. At the time of the mission, it was not established.

cross-cutting issues of gender and human rights and how to fully integrate them in the One Programme implementation. It is also not clear how the private sector is actively participating in the DaO. Involving these groups could further enhance national ownership and be used as an indicator in the evaluation of DaO.

116.    Independent consultants are involved in the design of specific One Programme projects. This was confirmed by the OPP, acknowledging that there is so far only indirect dialogue with civil society through consultants who apparently are working for the GoU.

117.    In the One Programme, the role of national stakeholders including CSOs is emphasized[43]. In this context, however, CSOs have not yet been included in the DaO design, as it was decided by the GoU and the UNCT that it was important to first define the priorities of the One Programme before initiating the participatory process. The creation of formal and more consultative mechanisms to include civil society is essential in order to ensure effective ownership of the DaO experience, as well as to receive relevant inputs from CSO experts.

## Inclusiveness of UN stakeholders

118.    The DaO initiative, in particular the development of the One Programme Document, has brought UN organizations in Uruguay closer together. The One Programme is highly inclusive in respect to NRAs and specialized agencies. It was, compared to the UNDAF, a major breakthrough for NRAs, reflected in the high number of NRA signatories. This was also confirmed in several interviews.

119.    In their responses to questionnaires[44], the NRAs indicated the following reasons for and benefits of participation: a) access to information about the programmes and activities of other UN organizations in Uruguay; b) opportunity for more fluent contact with other UN organizations and national stakeholders (GoU and CSOs); c) opportunity for articulation and direct involvement in joint projects within the One Programme; d) an opportunity to have access to additional financial sources through the Coherence Fund and to participate without making a financial contribution; e) integration of the UN organizations within the national planning scheme; f) avoidance of duplication of efforts at the technical and financial level; and g) opening the dialogue with OPP.

120.    Some of the main risks identified by the NRAs include the following: a) lack of knowledge about the proposed GoU priority programmes; b) not considering agencies that did not integrate into the process; c) contradicting strategies, policies or activities among the agencies, which could lead to confusion at GoU; and d) marginalization of national stakeholders of the agencies, other than the government.

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[43] One Programme Document, items 1.7 and 1.8., and UNDAF, page 61, results matrix.

[44] Five responses from FIDA, UNAIDS, UNEP, UN-HABITAT and UNWTO.

121.     NRAs overall level of satisfaction with the One Programme an average of 7.25 out of 10, indicating a generally positive perception[45].

122.     The One Programme also includes associated organizations. In one of the nine outputs of the additional joint projects, a non UN organization (IOM) was nominated as lead agency in the formulation phase.

123.     IFAD is considering opening a country office with a country programme of USD 20 million for rural development. UNOPS and UNIFEM have recently opened offices in Uruguay, and UNEP has hired a consultant as a liaison officer who is based in the same premises as the RC Office. These are also indicators of inclusiveness in the DaO design towards NRAs.

124.     For the implementation phase, the inclusiveness of agencies will depend on the mechanism defined both for finalizing the formulation of the projects contributing to the achievement of the nine outputs funded through the Coherence Fund and for the project implementation. In this regard, the role of the lead agencies of these projects in fostering participation of the associated agencies will be significant.

## Relationship with other forms of external assistance

125.     A relevant relationship with other forms of external aid has been established with the donors to the Coherence Fund (to which Spain and Norway have so far contributed USD 4.43 million)[46] and the Transformation Fund (to which the Netherlands has contributed USD 246,900)[47].

126.     For donors, these channels could be of increasing importance to continue to support Uruguay, since Uruguay's status as a middle-income country might not qualify it for many of the development aid sources and forms of delivery. For the UN system and, in particular, for the One Programme with an estimated funding gap of USD 15 million for 2007-2010, well established relationships with donors is of increasing importance to the success of DaO and the One Programme.

127.     The donors currently funding DaO in Uruguay have expressed the following demands in relation to the UN system:

   a.   To overcome the position of being a donor, and to become real partners in development, that is to support governments in the definition of public policies.

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[45] Four responses.

[46] Spain is also providing funds through the MDG Fund to all DaO pilots. In Uruguay, one of the projects by the UNDP-Spain MDG Achievement Fund contributing to the nine outputs is 'Cultural Industries' (USD 3.38 million).

[47] The Transformation Fund aims to strengthen country level coordination, including coordination capacity, and allow RCs to respond quickly and effectively to opportunities for UN system collaboration. It is not geared to financing projects, but to carrying out activities oriented towards change management (UNCT training); activities related to normative, advocacy and convening role (seminar on UN role in middle- income countries, production of working papers on MDGs, organization of thematic roundtables); and 'operations' activities.

b. To introduce transparent monitoring and reporting systems regarding programme progress and on how to link fund disbursement to performance indicators. Accountability requirements from country governments are high and may become a prerequisite for future contribution to the DaO funds.

## Support from UNDG Office and Headquarters and regional structures of UN organizations

128.     In the process of Uruguay being a DaO pilot country, UNDG provided general support including sharing 'political decisions', documents from other pilot countries, and lessons learnt. It also contributed support missions in the context of One Office and change management. The UNFPA and UNDP regional office provided support to the RC Office. The UNICEF country office has seconded one of their staff members to the RC Office, responsible for the One Programme.

129.     In the future, support from regional or Headquarters evaluation offices might be requested by the RC Office in setting up the M&E system for the One Programme and in the effort to harmonize M&E requirements of the individual agencies while working on joint projects and programmes.

## Joint programming and joint programmes

130.     Since the development of the UNDAF, there has been an evolution from joint programmes (in the sense of a summary of existing projects of each of the signatory agencies under a certain number of thematic priorities) towards a joint programming exercise (in which agencies are jointly working in the formulation and implementation of the outputs).

131.     Of the 63 outputs under the One Programme, only the 9 new outputs, which have not been transferred from the UNDAF, are fulfilling this characteristic of joint programming in the spirit of DaO[48]. A Coherence Fund of approximately USD 15 million was created for financing the 9 outputs with its 35 components, 30 percent of which (USD 4.43 million) has been secured by two main donors[49]. However, according to the partners interviewed, only the first year of implementation is covered by available funds, thus the pledging of the remaining funds is crucial for successful implementation of this new category of outputs under the One Programme.

132.     The elaboration of joint project proposals submitted to four of the five thematic windows under the UNDP-Spain MDG Fund on gender, environment, youth and employment, and culture and development, was an important building block towards a new culture of joint programming. It took place previous to the One Programme Framework formulation and facilitated the process of true joint programming. To the disappointment of those involved, only one of the four applications submitted (on

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[48] 'Unidos en la Acción' is the Spanish equivalent of 'Delivering as One UN' used in Uruguay.

[49] The Coherence Fund, created to close the funding gap of the One Programme, is not limited to financing only the projects that have already been designed, but also other inter-agency projects that may be designed to operationalize and implement the objectives and outputs of the One Programme, including the nine outputs.

culture and development) was successful. This is considered the tenth joint project[50]. However, the programming experience, such as working in round table inter-agency groups on each of the thematic window proposals, was considered valuable by the participants.

## Change management

133.     The RC Office pays much attention to change management. A retreat on change management was organized. However, change management is closely related to behaviour, which requires different learning principles compared to technical skills. Change management processes should not take place only at the country level, but first and foremost, should be implemented at Headquarters level. Crucial decisions related to DaO are taken at Headquarters level, and concrete changes initiated at Headquarters level with regards to the DaO could be considered an indicator of positive attitude towards change processes.

## Investment and transaction costs

134.     No concrete analysis of transaction cost related to the DaO in Uruguay was available at the time of the mission. However, there was some information, often more qualitative than quantitative.

135.     An operations' working group was established to analyze cost structures, benchmark them between the UN organizations, and identify opportunities to simplify and harmonize procurement procedures to reduce cost.

136.     The time put into various DaO initiatives and the One Programme is substantial. Smaller agencies and those that lack staff had to recruit part-time or full-time staff to meet the requirements of DaO along with their normal duties. Transaction costs due to the demand for contacting Headquarters or regional offices to get approval for administrative DaO related processes has also increased.

137.     Based on feedback from interviewees, it appears that DaO has led to an increase in costs, not a decrease. However, there has not been a cost-benefit analysis to support this claim. This might change, once the system with joint programming, joint reporting and a joint M&E system is fully established and running smoothly.

## Identification of national resources to support future evaluations

138.     Because M&E are not commonly used practices in Uruguay, national resources appear limited. Need for M&E training and capacity building has been expressed by almost all interview partners at GoU, CSO and the UN organization level.

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[50]The thematic window of the MDG Fund is not contributing financially to close the Funding Gap of the One Programme. However, through its specific window to support the pilot countries, the MDG Fund is contributing to the Uruguay One Coherence Fund.

139. The following were suggested as evaluation knowledge sources:

a. Consultants who have worked or are working with international donors and lenders on evaluations.

b. Two consultants who are working for the RC Office and the OPP and were introduced to the mission team.

c. Institutions with research capacity such as Universidad de la República, Universidad Católica and other private universities, and Instituto Nacional de Estadística (National Institute for Statistics).

140. The mission team was not able to assess the suitability of institutions or individuals recommended by interview partners.

141. As an additional source of evaluation capacity, evaluation consultants might be also sourced at the regional level (for example from Brazil) in public and private entities with special evaluation focus.

# E. Assessment of progress on implementation of the four ones

## One Programme

142.    During 2007, a major effort of the UN system in Uruguay and the GoU in the context of DaO has been focused on the joint development and formulation of the One Programme Framework, resulting in the One Programme Document signed on 19 October 2007. Although work on the other three Ones has been proceeding, the One Programme is the backbone of the DaO in Uruguay and the area with the most explicit ownership demonstrated by the GoU.

143.    The One Programme Document was signed less than four months prior to the evaluability assessment mission.

144.    The One Programme contains four programmatic areas that address the three strategic areas identified in the UNDAF. It consists of 63 outputs, of which 54 are directly linked to the UNDAF (24 involving more than one agency and 30 involving one UN organization only). In addition, there are nine new outputs (with ten joint projects) defined by the GoU and the UN system together[51]. These outputs are broken down into 35 components, which appear to be *de facto* projects. Each project is related to the outputs defined in the outputs and resources matrix in the One Programme Document and the outcomes set out in the UNDAF. They are also related to the three pillars of GoU policy[52] (see Annex 5).

145.    These new outputs will require joint work between UN organizations and GoU entities and are geared to strengthen the added value of the UN system in working jointly. This is in contrast to the UNDAF, which was not geared towards joint work *per se*[53].

146.    The elaboration of joint project proposals submitted to the thematic windows on gender, environment, employment and culture and development under the UNDP-Spanish MDG Fund, previous to the One Programme Framework formulation, was an important building block for joint programming. Only one of the four applications, on culture and development, has been successful and is technically considered a tenth project among the joint projects.

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[51] GoU requested the evaluability mission meet with OPP and the Ministry of Foreign Affairs, and not directly with line ministries. Respecting this request, insights of the coordination process inside the GoU (between OPP and focal points in the line ministries) and between OPP and RC/UNCT cannot be provided and means of triangulation were limited.

[52] a) Strengthen state capacities to plan development strategies; b) promote citizen participation and local development; and c) strengthen social public policies, social inclusion programmes and fight inequity and discrimination.

[53] As interviewees put it, "signing the UNDAF together does not mean working together" or "UNDAF is more a sum of single projects, with some interagency work between the three Executive Committee agencies and the rest is 'patchwork'."

147. The additional nine outputs are to be financed by the Coherence Fund of USD 15 million. Currently, USD 4.43 million has been received and disbursed. This should be sufficient to cover the first year of implementation.

148. At the time of the mission, the nine new outputs funded through the Coherence Fund were still in their formulation phase. Concerted efforts of the UN system and the GoU will be required to fine-tune this complex programme, particularly to make the new joint projects operational (that is, translate the modules and components into concrete subprojects with results and activities).

149. Shared programmatic leadership in the joint projects is anticipated. So far, only the lead agencies for each of the projects during the formulation phase are identified (OIM, UNDP, UNESCO, UNFPA/UNIFEM, UNICEF and UNIDO) and aware of their roles. Although the mission team received a list of lead agencies and associate agencies, some contradicting evidence was found as to what extent the associate agencies have had an opportunity to express their preferences and discuss cooperation in this matter[54]. To date, the programmatic leadership encompassed only the formulation of outputs and might change once the project cycle proceeds to implementation.

150. Both, the RC Office and OPP have made efforts to design an M&E system for UNDAF and the One Programme. Both entities have hired external consultants to take stock of existing M&E systems and how to translate them into the One Programme. There is no evidence of effective coordinated work and concrete results towards an M&E system.

151. As the implementation nine new outputs were still in their formulation phase, the appropriate time to develop the M&E system would be in parallel with the One Programme. Time is pressing though, and a decision has to be made on how to proceed.

152. The development of an M&E system is a resource demanding exercise. A decision should be made on how the design of the system will be financed and sufficient resources should be set aside. The cost of designing and setting up a monitoring system should be approximately five percent of the programme budget[55].

153. UNCT has expressed some concerns regarding the implementation of the One Programme. The first concern is that the joint projects and outputs under the One Programme (particularly the nine new ones) do not necessarily reflect the priorities of the individual UN organizations. Single agency projects would be implemented either within the One Programme, within the UNDAF or in parallel to the joint projects.

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[54] The mission team received information from some agencies about their interest to have a more active participation in the designation of lead and associated agencies for the joint projects, which they felt was not always possible.

[55] The M&E toolkit for Global Fund to Fight AIDS, Tuberculosis and Malaria indicates 3 to 5 percent, a UN system wide programme 5.6 percent (www.humanitarianinfo.org) and The Global Fund for Results-based-Management with WHO 7 to 10 percent (www.rbm.who.int).

154.     The second concern relates to whether UN organizations will have to contribute regular resources and funds in the future to the One UN Fund, and if so, to what extent. Many agencies see in the One Programme the opportunity to have access to additional funding, not to contribute to the funding. One interviewee suggested that additional funding for these projects was an incentive. to work under the One Programme and on joint projects

155.     How different financial reporting, monitoring, and administrative systems of UN organizations should be aligned is another challenge to the One Programme and One Office. Decisions are often not made at the country level but at regional or Headquarters level.

## One Fund/One Budgetary Framework

156.     The budgetary framework includes core and regular resources from the participating agencies, other existing and ongoing resources from all sources, and the funding gap between the existing resources and the total cost of the One Programme Framework[56].

157.     In the case of Uruguay, an estimated USD 95.1 million is required for the implementation of the One Programme[57], of which USD 6.6 million is from regular resources from agencies; USD 35.9 million is from other resources such as bilateral cooperation, decentralized funds, UN funds, private sector and others; and USD 37.8 million is from the government budget and from loans by international financial institutions. This leaves a funding gap of USD 15 million to be mobilized through the One Coherence Fund and other channels[58]. So far, USD 4.43 million has been contributed by Norway and Spain[59].

158.     The use of the Coherence Fund will be determined by a Steering Committee[60], whereas strategic leadership and ultimate allocation decision of the Coherence Fund will be with the RC[61]. In an update on 18 February, the Steering Committee will be co-chaired by the RC and the Director of the OPP.

159.     Accountability has been raised as an issue by the donors[62] who contributed to bridge the funding gap. As more resources are expected to be raised by this channel, a transparent monitoring and reporting system on performance should be designed and put in place. Linking disbursement to performance indicators appears crucial for successful acquisition of future donor funds.

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[56] Update on DaO of 18 February 2008.

[57] To compare, the resources allocated for the UNDAF are USD 33 million.

[58] Update on DaO of 31 January 2008.

[59] Please refer to Table 1 of this report.

[60] Editorial note: At the time of the mission, the Steering Committee had met only once and the project formulations started after that initial meeting. Therefore, there is no indication of activities or disbursement decisions taken by the Steering Committee since then.

[61] Update on DaO of 31 January 2008.

[62] The accountability aspect was raised by all donors interviewed.

## One Office/One Set of Management Practices

160.     In the concept note, it is indicated that "beyond the strictly physical aspects of this 'One UN' pillar, the UNCT considers that there is room for projecting the image of UN unity and coherence in Uruguay. In other words, it is not necessary to concentrate all the UN local offices in the same premises to this end"[63]. Currently, the RC Office, UNDP, UNOPS, UNIFEM and UNFPA are sharing two floors of the same office building.

161.     So far, no adequate building for a One UN House has been identified. The Government and Municipality of Montevideo might provide a lot to build new premises, if required.

162.     Montevideo is a small city. This enables UN organizations to mobilize for joint meetings in relatively short time. As NRAs are involved in the DaO process in Uruguay, phone and video conferences are regularly used as a tool to conduct virtual One Office meetings.

163.     Security is a repeatedly noted concern regarding the One Office Building. Referring to previous casualties, UN staff members expressed fear that they would be an easy target for aggressors by working in the same building. Some agencies also questioned the cost efficiency of One Office, and referred to the low rental cost they currently have and the cost of relocation.

164.     A major challenge for the One Office and DaO is the harmonization of management practices. There is no harmonization of procedures, such as budget frameworks, management and financial reporting, or monitoring systems. Furthermore some UN organizations can make decisions at the country level, while others must make them at regional or Headquarters levels. Headquarters play an important role in the One Office and will impact to what extent efforts at the country level will be successful. The harmonization of procedures at Headquarters level is an indicator of commitment of the UN system beyond the pilot countries.

165.     The operations working group confirmed that the task "demands a great part of our time"[64] and that it is clearly an additional task.

166.     A detailed analysis of operational procedures and benchmarking of cost has been undertaken across the agencies and some proposals regarding sourcing of office goods and flight tickets have been made. This has not yet led to an analysis of cost reduction in concrete monetary terms. The opportunity cost of working hours of regular staff should be considered, when additional staff is hired on regular or additional resources.

167.     Staff expressed their concern about a potential decrease in staff once the system is harmonized. There is consensus that the number of full-time staff should remain constant and that job rotation between the agencies in country can be introduced to secure jobs. This could mean opportunities for job enhancement in the change management process. However, it appears that fear of losing jobs is currently the dominant concern.

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[63] Concept Note 'One UN in Uruguay', draft format and not endorsed, 19 April 2007.

[64] Operations Working Group, 25 February 2008.

## One Leader

168.     The RC is the face of DaO in the country. He is responsible for maintaining a dialogue with the government on all aspects of the DaO process. In Uruguay, the RC also acts as the Resident Representative of UNDP and UNFPA. In addition, both UNDP and UNFPA appointed their own Country Directors.

169.     The RC is responsible for the strategic leadership and ultimate allocation decision of the Coherence Fund. UNDP will perform the Administrative Agent function with the Headquarters of the Multi-donor Trust Fund Office. The Multi-donor Trust Fund Office will support the RC with reporting and accountability. The RC is accountable and responsible for consolidated fund level reporting and donor reporting based on reports from participating agencies, with the support of the Administrative Agent[65].

170.     There has been clear appreciation of the current RC and how the position is assumed. In particular, several agencies highlighted the patience shown in the coordination process.

171.     Two major concerns have been expressed by members of the UNCT. Although it is stated in the One UN Update[66] that "the agencies will keep maintaining direct contacts with government authorities at whatever level necessary and with CSOs in the areas of competence relative to their respective mandates", some members of the UNCT expressed concerns that long-standing and well established direct contacts with line ministries might be jeopardized by DaO implementation and the role of the One Leader. They made clear that they will continue to set forth the established contacts, in some cases with priority.

172.     The second concern relates to potential conflict of interest between the RC role and the UN Resident Representative role. Although the distinct position of the UNDP Country Director has been created to avoid potential conflict of interest and to create a firewall, some interviewed representatives see a conflict of interest in the fact that UNDP and UNFPA Country Directors are hierarchically subordinated to the Resident Representative who is at the same time the RC. It was proposed to assign a completely neutral role to the RC *vis-á-vis* UN organizations, that is, to detach the RC role from hierarchical relations with UN organizations' managers.

173.     The 'natural right' of UNDP to nominate the RC was also disputed and some interlocutors questioned the decision-making power of the RC and argued that decisions should collegially be taken by the UNCT. No reservation was expressed related to the operational involvement of UNDP in the DaO process.

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[65] Update on Delivery as One UN in Uruguay, 18 February 2008.

[66] Update on Delivery as One UN in Uruguay, 31 January 2008.

## Other Ones

174.      An additional effort was made to create a joint communications strategy. A communications unit was established, and a communications strategy is being developed, with some communication activities about the DaO geared towards Uruguayan society. This seems to be in the initial stages and thus little has been achieved regarding a communications strategy for the One Programme or the DaO initiative. Most activities were geared towards public relations—disseminating information to the broader public. The group presented a very preliminary draft of a communication plan[67].

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[67] The inter-agency communication team has been consulted and a communication strategy meeting is planned for April 2008 to consolidate the draft strategy and to present it to the UNCT.

# F. Overall evaluability assessment of the DaO pilot

## Evaluability of DaO

175.    The DaO in Uruguay is at an early stage, having finalized the One Programme Document at the end of 2007 and is in the process of finalizing the formulation of the projects that will contribute to achieving the nine joint outputs to be funded by the One Coherence Fund. A consultant is conducting a stocktaking exercise for the M&E system, and the stakeholders are discussing first steps for implementation.

176.    The following findings and recommendations aim to provide pointers on how to improve the evaluability of the DaO, in particular the One Programme, in terms of its design, M&E framework and future implementation.

### *Design*

177.    The design of the One Programme shows articulation with the UNDAF and is aligned with the three main strategic areas defined by the GoU and the national priorities of the UNDAF. The strategic intent of the One Programme is found in the One Programme Document, that is, to support the formulation and implementation of Uruguay's public policies. This intent is shared by GoU representatives and the RC Office. Moreover, the GoU perceives the One Programme as an opportunity for the UN system to use its joint expertise in tackling the challenges identified as outcomes in the One Programme. No evidence was found that this understanding of intent was shared by all the UNCT and by civil society. The strategic intent is described rather generally and refers to the 'what' more than the 'how'.

178.    Open issues need to be discussed so that the UNCT will find a common position on the four Ones and sign the DaO concept note (drafted in April 2007 and only validated by the RC) as a statement on strategic intent of DaO in Uruguay. A continuous dialogue and consultative process to integrate CSOs as a part of DaO also needs to be established to fulfill the UN mandate.

179.    *Mainstreaming*: There was little information about how the three cross-cutting themes of UNDAF and the One Programme - human rights, gender and local development - are to be integrated into the implementation of the One Programme, in particular within social policies. These cross-cutting issues also need to be better mainstreamed into the current formulation of the nine outputs (joint projects) funded under the One Coherence Fund, fostering expertise from the specialized agencies and CSOs, and specific benchmarks should be introduced in this regard for future M&E.

180.    *Inclusiveness of CSOs:* Civil society should be involved in formulating the nine outputs. Formal mechanisms of consultation and dialogue should be established. This would improve national ownership and encourage specific expertise from organizations, thus fulfilling the UN mandate.

181.    *Coherency of programme design*: The One Programme design does not facilitate programme structure with its multiple levels - four UNDAF challenges, three intervention modalities, four outcomes, and 63 outputs, of which nine outputs have 35 components. Most of the 35 components are actual programmes in themselves and should be revised. Less ambitious components should be designed for

each of the outputs. This would allow for a better identification of indicators and allow clearer linkage between outputs and outcomes. This could also increase ownership of the programme by those participating agencies that felt the indicators for the outputs, projects and components assigned to them where not sufficiently discussed.

182.    The internal articulation and coherence between the different levels, especially at the level of the projects, need to be improved in order to improve the quality of the design and to establish the contribution from one level to the next.

183.    *Result orientation*: The current design of the One Programme does not clearly follow a results-orientation with SMART objectives. This will pose a difficulty for the UNCT and the GoU to assess progress towards outcomes and to evaluate the impact of the One Programme.

## M&E system

184.    The M&E system for the One Programme has not been developed yet. This is a major drawback. The DaO pilot in Uruguay will only be able to demonstrate results if the design of the One Programme is results-oriented, that is, if there are adequate monitoring systems in place that can measure results at output, outcome and impact level. Quality and reliability of baseline data to measure results and outcomes determine the availability and the quality of monitoring results. For individual outcome areas and different groups of outputs, SMART and consistent indicators and sources of verification are not in place. Frameworks for mutual accountability (other than narrative progress reporting) are not yet in place. This is requested by the donors supporting DaO.

185.    In order to progress on establishing and M&E system, a small but high profile working group on M&E must be established to work jointly on the design. This group would ideally be made up of representatives of the government and of agencies that have specialized M&E experience or are involved the implementation of the joint projects. It is important that this approach has a buy in from the Headquarters of the involved agencies, as it will likely require increased effort and human resources.

186.    For indicators of development, the involved lead agency, associated agencies, line ministries and the OPP should contribute.

187.    Furthermore, existing capacity within the UN system should be used - for example the regional and central M&E capacity of IFAD, ILO, UNDP and UNICEF - and these entities should be involved in the M&E development process.

188.    Now is a good time to take corrective action, as the nine new outputs of the One Programme are still in the formulation phase and the monitoring system can be developed in one holistic process, ideally aligned between the UN system and the OPP and GoU.

189.    *DaO evaluations:* The composition of the evaluation teams for the mid-term and final evaluation of DaO still needs to be determined. In the One Programme Document, it states that the team should

consist of "an official from the Resident Coordinator's Office, two officials from the UN system[68] and an expert in follow-up and evaluation from OPP". In evaluation terminology, these evaluations would be considered as internal evaluations.

190. For accountability and transparency, an external team accompanied by in-country specialists should be considered to make joint external evaluations, with GoU and the UN system being the evaluation managers and an external consultancy firm being the evaluation team leader.

191. For efficiency, the mid-term evaluation of the UNDAF and One Programme (originally scheduled for the last quarter 2008), should be aligned, as should the mid-term UN systemic process evaluation of the DaO pilot. In the current stage of the One Programme and in the view of the elements identified to be evaluable, it would be premature to conduct a mid-term evaluation in the last quarter of 2008. The process evaluation of the DaO pilot initiative is realistically due for the first semester 2009, as the synthesis report is provisionally scheduled for September 2009. An aligned effort would allow more time to set up the M&E system for the UNDAF and the One Programme and make it operational.

192. It is strongly recommended that the UNCT invest in evaluation capacity building within each of the UN organizations in Uruguay. To do this, it is important to first build on existing expertise within the UNCT, both resident and non-resident at the national, regional and global level. This evaluation capacity building strategy should be developed with the support of UNEG. The One Programme evaluation parameters should also include the process of establishing a partnership with GoU (and relevant CSOs where appropriate).

193. This capacity building should be conducted for all DaO pilot countries, in order to make results and lessons learned comparable and to share experiences.

194. Funding is required for the design and set up of the M&E system. Funding options, for example from the Transformation Fund, have to be elaborated. Once the system is established and running, cost for ongoing monitoring can be calculated as a percentage of the respective programme budget.

195. The M&E plan should classify outputs and activities under established UN traditional inter-agency thematic areas:

    a. Support for the design of policies to promote production (especially small and medium scale enterprises) and scientific and technological innovation.

    b. Support for territorial planning and for promotion of policies aiming at local sustainable development.

    c. Support for social policies (education, employment oriented towards acquiring decent work, health, social security and housing) and plans for poverty reduction and eradication of extreme poverty (especially targeting women, children and youth).

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[68] Of which at least one of them should belong to agencies with harmonized cycles preferably with experience in follow-up and evaluation.

d.  Support for policies, plans and programmes to fight inequality (economic, social, territorial, inter-generational, gender, ethnic or other) and discrimination.

e.  Support for processes of modernization of state institutions and promotion of citizens' participation in the design, management and M&E of public policies at national and local levels.

f.  Promotion of HIV/AIDS-related policies and strategies.

g.  Support for the design of population policies, including issues such as migration, relationship with the Uruguayan Diaspora and demographic dimensions.

## *Implementation*

196.  Implementation modalities have not been agreed upon between the RC, UNCT and the GoU.

197.  Even though resources have been mobilized to close the funding gap of USD 15 million, it is not yet closed. A resource mobilization strategy for the One Coherence Fund should be developed at national and Headquarters level for funds mobilization for the nine outputs, its joint projects and for the Work Plan 2008.

198.  *Inclusiveness of NRAs*: There has been high participation in the UNCT meeting, especially of the agencies present in country, as well as increased participation of NRAs in the One Programme compared with the UNDAF. The NRAs are searching for forms of participation, increasing their resources to be part of the joint experience. The involvement of the associated agencies in the formulation and distribution of projects to lead and associated agencies in the implementation phase could be more participative.

199.  The mechanism for establishing the role of lead and associated UN organizations involved in the nine new outputs funded through the One Coherence Fund should be concluded and alignment of agency interests with the joint programming and programme implementation should be addressed.

200.  *One Leader/RC Office*: The UNCT should be more involved in the coordination process facilitated by the RC Office. An organizational chart of the RC Office should be made available to the UNCT, pointing out the tasks and mandate of each staff member in the Terms of Reference. In addition, the concept note still needs to be endorsed by the UNCT.

201.  GoU should consider formalizing donor coordination beyond the UN system in Uruguay in order to further increase efficiency and impact of contributions. Sector-wide coordination groups and initiatives should be also considered.

202.  In summary, the evaluability of the One Programme will depend on the following parameters (mainly related to the design and the M&E system):

a.  A clearly articulated Programme, with a clear strategic intent, an internal fine-tuning of the results intended by the One Programme with the upper and lower levels (UNDAF, joint projects), and a results framework with indicators and means of verification.

b.  SMART, objectively verifiable results indicators for individual outcome areas and their components, agreed upon by all stakeholder.

c.  Implementation modalities for joint programmes and inter-agency accountability and responsibilities for delivering results.

d.  A monitoring system designed and operational to track progress in results and impact of the programme.

e.  Quality and reliability of baseline data to measure results and outcomes

f.  Adequacy and predictability of financial resources for the entire coverage of the Programme.

## Possible indicators for the DaO mid-term evaluation

203.    The following are some possible indicators for the DaO mid-term evaluation, based on the pilot evaluability mission to Uruguay. They encompass country related indicators as well indicators targeting agency Headquarters levels.

a.  Contribution of the priorities of the One Programme to address the specific needs of the country (relevance and effectiveness).

b.  Measures taken to integrate gender equality and human rights perspectives into the joint projects of the One Programme (mainstreaming of horizontal priorities).

c.  Objectives of strategic intent set in the One Programme Document as benchmarks (strategic intent).

d.  Participation and involvement of CSOs in the implementation of the One Programme (ownership).

e.  Participation and established role of UN organizations in the formulation and implementation of the 9 + 1 joint projects (inclusiveness of UN organizations).

f.  Established mechanisms for consultation, coordination and accountability to main donors and other development actors (coordination and accountability).

g.  Guidance and support received on the design of the M&E system from Headquarters (support from Headquarters).

h.  Specific management changes introduced at Headquarters level regarding the DaO pilots (commitment towards change management).

i.  Concrete elements of procedural changes introduced at Headquarters level (commitment towards change management).

j.  Concrete examples of behavioral change (commitment towards change management).

k.  Definition of acceptable levels of transaction costs at the country level (cost efficiency).

l.  Level of evaluation capacity building received in Uruguay (capacity building, change management).

m.  Existence and implementation of a UNCT strategy for resource mobilization (funding, change management, ownership of DaO and One Programme).

n.  Concrete contribution of UN organizations to close the funding gap (ownership of DaO and One Programme).

o.  Terms of Reference for the RC endorsed by the UNCT (strategic intent, One Leader).

p.  Fund allocation criteria for Coherence Fund and Transformation Fund established (transparency).

q.  Funds mobilization (closing the funding gap of USD 15 million) for joint Projects and for Work Plan 2008 (reliability of funding).

r.  Resource mobilization strategy for One Coherence Fund at national and Headquarters level in place (reliability of funding).

# 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 impact[1].

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 FAO[2]. 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.

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[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

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[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 Review[4] 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.

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[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 is there 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: Mission programme in Uruguay, 25-29 February 2008

| Monday, 25 February | |
|---|---|
| Time | Activity |
| 8:30-10:00 | Reunión inicial, Sr. Pablo Mandeville, Coordinador Residente de las Naciones Unidas.<br>*Javier Barrios Amorín 870, 3er piso - Tel: 412 33 57* |
| 10:00-12:30 | El Programa Conjunto 2007 - 2010 y la programación conjunta, Sr. Gustavo de Armas, Responsable del Programa Conjunto, Sr. Gonzalo Guerra, Asistente de Monitoreo y Evaluación.<br>*Javier Barrios Amorín 870, 2ndo piso - Tel: 412 33 57* |
| 12:30-14:00 | Almuerzo |
| 14:00-14:30 | Países de Renta Media, Sr. Leo Harari, Asesor del Coordinador Residente, Sr. Gonzalo Pérez del Castillo, Asesor del Coordinador Residente.<br>*Javier Barrios Amorín 870, 2ndo piso - Tel: 412 33 57* |
| 14:30-15:30 | Una Oficina Conjunta—Pilar Operaciones, Sra. Rosina Novoa, Chair del Grupo de Operaciones, Sra. Laura García, Vice-Chair del Grupo de Operaciones, Sra. Silvia da Rin Pagnetto, Asesora del Coordinador Residente, Sr. Marcos Dotta, Asistente Técnico de la Oficina del Coordinador Residente.<br>*Javier Barrios Amorín 870, 2ndo piso - Tel: 412 33 57* |
| 15:30-16:00 | Comunicación - Sra. Silvia da Rin Pagnetto, Asesora del Coordinador Residente, Sr. Juan Miguel Petit, Asesor en Comunicación y DD.HH.<br>Sr. Esteban Zunín, Asistente de Comunicación, Sra. Gabriela García, Asistente de Comunicación.<br>*Javier Barrios Amorín 870, 2ndo piso - Tel: 412 33 57* |
| **Tuesday 26 February** | |
| 9:30-10:30 | Reunión con la Sra. Silvia da Rin Pagnetto, Asesora del Coordinador Residente<br>*Javier Barrios Amorín 870, 3er piso - Tel: 412 33 57* |
| 11:00-13:00 | Reunión Conjunta Ministerio de Relaciones Exteriores y Oficina de Planeamiento y Presupuesto de Presidencia de la República<br>Prof. Belela Herrera, Subsecretaria del Ministerio de Relaciones Exteriores, Sr. Federico Gomensoro, Jefe de Gabinete, Sra. Nury Bauzán, Coordinadora Una ONU, Dr. Conrado Ramos, Subdirector de la Oficina de Planeamiento y Presupuesto de la Presidencia, |

| | |
|---|---|
| | Sr.Washington Batista, Director Cooperación Internacional, Sr. Nelson Villareal, Coordinador Una ONU. |
| | *Presidencia de la República, Edificio Libertad, 4to.piso* |
| 13:00-14:30 | Almuerzo |
| 14:30-15:00 | Sra. Gabriela de la Iglesia, Oficial a cargo a.i., ONUSIDA |
| | *Javier Barrios Amorín 870, 3er. piso - Tel: 412 33 57* |
| 15:00-17:00 | Reunión con el Equipo de País de las Naciones Unidas en Uruguay |
| | *Javier Barrios Amorín 870, 2ndo. piso - Tel: 412 33 57* |
| **Wednesday 27 February** | |
| 9:00-10:00 | Sr. Antonio Molpeceres, Director de País, PNUD |
| | *Javier Barrios Amorín 870, 3er piso - Tel: 412 33 57* |
| 9:00-10:00 | Sr. Juan Carlos Acosta, Consultor, FAO |
| | *Julio Herrera y Obes 1292 - Tel: 901 73 40* |
| 9:30-10:30 | Sra. Mariana González, Coordinadora de Programa País, UNIFEM |
| | *Javier Barrios Amorín 870, 2ndo. piso - Tel: 412 33 57* |
| 10:15-11:15 | Sra. Magdalena Furtado, Oficial Nacional de Programa, UNFPA, Sra. Karina Batthyany, Consultora, UNFPA |
| | *Javier Barrios Amorín 870, 3er piso - Tel: 412 33 57* |
| 11:30-12:30 | Sr. Tom Bergmann-Harris, Representante, UNICEF |
| | *Br. Artigas 1659, piso 12 - Tel: 403 03 08* |
| 12:30-13:30 | Almuerzo |
| 13:45-14:45 | Sra. Susana Leonardi, Encargada de Misión, OIM |
| | *Juncal 1305, oficina 501- Tel: 916 80 43* |
| 15:00-16:00 | Sr. Alberto Di Liscia, Representante y Director Oficina Regional, ONUDI, Representante a.i., FAO |
| | *Pza. Independencia 831, oficina 904- Tel: 900 83 57* |
| 15:30-16:30 | Dr. José Fernando P. Dora, Representante, OPS/OMS |
| | *Avda. Brasil 2697, piso 2 - Tel: 707 35 89* |

UNEG Evaluation of the Pilot Initiative for Delivering as One: Uruguay Evaluability Assessment

| | |
|---|---|
| 16:15– 17:15 | Sr. Julio Carranza, Oficial a cargo, UNESCO |
| | *Edificio Mercado Común del Sur, Luis Perez Piera 1992, 2ndo piso - Tel: 413 20 75* |
| 17:30-18:30 | Sr. Álvaro Ramos, Coordinador de Programa, FIDA |
| | *Edificio Mercado Común del Sur, Luis Piera 1992 - 2ndo piso Oficina 201- Tel: 413.6411* |
| **Thursday 28 February** | |
| 9:30-10:30 | Sr. Embajador Robert Meys, Embajada de Holanda |
| | *Leyenda Patria 2880 apto 202 - Tel: 711 29 56* |
| 10:45-11:45 | Sr. Embajador Fernando Valderrama y de Pareja, Embajada de España |
| | Avda. Brasil 2786 - Tel: 708 60 10 |
| 11:00-12:00 | Sr. Juan José Taccone, Representante, BID |
| | *Rincón 640* |
| 12:15-13:15 | Almuerzo de trabajo |
| | Dr. Conrado Ramos, Sub-Director, OPP, Dr. Fernando Filgueira, Asesor, OPP, Prof. Belela Herrera, Sub-Secretaria, Ministerio de Relaciones Exteriores, Dra. Nury Bauzán, Coordinadora - Proyecto One UN, Ministerio de Relaciones Exteriores, Sr. Pablo Mandeville, Coordinador Residente de la ONU, Sra. Silvia da Rin Pagnetto, Asesora del Coordinador, ONU, Sr. Gustavo de Armas, Analista de Coordinación, ONU |
| | Restaurante La Silenciosa (Ituzaingó 1426, esquina 25 de Mayo) |
| 14:00-14:30 | Teleconferencia, Sr. Trond Gabrielsen, Primer Secretario, Embajada de Noruega |
| | *Javier Barrios Amorín 870, 2ndo. piso - Tel: 412 33 57* |
| 14:00-15:00 | Sr. José Luis Pimentel, Coordinador General, AECI |
| | *Avda. Tomás Giribaldi 2290 - Tel: 711 61 74* |
| 15:15-16:15 | Sr. Jérôme Poussielgue, Consejero, Delegación de la Comisión Europea en Uruguay |
| | *Bulevar Artigas 1300 - Tel: 19440* |
| 17:00-18:00 | Sr. Filippo Romano, Jefe Cooperación Internacional, Embajada de Italia |
| | *José Benito Lamas 2857 - Tel: 708 53 16* |

| Friday 29 February | |
|---|---|
| 8:30-9:00 | Sociedad Civil, Sr. Roberto Bissio, Social Watch<br>*Javier Barrios Amorín 870, 2ndo. piso - Tel: 412 33 57* |
| 9:00– 10:00 | Reunión con la Federación de Asociaciones de Personal de las Naciones Unidas en Uruguay<br>*Javier Barrios Amorín 870, 2ndo. piso - Tel: 412 33 57* |
| 10:00-10:30<br>Belén Sanz | Sociedad Civil, Sra. Analía Bettoni, Presidenta, ANONG<br>*Javier Barrios Amorín 870, 2ndo. piso - Tel: 412 33 57* |
| 10:00-10:30<br>Monika Zabel | Sr. Nazario Espósito, Jefe del Centro de Operaciones, UNOPS<br>*Javier Barrios Amorín 870, 2ndo. piso - Tel: 412 33 57*<br>*\*Changed to telephone interview, conducted on March 5th* |
| 10:30-11:00 | Reunión interna, Sra. Belén Sanz, Sra. Monika Zabel<br>*Javier Barrios Amorín 870, 3er piso - Tel: 412 33 57* |
| 11:00-12:00 | Reunión de síntesis Sr. Pablo Mandeville, Coordinador Residente de las Naciones Unidas en Uruguay<br>*Javier Barrios Amorín 870, 3er piso - Tel: 412 33 57* |
| 12:00-12:30 | Videoconferencia<br>Sr. Andrés Marinakis, OIT<br>*Javier Barrios Amorín 870, 2ndo. piso - Tel: 412 33 57* |

# Annex 3: Key documents

Autoridades del Gobierno de la República Oriental del Uruguay

Artículo Publicado en el Semanario Brecha sobre la Reforma de las NN.UU.

Análisis Común de País 2005 (CCA)

Basic Summary of the DaO Experience in Uruguay

Issue paper sobre Renta Media y Vulnerabilidad Estructural Límite

Link a la página del Sistema de las Naciones Unidas en Uruguay: http://onu-uy.org

Marco de Asistencia para el Desarrollo del Sistema de las Naciones Unidas en Uruguay 2007-2010 (UNDAF)

Memorandum of Understanding between Participating UN Organizations, the United Nations Resident Coordinator and the United Nations Development Programme Regarding the Operational Aspects of the One Coherence Fund for Uruguay

Miembros del Equipo de País de las Naciones Unidas en Uruguay

Organigrama de Autoridades del Gobierno

Programa Conjunto 2007-2010 'Construyendo Capacidades para el Desarrollo', del Gobierno de la República Oriental del Uruguay y el Sistema de las Naciones Unidas

Relatoría de la Reunión de Directores Regionales del Sistema de las Naciones Unidas para América Latina y el Caribe, Montevideo, Uruguay, 30-31 de Julio de 2007

Resumen del informe de avance del Grupo de Operaciones en Uruguay

Standard Administrative Arrangement between the Ministry of Foreign Affairs of Norway and the United Nations Resident Coordinator and the United Nations Development Programme (UNDP)

Stocktaking DaO in Uruguay

Terms of Reference for the One Coherence Fund

Third Party Cost Sharing Agreement between the Government of the Netherlands (the donor) and the United Nations Development Programme (UNDP)

Update on DaO Initiative in Uruguay

# Annex 4: Survey to all UN organizations

## Evaluación del UNEG de los Pilotos

## "Unidos en la acción de las Naciones Unidas"

## Estudio de evaluabilidad en ocho países participantes

### *Encuesta entre las organizaciones de las Naciones Unidas*

El Grupo de Evaluación de las Naciones Unidas (UNEG) está poniendo en práctica en la actualidad la primera fase de la evaluación de los programas experimentales 'Unidos en la Acción de las Naciones Unidas'. La primera fase consiste en una valoración de la evaluabilidad de los programas experimentales, es decir, la determinación de los parámetros básicos con respecto a los cuales se pueden evaluar los programas piloto.

Como parte de la primera fase, el equipo del UNEG quisiera evaluar las opiniones y las perspectivas de todas las organizaciones de las Naciones Unidas (fondos, programas, organismos especializados, organismos no residentes) que desempeñan una labor en Uruguay.

Este cuestionario debe ser rellenado por el representante residente de cualquier organización de las Naciones Unidas representada en Uruguay o, en el caso de los organismos no residentes, por el funcionario de enlace de apoyo en Uruguay.

Sírvase enviar el cuestionario antes del miércoles 20 de febrero de 2008. El cuestionario debe enviarse a:

E-MAIL ADDRESSES

Belen.sanz@unifem.org

guzman@ilo.org

CrossXculture@aol.com

**Nombre de la organización:**

**Nombre y función de la persona que ha rellenado esta encuesta:**

**Dirección electrónica:**

**¿A que programa piloto de país (países) 'Unidos en la Acción de las Naciones Unidas' se refiere esta respuesta?**

**Fecha:**

¿De qué manera ha participado su organización en el programa experimental "Unidos en la Acción"?

1.   ¿En qué medida sus asociados nacionales inmediatos (gobierno, sociedad civil, sector privado, etc.) han participado en el programa experimental 'Unidos en la Acción'?

2.   ¿Cuáles han sido los **tres principales** factores que han afectado la participación de su organización en el programa experimental 'Unidos en la Acción'?

3.   Según su opinión, ¿cuáles han sido los **tres principales** beneficios del programa experimental 'Unidos en la Acción'?

4.   Según su opinión, ¿cuáles han sido los **tres principales** riesgos o posibles desventajas que podrían existir?

5.   Sírvase valorar su satisfacción en general con el proceso del programa experimental 'Unidos en la Acción' en una escala del 1 al 10 (1 la menor satisfacción y 10 la mayor).

     Valoración __

¿Qué sugerencias tiene para mejorar el programa experimental 'Unidos en la Acción'?

# Annex 5: Joint outputs of the one programme (financed with additional resources)

**Propuesta del Gobierno Uruguayo para la ejecución del Programa Conjunto 2007-2010 "Unidos en la Acción" de UN, a partir de iniciativas de organismos del Estado en el marco de la propuesta de "Fortalecimiento de las capacidades nacionales y transformación del Estado para la promoción del desarrollo integral" en los tres grandes ejes estratégicos de a) "fortalecimiento de las capacidades estatales para la planificación de estrategias de desarrollo", b) "Promoción de la participación ciudadana en el territorio y el desarrollo local" y c) "Fortalecimiento de las políticas sociales, los programas de inclusión social y los planes contra las distintas fuentes de inequidades"**

"Prioridades Nacionales" del UNDAF / Efectos del Programa Conjunto (1): "Para 2010 el país habrá avanzado en la generación de capacidades para la incorporación de conocimientos, innovaciones y diversificación en los procesos productivos de bienes y servicios orientados al crecimiento sostenido y sostenible"

| Productos del Programa Conjunto | Proyectos Conjuntos | Módulos o componentes de los Proyectos Conjuntos | Justificación/ Resumen | Asociados en la implementación | Agencia Líder[73] | Presupuesto 2007/2008 | Presupuesto 2007/2010 |
|---|---|---|---|---|---|---|---|
| 1.1. "Las instituciones del Estado han fortalecido sus capacidades para diseñar estrategias de desarrollo" | **A. "Fortalecimiento institucional para el diseño de estrategias de desarrollo económico: inserción internacional y política energética de largo plazo"** | 1. Diseño de estrategias e instituciones para la mejora de la inserción internacional del país en el largo plazo: imagen país, inversión extranjera y propiedad intelectual<br>2. Formulación y apoyo a la coordinación de política energética de largo plazo | Las capacidades para la realización de políticas de promoción productiva en Uruguay se encuentran menguadas debido a la ausencia de un conjunto de políticas consistentes durante las últimas décadas.<br>Es necesario impulsar desde el Estado la diversificación de la estructura productiva hacia actividades sustentables intensivas en conocimiento e innovación que agreguen valor a la estructura actual, generen encadenamientos con un conjunto mayor de empresas dinamizando la economía en general y con ella el mercado de trabajo, y que permitan reducir el nivel de vulnerabilidad frente a los shocks externos. | **OPP-CIACEX** (RREE, MGAP, MIEM, MTD, 'Uruguay XXI')<br><br>**OPP** y MIEM-DN ETN, ANII, ANCAP, UTE, UDELAR. | ONUDI | 225,000 | 450,000 |
| 1.2. "Las políticas públicas de promoción productiva han sido fortalecidas" | **B. "Asistencia técnica para el diseño de políticas de promoción de la producción sustentable y el empleo"** | 3 Análisis sectorial para el diseño de instrumentos de promoción productiva estratégica de largo plazo.<br>4. Apoyo a la recuperación de empresas.<br>5. Creación de un Fondo de Garantías para empresas.<br>6. Apoyo a la Comisión Sectorial de cooperativismo<br>7. Construcción de un inventario forestal nacional. | | **Presidencia**—OPP<br>**MTSS** y MIEM<br>**MTSS** y gob. Departamentales<br>**OPP**<br>**MGAP**, INIA y MVOTMA, UDELAR | ONUDI | 525,000 | 450,000<br>100,000<br>100,000<br>50,000<br>350,000<br>1,050,000 |

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[73] Se entiende por "Agencia líder" aquélla que coordinará los aportes del resto de las Agencias participantes y actuará como único punto focal para la formulación de ese proyecto.

UNEG Evaluation of the Pilot Initiative for Delivering as One: Uruguay Evaluability Assessment

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|---|---|---|---|---|---|---|---|
| 1.12. "Las políticas de protección del medioambiente en el nivel local han sido apoyadas." | C. "Desarrollo de instrumentos para el monitoreo ambiental y territorial" | 8. Creación de un sistema de monitoreo socioeconómico ambiental y territorial. /Fortalecimiento del Sistema Nacional de Emergencia<br><br>9. Generación, actualización y potenciación de bases de datos correspondientes a la infraestructura de datos espaciales. | Disponer de información de calidad, (física, social, económica), referenciada geográficamente es un insumo imprescindible a la hora de diseñar políticas. Tanto la planificación del transporte, el ordenamiento territorial, la previsión de desastres mediante la evaluación de riesgos hacen necesario contar con información detallada, verificable y posible de geo referenciar. | **MVOTMA** (DINOT) y "Ecoplata"<br><br>**MTOP**, MEF, MGAP, MD, , MVOTMA e INE | UNESCO | 195,000 | 185,000 (150,000) 205,000<br><br><br><br><br><br><br><br><br>390,000 |
| 1.13. "Las capacidades estatales y sociales para la promoción del desarrollo en el territorio han sido fortalecidas al 2010." | D. "Diseño e implementación de proyectos piloto de promoción del desarrollo integral en el territorio" | 10. Ruta 5: ventana de oportunidades<br>11. Promoción de municipios y comunidades saludables en Uruguay<br>12. Plan de acción integral para alcanzar los ODM en Montevideo, área metropolitana y otros departamentos.<br>13. Desarrollo de experiencias piloto de desarrollo de capacidades locales en las áreas desfavorecidas del noreste del país.<br>14. Atención primaria habitacional<br>15. Intervención en el asentamiento de Fray Bentos para la recalificación del espacio social y físico | Uruguay ha incorporado de manera muy reciente la dimensión territorial en los procesos de formulación de políticas. Es necesario fortalecer las capacidades de los actores locales para asumir un rol protagónico y constructivo en la definición de los objetivos, su seguimiento y evaluación, que refuerce la dimensión de orientación al interés público y por lo tanto la calidad de la política.<br><br>Para ello, se propone la implementación de una serie de experiencias piloto de desarrollo local, que servirán para probar nuevas herramientas y extraer lecciones aprendidas para otras experiencias similares. | **IMM** y IMF, IMD, IMC<br>**MSP** y MIDES, MGAP, MVOTMA, UDELAR, ANEP, Gob.Locales<br><br>**IMM** y Gob.Dptales. MGAP<br><br><br>**MGAP** e Intendencias<br><br><br><br>**MVOTMA** y MIDES, MSP, MTSS, BPS y Gob.Dptales<br>MVOTMA y MIDES | PNUD | 668,000 | 250,000 100,000 200,000 *300,000 390,000 96,000<br><br><br><br><br><br><br><br><br><br><br><br><br><br>1,336,000 |
| **Subtotal** | | | | | | **1,613,000** | **3,376,000** |
| *Notes: ANEP indicates National Administration for Public Education; INE, National Statistics Institute* | | | | | | | |