

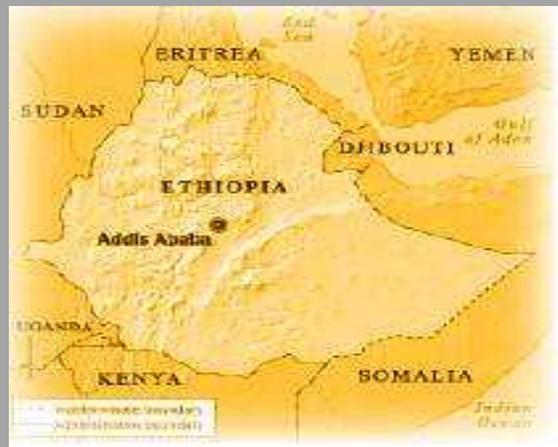
# ETHIOPIA: UNITED NATIONS DEVELOPMENT ASSISTANCE FRAMEWORK

(UNDAF) 2012-2015

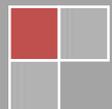
## MONITORING AND EVALUATION (M&E) PLAN

(Volume I - Main Document)

*Working together, the United Nations in Ethiopia commits to support the Government of Ethiopia in the achievement of its humanitarian and national development goals with priorities aimed at equitable and sustainable growth, transformation and governance. – UNDAF Vision Statement*



*United Nations Country Team,  
November 2012*



---

# TABLE OF CONTENTS

<b>Executive Summary .....</b>	<b>3</b>
<b>Abbreviations and Acronyms.....</b>	<b>4</b>
<b>Acknowledgments.....</b>	<b>5</b>
<b>Section 1: Introduction .....</b>	<b>6</b>
<b>Section 2. UNDAF M&amp;E Matrix and Programme Monitoring Framework.....</b>	<b>8</b>
<b>Section 3. Monitoring Activities .....</b>	<b>10</b>
<b>Annual Work Plan .....</b>	<b>10</b>
<b>Annual and Midterm Reviews .....</b>	<b>11</b>
<b>Joint Field Monitoring Visits .....</b>	<b>13</b>
<b>Programme Quality Assurance Activity and Audit.....</b>	<b>15</b>
<b>Section 4. Evaluation Activities.....</b>	<b>17</b>
<b>Section 5. Reporting .....</b>	<b>20</b>
<b>Section 6. M&amp;E Database .....</b>	<b>24</b>
<b>Section 7. M&amp;E Capacity Development .....</b>	<b>26</b>
<b>Section 8. M&amp;E Coordination.....</b>	<b>27</b>
<b>Section 9. Calendar of M&amp;E Activities.....</b>	<b>29</b>
<b>Section 10. M&amp;E Budget.....</b>	<b>32</b>
<b>Glossary.....</b>	<b>33</b>
<b>ANNEXES.....</b>	<b>35</b>
<b>Annex 1. Programme Monitoring Framework Template .....</b>	<b>35</b>
<b>Annex 2. Annual Work Plan (AWP) Template .....</b>	<b>36</b>
<b>Annex 3. Annual Review Reporting Templates, Reporting Tool (RT) 1, 2 and 3.....</b>	<b>37</b>
<b>Annex 4. Standard Operational Format for the UNDAF Progress Report .....</b>	<b>40</b>
<b>Annex 5. Guiding Checklist for Programme Implementation Monitoring Trips (PIMT).....</b>	<b>43</b>
<b>Annex 6. Joint Monitoring Reporting and Presentation Templates.....</b>	<b>45</b>
<b>Annex 7. Guidance on Quality Assurance Activity (QAA) .....</b>	<b>47</b>
<b>Annex 8. Quality Assurance Checklist .....</b>	<b>50</b>
<b>Annex 9. Main Steps of UNDAF Evaluation.....</b>	<b>54</b>
<b>Annex 10. Structure of the UNDAF Final Evaluation Report .....</b>	<b>55</b>
<b>Annex 11. Resident Coordinator’s Annual Reporting Template.....</b>	<b>56</b>
<b>Annex 12. UNDAF M&amp;E TWG TOR .....</b>	<b>62</b>

---

## EXECUTIVE SUMMARY

With the launch of the new United Nations Development Assistance Framework (UNDAF) 2012 – 2015 for Ethiopia, the UN and Government of Ethiopia introduced a more strategic approach to monitoring and evaluating UN-supported programs. This approach increases accountability and transparency and improves programme performance based on Result Based Management principles.

In order to achieve this strategic approach, the United Nations Country Team and Government jointly developed a four-year M&E plan for the UNDAF. This document describes the M&E plan for the UNDAF within the timeframe and budget 2012 – 2015. The M&E plan outlines all M&E activities and tools within the UNDAF in order for the UN, Government and other national partners to implement a well-functioning M&E system. This M&E system ensures high-quality, timely, complete and relevant data to measure performance and demonstrate the results of UN operations.

In this plan, M&E is integrated into assessment, planning, implementation and reviews. Quality evaluations inform the relevance, efficiency, effectiveness, sustainability and impact of the UNDAF. This M&E plan ultimately aims to develop stronger national partnerships, enhance project design, improve implementation and demonstrate the performance of UN operations in Ethiopia. The Government and UN will implement the M&E plan jointly.

The principal elements of the M&E plan are the M&E matrix and Programme Monitoring Framework, which provide detailed M&E information on UNDAF results. Annual Work Plans, Annual and Midterm Reviews, joint field monitoring visits, quality assurance and audit activities are the core monitoring, planning and review activities for the UNDAF. Thematic Evaluations, Joint Programme Evaluations and a Final Evaluation are the main tools used to assess the UNDAF.

An M&E reporting structure aligns to all M&E activities. The reporting structure is supported by the UNDAF Info online M&E database, which will be administrated by the Resident Coordinator's Office. The M&E plan will support the strengthening of M&E capacity for both UN Agencies and Government through the joint RBM strategy.

The M&E plan concludes by detailing the coordination structure for UNDAF M&E, the calendar of M&E activities for the four years of UNDAF implementation and additional M&E funding needs for the UNDAF Final Evaluation and UNDAF Info database.

This M&E plan is a living document that will be continuously and regularly reviewed and updated during the life of UNDAF, at least annually.

---

## ABBREVIATIONS AND ACRONYMS

AMP	Aid Management Platform
AWP	Annual Work Plan
BoFED	Bureau of Finance and Economic Development
CPAP	Country Programme Action Plan
CRQ	Cash Requisitions
EFY	Ethiopian Fiscal Year
FACE	Fund Authorization and Certification of Expenditure
GTP	Growth and Transformation Plan
HACT	Harmonized Approach to Cash Transfer
IAPT	Inter-Agency Programming Team
MDGs	Millennium Development Goals
M&E	Monitoring and Evaluation
M&E TWG	M&E Technical Working Group
MoFED	Ministry of Finance and Economic Development
NGO	Non-Governmental Organization
PIM	Programme Implementation Manual
PIMT	Programme Implementation Monitoring Trip
PMF	Programme Monitoring Framework
QAA	Quality Assurance Activity
RBM	Result Based Management
RCO	Resident Coordinator's Office
RT	Reporting Tool (for AWP and Annual Review)
TWG	Thematic Working Group
UN	United Nations
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
WoFED	Woreda Office of Finance and Economic Development

---

## ACKNOWLEDGMENTS

Acknowledgment is made to members of the Monitoring and Evaluation Technical Working Group (M&E TWG), and contributions from the UNDAF Thematic Working Groups (TWGs) and the Ministry of Finance and Economic Development (MOFED), who were instrumental in the preparation of this UNDAF M&E plan.

Special thanks goes to M&E TWG members Yumi Matsuda, Behailu GebreMedhin and Ilaria Simeone, M&E TWG secretariats Metselal Abraha and Dinksew Taye, and M&E TWG co-chairs Katherine George and Messay Teferi, for conceptualizing and drafting the contents of the M&E plan, and for their continuous dedication and commitment throughout the review and finalization of the document.

---

## **SECTION 1: INTRODUCTION**

With the launch of the new United Nations Development Assistance Framework (UNDAF) 2012 – 2015 for Ethiopia, the UN and Government of Ethiopia introduced a more strategic approach to monitoring and evaluating UN-supported programs. This approach increases accountability and transparency and improves programme performance based on Result Based Management (RBM) principles.

In order to achieve this strategic approach, the United Nations Country Team (UNCT) and Government jointly developed a four-year M&E plan for the UNDAF. This document describes the M&E plan for UNDAF programming within the timeframe and budget 2012 – 2015. The M&E plan outlines all M&E activities and tools within the UNDAF in order for the UN, Government and other national partners to implement a well-functioning M&E system. This M&E system ensures high-quality, timely, complete and relevant data to measure performance and demonstrate the results of UNDAF operations.

In this plan, M&E is integrated into assessment, planning, implementation and reviews. Quality evaluations inform the relevance, efficiency, effectiveness, sustainability and impact of the UNDAF. This M&E plan ultimately aims to develop stronger national partnerships, enhance project design, improve implementation and demonstrate the performance of UN operations in Ethiopia.

The Government and UN will implement the M&E plan jointly. The UNDAF M&E plan was developed in support of the Government's M&E procedures outlined in the Programme Implementation Manual (PIM).

### **AUDIENCE OF THIS DOCUMENT**

The UNDAF M&E plan is addressed to all UN staff, Government authorities working with the UN and national partners in Ethiopia at federal, regional, zonal and woreda levels and especially those responsible for RBM, planning, M&E and reporting. Readers are advised to be familiar with the UNDAF and UNDAF Action Plan documents in order to better understand the UNDAF M&E Plan.

### **ORGANIZATION OF THIS DOCUMENT**

Section 2 presents the principal elements of the M&E plan: the M&E matrix and Programme Monitoring Framework (PMF), which provide detailed M&E information on UNDAF results. The M&E matrix captures complete information of all M&E elements in the UNDAF (outcome level) and UNDAF Action Plan (output level) results matrices. Performance indicators, baseline information, annual targets, and M&E data sources, collection and analysis are described.

The PMF is the logical framework for individual Agency-level interventions, results, resources, and future targets. Annual review of results and resources against targets using the M&E matrix and PMF ensure that the UN System has continued relevance in Ethiopia's dynamic development context.

Section 3 of the M&E plan describes the core monitoring and review activities for the UNDAF. These include the Annual Work Plans (AWP), Annual and Midterm Reviews, joint field monitoring visits, quality assurance (QAA) and audit activities.

AWPs are the joint annual implementation plan and budget for UN Agencies and Government. AWPs are results-based and serve as the basis for joint UN-Government monitoring and review of project implementation.

The joint UN-Government Annual and Midterm Reviews are the process of dialogue and feedback on annual UNDAF performance. Annual Reviews ensure the dissemination of performance-based information to all stakeholders and the appropriate discussions are held concerning key findings, leading to timely and informed decision-making by stakeholders. A larger Midterm Review will take place mid-UNDAF.

Joint field monitoring visits are the main tools for joint collection of field-level monitoring information (qualitative and quantitative) on results, processes and activities.

Programme QAA and audit activities are joint monitoring activities of the UN and Implementing Partners to assess the reliability and accuracy of financial and activity data. Activities include review of written reports, direct observations, and discussion and interview with Implementing Partners and beneficiaries.

Section 4 explains the purpose, objectives, scope, methodology and steps for UNDAF evaluations.

Section 5 describes the main M&E reports and reporting flows. It sets out the reporting channels by which the monitoring information is collected and shared to report achievement of results, facilitate organizational learning and inform UNCT and Government management decisions.

Section 6 outlines the UNDAF M&E database. The main functions, roles, and responsibilities for data input and maintenance of the database are explained.

Section 7 defines a plan for M&E capacity building, with a focus on support to strengthening national M&E capacities within an RBM approach. The plan supports an RBM capacity assessment and national RBM strategy.

Section 8 details the coordination structure for UNDAF M&E. The roles and responsibilities of the Government, UNCT, Pillar TWGs, Inter Agency Programming Team (IAPT), M&E TWG, Agencies and Implementing Partners in monitoring and evaluating the UNDAF are described.

Section 9 delineates the calendar of M&E activities by quarters for the four years of UNDAF implementation. The M&E calendar includes a brief description of M&E activities, expected outputs, timeframe, responsible parties, participants and standard report formats for each activity.

Section 10 explains the need for additional M&E funding for the UNDAF Final Evaluation and UNDAF Info database. All other M&E funding is captured in the UNDAF and UNDAF Action Plan budgets.

This M&E plan is a desk reference (living) document that will be continuously and regularly reviewed and updated during the life of UNDAF, at least annually.

---

## SECTION 2. UNDAF M&E MATRIX AND PROGRAMME MONITORING FRAMEWORK

The M&E matrix captures the core M&E elements that will be used for the regular and periodic measurement of UNDAF results. The matrix is critical for establishing clear roles and responsibilities and ensuring that the appropriate information is available to assess UNDAF performance against stated objectives.

The M&E matrix presents M&E information for both UNDAF outcome and output results. Against each result, the M&E matrix clearly identifies indicators, baselines, overall and annual targets, the source of the data, what methods will be used in collection, and who will be responsible for collection and analysis of the data.

Outcome results from the UNDAF results matrix and associated output results from UNDAF Action Plan results matrix are organized based on a results hierarchy, whereby the outputs are grouped under the outcomes they are meant to achieve.

Indicators from the UNDAF and UNDAF Action Plan results matrices are described against each result with the result's baseline values and year. Baseline values are set using the most recent measurements before the UNDAF began.

Overall and annual targets for achievement of results are defined. Targets in the M&E matrix are indicative based on the assumption of full resourcing. They will be adjusted regularly based on available and anticipated funding.

The data source, data collection method and responsibility for data collection and analysis are provided for each indicator. Although the specific responsibilities for data collection and analysis depend on the type of indicator, the overall responsibility for data collection and analysis rests with Implementing Partners and is coordinated by the Ministry and Bureaus of Finance and Economic Development (MoFED/BoFED) with UN technical support and collaboration.

Outputs and their associated indicators and targets can be adjusted annually as part of the Annual Review and reprogramming process.

Volume II of the M&E plan contains the matrix for all four UNDAF pillars, using the following format:

Pillar Number and Name										
UNDAF Results Matrix Element	Indicators	Baseline		Targets				Data Source	Data Collection Method	Responsibility for Collection and Analysis
		Year	Value	Overall Target	Year 1	Year 2	Year 3			
Outcome										
Output 1										
Output 2										

**Figure 1:** M&E matrix template

To accompany the M&E matrix, the UNCT Ethiopia and MOFED have agreed to adopt the PMF. The PMF serves as an AWP for all Agencies, although certain Agencies will continue to produce an AWP with the Government in addition to the PMF.

The PMF is a key tool to help joint monitoring efforts and ensure Agency level accountability. More specifically, individual Agencies' contributions towards the achievement of UNDAF outputs are monitored and evaluated using the PMF. The PMF is consolidated by UNDAF pillar and elaborates detailed Agency level interventions/activities<sup>1</sup>. Agency level interventions/activities provide information on what will be accomplished by each Agency during the year for a result or a set of results identified in the UNDAF Action Plan. Under each UNDAF outcome, output and key intervention, the PMF tracks Agency interventions/activities, indicators, baselines, targets for achievement of results, geographic areas of interventions/activities, Implementing Partners and total resources allocated (funded and unfunded)<sup>2</sup>. The PMF is planned for two Ethiopian Fiscal Years (EFY), in line with the AWP fiscal and programmatic planning cycle.

Tracking Agency level results facilitates better planning, analysis and reprogramming by the UNDAF TWGs in order to ensure that UNDAF outputs are attained. The evaluation of Agency-level results will feed into the annual reporting, Annual Review processes and the UNDAF Final Evaluation.

<sup>1</sup> Agency level interventions, which are at the output level, and Agency level activities are included together in the PMF. This was done in order to accommodate Agencies that plan *Agency level outputs* in the AWP and Agencies that plan *activities*, both of which directly contribute to the achievement of UNDAF outputs.

<sup>2</sup> The PMF format is included in Annex 1.

---

## SECTION 3. MONITORING ACTIVITIES

### *ANNUAL WORK PLAN*

The Annual Work Plan (AWP) is a formal joint activity plan between a UN Agency or UN Joint Programme (comprised of a group of UN Agencies) and the Government. AWP provides detailed activity planning of what will be accomplished by the UN and Implementing Partners during a fiscal year to achieve a result or a set of results identified in the UNDAF. AWP are developed using the logic that the completion of the activities in the AWP should lead over time to the achievement of outputs, which in turn contribute to the UNDAF outcomes.

One AWP is produced for each participating UN Agency and each Joint Programme, for each region and at the federal level for federally supported programmes. As a formal agreement between the UN and Government, the AWP provides the basis for the requisition of inputs (cash, supplies, contracts, travel, and personnel) and disbursement of funds to carry out planned activities.

AWPs align with the EFY, which begins on 8 July and ends on 7 July, by planning from July to June. This enables the UN to meaningfully participate in national planning and review processes. AWP are prepared separately for each fiscal year twice over the UNDAF cycle: in 2012 (two AWP are prepared for July 2012-June 2013 and July 2013-June 2014) and in 2014 (two AWP are prepared for July 2014-June 2015 and July 2015-December 2015). The first two AWP cover a period of 24 months and the second two AWP will cover a period of 18 months. The final AWP is for a six month period in order to align with both the EFY and the end of the UNDAF in 2015.

AWP preparation should be informed by annual UNDAF and Agency reviews and should link with the UNDAF M&E matrix and PMF. While preparing AWP, caution should be taken to apply the sufficient and necessary logic of RBM principles to assure genuine alignment between activities, Agency level outputs (in relation to key interventions), UNDAF outputs and outcomes.

AWPs will be prepared using the agreed upon Inter-Agency AWP template (2012)<sup>3</sup>. The AWP template contains the following sections:

a. The cover page lists the relevant results to which the interventions in the AWP contribute: the Growth and Transformation Plan (GTP) National Priority; UNDAF outcome(s); UNDAF output(s); and Agency outputs. It also includes a narrative section that describes the main goals and activities of the AWP, a table with the name and budget code of the intervention, and a table with the estimated budget including funding gap. The document is signed by MoFED (as the Government-coordinating body), the relevant Federal Implementing Partners, participating UN Agency/ies and BoFED on behalf of Regional Implementing Partners.

b. The annual work plan is set out as a matrix with the following elements:

- UNDAF Outcome Statement;
- UNDAF Output Statement;
- Agency Output Statement (cross referenced to the joint key intervention number in the UNDAF Action Plan);
- Regional targets, which should be formulated to show the cumulative effect at the national level;

---

<sup>3</sup> The AWP format is included in Annex 2.

- All activities during the year covered by the AWP (whether funded or unfunded) for each Agency output, including M&E activities, field monitoring visits, technical backstopping missions and audits;
- Baseline and annual target indicators for each Agency output; baseline and targets should be disaggregated for the region for Regional AWP and cumulated at the national level for Federal AWP;
- The timeframe (quarters of the year) in which planned activities will be undertaken;
- Responsible parties for the implementation of activities;
- Quarterly budgets and funding sources;
- Activity targets.

MoFED and BoFEDs will organize and lead AWP planning together with the UN system and the Resident Coordinator's Office (RCO) at national and regional levels. The Inter-Agency Programming Team (IAPT) and MoFED will jointly outline the AWP preparation timeframe, venue and participants, and will follow up on a timely planning process, compilation of plans and finalization of AWP for prompt sign-off.

The AWP will be prepared in three stages. The first stage is the preparation of woreda level AWP, in which the Government will lead the process. The preparation of AWP should build upon woreda planning using a participatory approach, fostering ownership of the UN-assisted programs at the community level. Moreover, UN supported programs should assist and integrate with existing Regional and Woreda priorities to achieve development goals in a concerted interaction.

The second stage is the regional level AWP preparation. At this stage, all woreda level AWP will be compiled into regional level AWP, which will be prepared in consultation with Regional partners, Federal Implementing Partners, UN Agencies and MoFED. BoFED is responsible for the overall coordination of the regional level AWP preparation, while sector bureaus shoulder the responsibility of preparing, coordinating and compiling sector specific regional AWP.

At the third stage and final stage, all AWP will be compiled to give the national picture. This process will be handled by MoFED in consultation with the RCO and sector ministries.

## ***ANNUAL AND MIDTERM REVIEWS***

Joint annual reviews of the implementation of the UNDAF Action Plan will be held by all UN Agencies and MoFED. Joint annual reviews simplify the different review processes within the UN to reduce transaction costs and shorten activity timelines for partners and Agencies. This approach intends to increase the effectiveness, efficiency, and productivity of UN interventions.

Simplification includes:

- Replacing, to the extent possible, individual Agency annual review meetings with one Government-UNCT Annual Review Meeting at national and regional levels;
- Using common tools, mechanisms and processes; such as the AWP and PIM;
- Ensuring that outputs from the review feed into annual reports for Agencies, the Resident Coordinator and donors.

The purpose of the joint annual reviews is to:

- Assess progress towards achieving expected results as defined in the UNDAF M&E plan;
- Make changes in planning assumptions, risks and emerging opportunities;

- Assess the annual results and their coherence with UNDAF results targets;
- Assess continued relevance of planned results;
- Learn lessons and make recommendations for continuous adjustment of programme output/outcome results for effective and efficient delivery of the UNDAF results;
- Revisions of planned activities, partnerships, and resource allocations;
- Draw conclusions to inform subsequent year UNCT and thematic group work plans and AWP, as well as to adjust the UNDAF M&E plan as necessary;
- Provide input to UNCT and Agency reporting.

Two types of joint reviews take place: the UNDAF Annual Review and the UNDAF Midterm Review.

**THE UNDAF ANNUAL REVIEW** is the opportunity for individual Agencies and their Implementing Partners at national and sub-national levels to assess progress towards achieving UNDAF *outputs*.

**THE UNDAF MIDTERM REVIEW** is a joint Government and UN review conducted with the national partners to assess the performance of UNDAF *outcomes* at half way of the UNDAF period in 2014. An UNDAF Progress Report is produced from the Midterm Review. The results of the review help to feed into the UNDAF Final Evaluation and preparation for the next UNDAF period.

The UNDAF Annual Review and Midterm Review follow a common Annual Review process. This process comprises two inter-related stages: thematic group analysis and the UNDAF Annual or Midterm Review Meeting.

### **THEMATIC GROUP REVIEW**

Thematic analysis of the existing UNDAF Pillar TWGs is the opportunity for Agencies to collectively assess convergence of participating Agency contributions and overall progress towards UNDAF outputs and outcomes. Pillar TWGs should conduct *quarterly progress reviews* with a final, *annual thematic review* to be completed in June, at the end of the fourth quarter of the EFY and in advance of the UNDAF Annual Review Meeting.

Quarterly progress reviews are quick assessments by Pillar TWGs of achievement towards UNDAF outputs. Agencies should assess their performance against targets in the PMF. Agencies should use Implementing Partner quarterly activity reports, information from Regional Government midyear reviews, and their own monitoring information. Quarterly progress reviews are held at the end of each quarter for the first three quarters of the EFY.

The annual thematic review should be completed at the end of the fourth quarter of the EFY. The review should assess situation and context, progress toward UNDAF results achieved versus target (key intervention, output and outcome level), resource utilization versus disbursement and planned budget, good practices and reasons for success, major challenges and constraints, policy implications of findings and way forward. At the end of the review, Pillar TWGs should be able to summarize key achievements, findings, conclusions and recommendations<sup>4</sup>. Annual thematic reviews should assess progress, to the extent possible, towards achievement of UNDAF outcomes in the third year of UNDAF implementation, in advance of the UNDAF Midterm Review.

The IAPT will consolidate the annual thematic reports, which will be used as input for the Annual Review and Midterm Reviews.

---

<sup>4</sup> The Annual Summary Report and Annual Analytic Narrative Reports for consolidation by TWGs at the end of the Annual Thematic Review are included in Annex 3.

In addition, Agencies and partners that have AWP are encouraged to review related AWP together based on UNDAF thematic areas. However, for Joint Programmes, all involved Agencies and Implementing Partners should review the Joint Programme AWP together. Based on the AWP Review, each Agency prepares a summary report that links achievement of activities to Agency level (Country Programme) annual output results as well as UNDAF outputs and outcomes. Summary review reports and lessons learnt will be used in the UNDAF Annual Review.

## **ANNUAL REVIEW AND MIDTERM REVIEW MEETING**

The Annual Review and Midterm Review meetings will take place at the end of the second quarter, which is the end of the fourth quarter of the EFY. To ensure focus and productive engagements, the meetings shall be arranged by Pillar TWGs, which are based on UNDAF outcome results areas. The annual thematic reports, AWP reports<sup>5</sup> and AWP plans will be used to assess performance. The aim at the end of the review is to agree on concrete actions to improve UNDAF implementation based on RBM principles. Participants shall include all Implementing Partners and UN Agencies.

The Annual and Midterm Review processes should take into consideration the balance between time and opportunity costs, and holding a meaningful review process that produces tangible results. The process takes place in tandem with the subsequent year planning processes and the submission of Implementing Partners annual reports.

## **ANNUAL AND MIDTERM REVIEW REPORTS**

Upon completion of the Annual Review, an Annual Review Report will be prepared and presented to the Government and UNCT. A Progress Report will be produced at the end of the Midterm Review<sup>6</sup>. These reports will be informed by the TWG annual thematic reports, Implementing Partner reports and discussions from the Annual and Midterm Review meetings. The reports should be shared with MOFED, Federal and Regional Implementing Partners, UNCT, IAPT and UN TWGs.

The UNDAF Annual Review Report and UNDAF Progress Report will provide inputs to:

- The Resident Coordinator’s Annual Report
- UN Agency country office annual reports
- Donor reports
- Reports on follow-up to the Millennium Declaration
- The UNDAF Final Evaluation
- Reprogramming of AWP
- Sectoral and GTP reports

## **JOINT FIELD MONITORING VISITS**

Joint field monitoring visits are the primary programmatic joint monitoring mechanism. Well-planned joint field monitoring visits are necessary for tracking the progress and relevance of activities. Field monitoring essentially aims to confirm progress made in relation to the planned targets for outputs and activities described in the AWP and PMF (e.g. in terms of coverage, quality and timeliness). Field visits serve the purpose of monitoring activities, discussing programme management issues, validating results, providing technical assistance and building the capacities of Implementing Partners.

---

<sup>5</sup> The Quarterly Progress Report by IPs for AWP is included in Annex 3.

<sup>6</sup> The UNDAF Progress Report format is included in Annex 4.

Joint field monitoring should be built upon the following key principles:

- Building partnerships;
- Creating accountability;
- Encouraging community participation and ownership;
- Encouraging co-learning;
- Increasing responsibility and developing capacity.

The UNDAF Action Plan calls for a more frequent, coherent and integrated approach for field monitoring. Accordingly, joint field monitoring should be undertaken in selected UN-assisted regions and woredas, per outcome, at least once in a year, either at the 2<sup>nd</sup> or 4<sup>th</sup> quarter, to feed the Regional midyear or Annual Reviews. This means that all sub-pillar groups of the Pillar TWGs must participate in a joint monitoring field visit at least once in a year, either as a sub group, a thematic group or jointly across groups. Joint monitoring field visits should align with already existing sectoral joint monitoring systems, even if these are broader in scope than the UNDAF and UN contribution, in order to avoid duplication of effort. The UN and MoFED, in collaboration with the relevant Implementing Partners, may also wish to conduct additional visits to focus on specific issues.

Regions and woredas which have UN interventions are encouraged to conduct regular joint field monitoring visits to address issue- or location-specific programme implementation issues. Based on the activities chosen for monitoring, the joint monitoring can be a visit to the location of the Implementing Partner, the site of activity implementation, or any other approach required in order to monitor workplan implementation.

The joint monitoring visit should be guided by the Programme Implementation Monitoring Trips Checklist<sup>7</sup>. This common checklist, which is also a monitoring tool in the PIM, enhances linkages between different projects and programmes, and facilitates better cooperation with different Implementing Partners and UN Agencies.

Special attention must be paid to monitoring adherence to the five UN programming principles: Human Rights Based Approach (specifically, outreach to the most vulnerable population), gender equality, capacity development, environmental sustainability and RBM. The UNDAF Action Plan results matrix is structured to facilitate the fulfillment of responsibilities and accountabilities by different UN Agencies at different levels of the results chain. During field monitoring, it is necessary to observe if the originally intended chain of performance is approaching towards achievement of interventions and expected results, and whether UN programming principles are being met.

Methods for field monitoring data collection may include:

- Desk reviews;
- Key informant interviews;
- Focus group discussions; and
- Direct observations and technical validations.

The team conducting the visits should include relevant Programme staff drawn from participating UN Agencies, MoFED, Federal and Regional Implementing Partners, BoFEDs, and representatives of the IAPT, M&E and TWG(s). The TWGs co-chairs, supported by the RCO and M&E TWG, are responsible for making sure joint field monitoring visits are carried out.

---

<sup>7</sup> The Joint Field Monitoring Visits Guiding Checklist is included in Annex 5.

Within one week after completing the visit, a draft report, called a Joint Monitoring Report, with critical findings that require attention or action must be shared with the relevant UN Agencies, MOFED, TWG(s), IAPT and BoFEDs who are involved in the programmes that were monitored. The Implementing Partner must also be given an opportunity to provide inputs to the Joint Monitoring Report, and must be accountable for implementing agreed action points. MOFED, BOFEDs and TWGs are responsible for ensuring that the recommendations and agreed action points are implemented by the responsible parties.

The final Joint Monitoring Report should include the following sections: key findings (including challenges), best practices/experiences, agreements, recommendations and actions for follow-up. The findings of joint field monitoring visits, together with BOFED-led quarterly field monitoring at woreda level, should feed into the UNDAF Annual Review.<sup>8</sup>

## **PROGRAMME QUALITY ASSURANCE ACTIVITY AND AUDIT**

### **PROGRAMME QUALITY ASSURANCE ACTIVITIES**

Programme QAAs provide reasonable assurance on the expected programme results and operational efficiency of programme management systems. The overall benefit of QAAs is to ensure that resources are used for their intended purpose, lessons are learnt and shared, and that actions are taken by all partners to ensure that the UNDAF delivers on its strategic results in a more efficient and effective manner. QAAs serve as a complementary monitoring tool to joint field monitoring visits and Harmonised Approach to Cash Transfers (HACT) financial monitoring activities, such as micro-assessments, audits and financial spot checks.

Each QAA assesses the: a) soundness of the internal controls, b) the accuracy of the financial records and, c) the adequacy of implementation reports on achievement of results and end-use of supplies and related programme inputs by UN Agencies<sup>9</sup>.

### **SCOPE**

The assurance activity covers cash transfers, in-kind contributions, supplies and other programme inputs during the period under investigation, which is normally one year. The scope of the QAA may be adjusted to the specific needs of each assignment. The QAA is not an audit.

Participation in QAAs is required for all UN Agencies that are signatories to the HACT. Other Agencies are invited to participate in the QAA on a voluntary basis.

QAAs shall be conducted annually during mid-EFY, ideally from January to March, throughout the UNDAF cycle. The first QAA for the UNDAF 2012-2015 will start in beginning of the second year of UNDAF implementation, January – March 2013. This QAA will monitor the first year of UNDAF implementation (January 2012 – December 2012) and will provide findings, including weaknesses, challenges, enabling factors of success and lessons. Findings from the first QAA for this UNDAF cycle will be shared at the 2013 Annual Review. Inputs from the QAA aim to generate knowledge and foster wider adoption of good practices.

If significant weaknesses are identified during the QAA, UN Agencies and MoFED may decide to increase the scope and frequency of future QAAs or determine that a special audit is required.

---

<sup>8</sup> Joint Monitoring Visit Reporting and Joint Monitoring Presentation templates are included in Annex 6.

<sup>9</sup> Guidance on Quality Assurance and the Quality Assurance Checklist are included in Annexes 7 and 8.

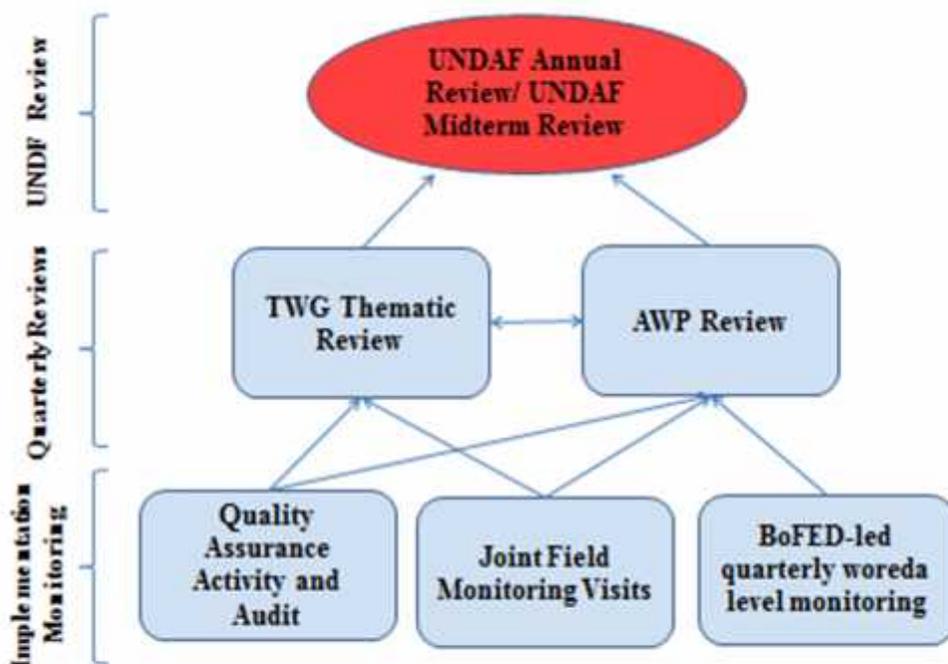
## AUDIT

All UN-supported programmes and projects must be audited once in their lifetime, at a minimum. The audit will be conducted with the objective of providing the Government and UN Agency authorities with the assurance that Agencies' resources are being managed in accordance with:

- (i) The financial regulations, rules, practices and procedures prescribed for the programme or project;
- (ii) The UNDAF Action Plan, PMF and AWP, including activities, management and implementation arrangements, monitoring, evaluation, and reporting provisions;
- (iii) The requirements for execution in the areas of management, administration and finance.

MoFED, in consultation with the UN Agency country offices, draws up an annual audit plan by December 2012. The audit plan lists the programmes and projects scheduled to be audited on that given year, considering whether the programme or project has previously been audited, the volume of funds, number of programmes and projects, and workload, among other things. The annual audit plan will be established based on UN Agencies' requirements.

MoFED, in consultation with UN Agencies, requests the Auditor General to identify and appoint the auditing body to ensure that the audit is performed in accordance with generally accepted auditing standards. The cost of the audit will be covered from programme or project funds. Adequate financial provision for the audit must be included in the program or project budget. The Office of General Auditor will assign the auditors for all programs.



**Figure 2:** Overview of joint monitoring and review activities led by the Government and UN.

---

## SECTION 4. EVALUATION ACTIVITIES

Thematic Evaluations (which are optional), Joint Programme Evaluations and a Final Evaluation will be undertaken during the UNDAF implementation cycle. The Government and Implementing Partners are stakeholders in all UNDAF evaluations and as such are involved in the entire evaluation process.

### **UNDAF THEMATIC AND JOINT PROGRAMME EVALUATIONS**

UNDAF Thematic Evaluations are evaluations of UNDAF thematic priorities. They can cover themes by UNDAF outcome, group of outcomes, UNDAF Pillar, or cross-cutting topic. These evaluations may be narrow in scope by assessing one particular aspect of project or programme implementation, or broad in scope, evaluating all aspects of operations. Thematic evaluations may be linked up with a sectoral evaluation, Agency level evaluation, or programme evaluation. Thematic evaluations are optional.

Joint Programme Evaluations are an overall assessment of each Joint Programme. Currently, three Flagship Joint Programmes – Mother and Newborn Health, Gender, and Developing Regional States - must conduct an evaluation at least once during the UNDAF cycle. Joint Programme Evaluations provide credible and useful information on the value and worth of the programme, guide strategic direction and use of the programme in the UN reform process, support future policy, steer programme design, and identify key lessons learned, challenges and best practices.

UNDAF Thematic Evaluations and Joint Programme Evaluations can take the form of an implementation (also called process) evaluation, which evaluates whether programmes are being implemented according to plan; or a progress evaluation, which assesses progress towards achieving targets for UNDAF results. Unless undertaken at the end of operations, these evaluations will not typically assess the final achievement of results and impacts.

UNDAF Thematic and Joint Programme Evaluations should generally follow the principles of measuring the relevance of operations, effectiveness and efficiency. They should also generate concrete conclusions and recommendations for actions by the UN and Implementing Partners.

### **UNDAF FINAL EVALUATION**

The UNDAF Final Evaluation is a joint Government and UN review, conducted with national partners, of the overall results expected from UN cooperation in the country. An UNDAF Final Evaluation will be undertaken in 2014, the penultimate year of the UNDAF cycle. The proposed timing is late enough to assess performance and progress towards results for the first three years of the current programme cycle and early enough to inform the design of the next programme cycle.

The main users of the Evaluation will be the UNDAF partners: the UNCT, Government and other development partners. The UNDAF evaluation directly feeds into the design and preparation of the next UNDAF, country programmes and projects by individual Agencies.

The UNDAF Evaluation should use the standard Organization for Economic Co-operation and Development criteria (*relevance, effectiveness, efficiency, impact and sustainability of results*) as well as the key issues of design, focus and comparative advantage of the UN system to guide its objectives and key questions.

## PURPOSES

The UNDAF Final Evaluation serves three main purposes:

- i) To assess the relevance of the UNDAF outcomes, the effectiveness and efficiency by which UNDAF outcomes (which are the same as Country Programme and other UN Project outcomes) are being achieved, their sustainability and contribution to national priorities and goals;
- ii) To determine how the UNDAF helped UN Agencies to contribute more effectively and efficiently to national development efforts and capacity building;
- iii) To learn from experiences of the current programming cycle, and identify issues and opportunities emerging from the implementation of the current UNDAF, to inform the design of the next UNDAF and Agency country programmes and projects, as well as adjust the current programming as relevant.

## OBJECTIVES, SCOPE AND KEY QUESTIONS

On the basis of these purposes, *objectives* of the UNDAF Final Evaluation are indicated below.

- a) Assess the *role* and *relevance* of the UNDAF (i) in relation to the issues and their underlying causes, and challenges identified at the beginning of the current programme cycle and in the context of national policies and strategies (ii) as a reflection of the internationally agreed goals, particularly those in the Millennium Declaration, and international norms and standards guiding the work of Agencies of the UN system and adopted by UN member states;
- b) Assess *design* and *focus* of the UNDAF pertaining to the quality of the formulation of results at different levels (the results chain of outcomes, outputs and key interventions);
- c) Assess the *validity* of the stated collective comparative advantage of the UN System (UN assistance aims to integrate all external support into the national development processes; Consequently, the UN needs to document its role and contribution within the broader developmental context);
- d) Assess the *effectiveness* of the UNDAF in terms of progress towards agreed UNDAF outcomes;
- e) Assess the *effectiveness* of the UNDAF as a coordination and partnership framework;
- f) To the extent possible, assess the *impact* of UNDAF on the lives of the poor, i.e. determine whether there is any major change in UNDAF indicators that can reasonably be attributed to or be associated with UNDAF, notably in the realization of Millennium Development Goals (MDGs), National Development Goals and the national implementation of internationally agreed commitments and UN Conventions and Treaties;
- g) To the extent possible, assess the *efficiency* of the UNDAF as a mechanism to minimize transaction costs of UN support for the Government and for the UN Agencies;
- h) Analyse to what extent results achieved and strategies used by the supported country programmes and projects are sustainable (i) as a contribution to national development and (ii) in terms of the added value of UNDAF for cooperation among individual UN Agencies.

## METHODS AND PROCESS

The UNDAF Evaluation is the last milestone of the UNDAF M&E plan. It is an external, participatory, and iterative learning exercise which should be completed within a timeframe of two to three months.

The UNDAF Evaluation should build on monitoring information, regular reviews of performance against the PMF, M&E Matrix and results from UNDAF Annual and Midterm Reviews. Findings from Joint Programme Evaluations, Thematic Evaluation and Agency specific evaluations that assess outcome and impact level results will feed into and support the UNDAF Final Evaluation.

As the ability to assess achievement of UNDAF outcomes will depend to a large extent on the completeness and quality of reviews and evaluations of the individual Agency country programmes, it is important that individual Agency evaluations address the contribution of their interventions to UNDAF outcomes.

In order to determine the scope of the Final Evaluation, it is suggested that the Government and the UNCT initiate the evaluation process by assessing how the UNDAF can be evaluated in a reliable and credible fashion given the available data and resources. This assessment will include a review of the documentation available on the UNDAF design and implementation process.

Evaluations methods should involve open and semi-structured interviews with key stakeholders, a comprehensive review of documents (both from the Government on national policies and strategies as well as from the UN Agencies), a synthesis and analysis of data from regular programme monitoring as well as field visits. Reviews, assessments and evaluations (quantitative and qualitative) of UN-supported programmes will feed into the UNDAF Evaluation.

## **MANAGEMENT AND ORGANIZATION**

The UNDAF Evaluation will be commissioned and overseen by the UNCT and MoFED. Day-to-day evaluation management will be ensured by the RCO reporting to the UNCT. The evaluation team will be advised and supported by the IAPT and M&E TWG.

The UNDAF provides an opportunity to build national partners' capacity in evaluation. The UNDAF Evaluation will involve stakeholders such as UN staff, their counterparts in the Government as well as Non-Governmental Organizations (NGOs), other international actors such as International Financial Institutions and bilateral donors. Stakeholder participation is essential and should be sought from the beginning of the process through a series of meetings, and possibly through the organization of an UNDAF Evaluation Workshop that would take place towards the end of the UNDAF Evaluation process. The purpose of the workshop is to validate and refine findings, conclusions and recommendations of the evaluation.

A reference group for the evaluation will also be appointed, comprising of the UN system (including the UNCT) and the Government. The main task of the reference group will be to guide the evaluation process at the design, implementation and reporting stages. The reference group will also participate in the UNDAF Final Evaluation workshop.

The UNDAF Final Evaluation will be conducted by external consultant(s) selected by mutual agreement between the RCO and the MoFED through a transparent selection process.

The UNDAF Final Evaluation should be articulated in the Resident Coordinator's annual work plan for the penultimate year of the UNDAF cycle. Funds required by the UNCT to carry out the UNDAF Evaluation should also be requested in the Resident Coordinator annual budget and UN Agencies should make financial and in-kind contributions (e.g. providing transport for field visits, cost of photocopying, publication of the report, etc.) to the best of their ability and as equitably as possible<sup>10</sup>.

---

<sup>10</sup> Main steps for conducting the UNDAF Final Evaluation and structure of the UNDAF Final Evaluation Report are included in Annexes 9 and 10.

## SECTION 5. REPORTING

Reporting is an integral part of a comprehensive and strategic UNDAF planning and programming cycle. Credible reports inform evidence-based decision making for UNDAF.

All UNDAF M&E reports are based on RBM principles. There are three main categories of UNDAF M&E reports:

- Implementation monitoring reports of UN assisted programmes and projects;
- Results monitoring reports (based on performance of UNDAF outcomes and outputs); and
- Evaluation reports.

Each report corresponds to an associated monitoring tool or review process. All UNDAF reports also align with a complementary Government reporting structure and provide inputs to joint reviews and higher level reports, such as the GTP Progress Report. The main UNDAF reports include:

	<b>Report</b>	<b>Corresponding M&amp;E Activity</b>	<b>Reporting Timetable</b>
	<b>Implementation Monitoring Reports</b>	<b>Implementation (Process) Monitoring</b>	
1	Joint Monitoring Report	Joint Field Monitoring Visits	Annually, per outcome
2	Annual Quality Assurance Report	Quality Assurance Activities	Annually
3	Audit Report	Audit	At least once in a project lifetime
4	MoFED Quarterly Report	Agency-level Financial Tracking	Quarterly
	<b>Results Monitoring Reports</b>	<b>Results Monitoring</b>	
5	TWG Quarterly Progress Report	TWG Quarterly Progress Review	Quarterly
6	TWG Annual Thematic Reports	TWG Annual Thematic Review	End of 2 <sup>nd</sup> quarter, annually
7	UNDAF Annual Review Report	UNDAF Annual Review	End of 2 <sup>nd</sup> quarter, annually in 2012, 2013 and 2015
8	UNDAF Progress Report	UNDAF Midterm Review	End of 2 <sup>nd</sup> quarter in 2014
9	Resident Coordinator's Annual Report	Based on UNDAF Annual Review Reports and UNCT Annual Review	End of 4 <sup>th</sup> quarter, annually
	<b>Evaluation Reports</b>	<b>Evaluation</b>	
10	UNDAF Thematic Evaluation Reports (optional)	UNDAF Thematic Evaluation (optional)	Anytime during UNDAF cycle
11	UNDAF Joint Programme Evaluation Report	UNDAF Joint Programme Evaluation	At least once for each Joint Programme during UNDAF cycle
12	UNDAF Final Evaluation Report	UNDAF Final Evaluation	2014

## **IMPLEMENTATION MONITORING REPORTS**

### **JOINT MONITORING REPORTS**

Joint Monitoring Reports contain information on key findings of programme implementation, agreements, recommendations and actions for follow-up by both the UN and partners. The report should also be summarized in a presentation. These reports and presentations should be shared with MoFED, the relevant UN Agencies, TWG members and Implementing Partners.

### **THE ANNUAL QUALITY ASSURANCE REPORT**

The Annual Quality Assurance Report describes the list of transactions tested, a summary of findings with indications of risks and best practices, recommendations to the Implementing Partner, and final comments and recommendations by the Implementing Partner. The report should be addressed to the Implementing Partner and copied to UN Agencies and MoFED. Joint Monitoring Reports and the Quality Assurance Report produce standalone documentation of progress. They also feed into the TWG Quarterly Progress Reports and Annual Thematic Reports, and into AWP quarterly and annual progress reports prepared by BoFEDs.

### **AUDIT REPORT**

The Audit Report should include a summary of oversight activities conducted by the audit, risk classifications, models and results, audit issues (observations) by financial and/or management category, conclusions and recommendations. The General Auditor will share their findings with MoFED and the UN.

### **MOFED QUARTERLY REPORT**

UN Agencies are required to individually submit MoFED Quarterly Reports on their Agency-level activities and associated expenditures to Government. Data for the report is entered into the online Aid Management Platform (AMP) database, which is administrated by MoFED. The reports have only been rolled out to selected Agencies in 2011, but the number of Agencies submitting the quarterly reports will expand during the UNDAF implementation period.

## **RESULTS MONITORING REPORTS**

### **TWG QUARTERLY PROGRESS REPORTS**

TWG Quarterly Progress Reports should be prepared by TWG sub groups, by outcome, and compiled by the TWG. The report provides a one page summary to the IAPT on key achievements, challenges, lessons learnt and actions to be taken by TWG and Implementing Partners. The report is not meant to be a burden to TWGs and should only serve as a means to ensure that TWGs regularly meet, assess and document progress of achievement towards UNDAF outputs. Implementing Partner reports on progress, including AWP quarterly progress reports, should serve as inputs to the TWG quarterly progress reports.

### **TWG ANNUAL THEMATIC REPORT**

A TWG Annual Thematic Report by outcome should be prepared by TWG sub groups at the end of the 2<sup>nd</sup> quarter (4<sup>th</sup> quarter EFY) and before the Annual Review. The report consists of a results table with results figures and a qualitative narrative report that analyses:

- Context/situation analysis;
- Progress toward UNDAF results (key intervention, outputs and outcomes) achieved versus annual target;
- Resource utilization versus planned budget;
- Good practices and reasons for success;

- Major challenges/constraints;
- Recommendation, policy implications and way forward.

Serving as input to the Annual Thematic Reports are the annual progress reports from all Implementing Partners, particularly the AWP Annual Progress Report prepared according to the PIM template.

## **UNDAF ANNUAL REVIEW REPORT**

The UNDAF Annual Review Report is the main report of the joint Annual Reviews. This report focuses on progress of activities and interventions towards achieving outputs. Evidence for the report is based on presentations, discussions and agreements from the Annual Review and evidence from TWG Annual Thematic Reports, Implementing Partner reports and AWP Annual Progress Reports. The Annual Review Report should highlight the context of UNDAF implementation, report on progress of implementation of activities and interventions, progress towards achievement of UNDAF outputs and key results, challenges, best practices, lessons learned, main agreements from the Annual Review meeting, and agreed steps for the way forward.

## **UNDAF PROGRESS REPORT**

The UNDAF Progress Report reports progress towards outcomes in the UNDAF, with detailed discussion of evidence of contribution by reporting on achievement of outputs and how they contribute to the outcomes. According to the UNDAF guidelines, the UNCT and Government must produce a minimum of a single UNDAF Progress Report per UNDAF cycle. The UNDAF Progress Report will draw on conclusions from the Midterm Review in 2014, with evidence from outcome studies, outcome and other evaluations, and UNDAF Annual Review Reports.

The Progress Report will be prepared with a strong engagement and ownership by Implementing Partners and the UN system. The joint nature of the report represents the UN's response to the wider aid effectiveness agenda by supporting greater mutual accountability between the UN and national authorities at country level. The UNCT and Government will agree on how the UNDAF progress report is to be used to reinforce mutual accountability for progress towards UNDAF outcomes and any other uses of the report.

A standard operational format on reporting for this purpose was developed by United Nations Development Group (UNDG), bearing in mind the need to reduce the administrative burden and transaction costs and as part of UN reform efforts towards greater system-wide coherence, simplification, and harmonization.

## **RESIDENT COORDINATOR'S ANNUAL REPORT**

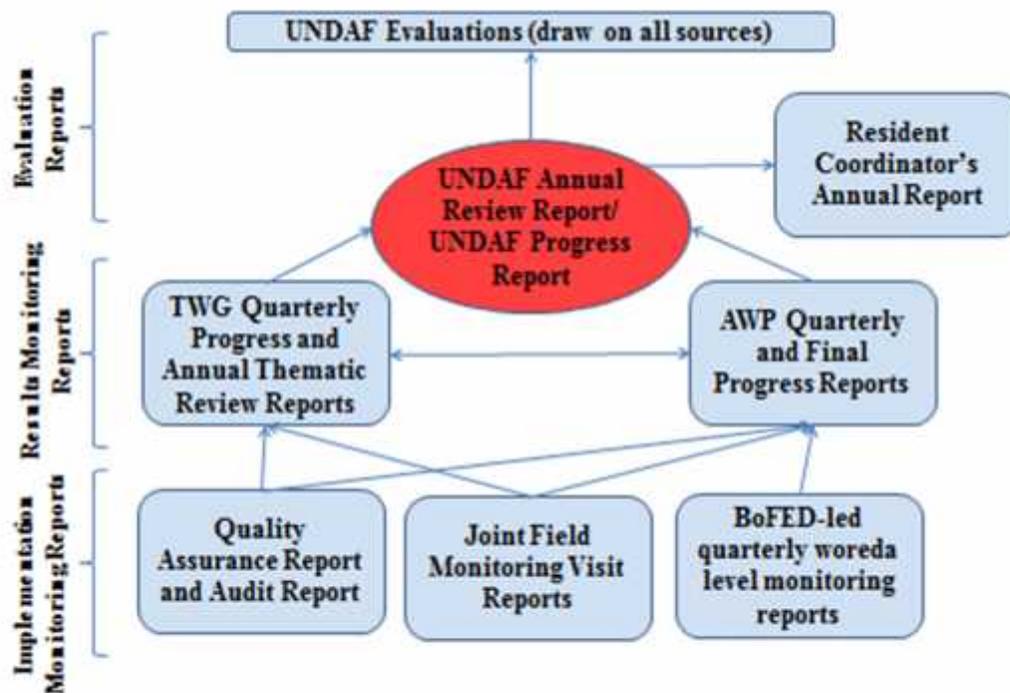
The Resident Coordinator's Annual Report is prepared by the Resident Coordinator and UNCT. This is an annual report on the Resident Coordinator's annual work plan prepared and submitted to UNDG on the results planned on the UN reform agenda and UNDAF performances, supplemented by further country situation and context information. The content and main elements of the Annual Report include: brief description of major developments or political events that have had an effect on the work of the UN in the country; summary of progress towards UNDAF outcomes; and summary of progress in UN Reform, according to the planned results (coordination for results, coordination of emergency preparedness and relief, UN advocacy and resource mobilization and security management)<sup>11</sup>.

---

<sup>11</sup> The Resident Coordinator's Annual Reporting Template is included in Annex 11.

## UNDAF EVALUATION REPORTS

All UNDAF Evaluation Reports should follow a standard evaluation report structure. UNDAF Evaluation Reports should provide an introduction with context and national priorities, goals, and methodology; brief description of the results; a reflection on the main findings of achievement of results versus targets; partnership and collaboration strategy among UN and UNCT and other donors; evaluation of the efficiency and effectiveness of UNDAF, UNDAF theme or Joint Programme as a partnership framework; major challenges; UNDAF or Joint Programme financial management; assessment of M&E processes; and recommendations and follow-up plan for the current and next UNDAF. Thematic and joint programmatic evaluations can contain additional content as appropriate and specific to the evaluation. Evaluations should draw on all other reports and documentation used by the UNDAF, as well as additional primary and secondary evidence as needed.



**Figure 3:** Joint UNDAF Reports and their linkages to the UNDAF Annual Review. The MoFED Quarterly Reports are not reflected in the figure because they are individual Agency reports.

---

## SECTION 6. M&E DATABASE

MoFED adopted AMP as a common database to assist the Government and its development partners to manage resources allocated to development activities. The AMP is designed to track and report the delivery of aid for better planning and service delivery. The use of AMP to access and use aid information supports aid management, coordination and planning. However, MoFED and the UN have identified that the AMP needs further upgrades to monitor results of UNDAF 2012-2015. To this end, the UN is committed to support upgrading the system in every possible way for UNDAF monitoring.

As an interim solution until the AMP is upgraded and become fully operational for UNDAF monitoring, it is agreed that the UN system will adopt UNDAF Info as the UNDAF M&E database. UNDAF Info is the customized database of the web-based data management application di Monitoring, produced by DevInfo. UNDAF Info will help the UN internally track joint progress towards results embodied in the M&E Matrix and PMF.

UNDAF Info was chosen as the UNDAF M&E database because it provides an easy-to-use platform in which up-to-date information and data can be entered in a single online dashboard. The database will facilitate the management and presentation of UNDAF results - indicators, annual targets, and achievements - in a consistent manner. The database will also allow the UN system and the Implementing Partners to determine which intervention, outcome and output indicators are being monitored in any given year, and to delegate responsibility for monitoring indicators across the UN system and various Government line ministries. UNDAF Info is a live tool. The database can be updated throughout the year and users can generate UNDAF related reports with the most current information.

### **ADMINISTRATION OF THE DATABASE**

UNDAF Info can be accessed on three different user levels: administrator, data entry operator and general user.

#### **ADMINISTRATOR**

The database will be housed and administered by the RCO. The administrator at the RCO will take the responsibility of creating and editing frameworks. Furthermore, the administrator can also enter data and other information into the online application.

#### **DATA ENTRY OPERATORS**

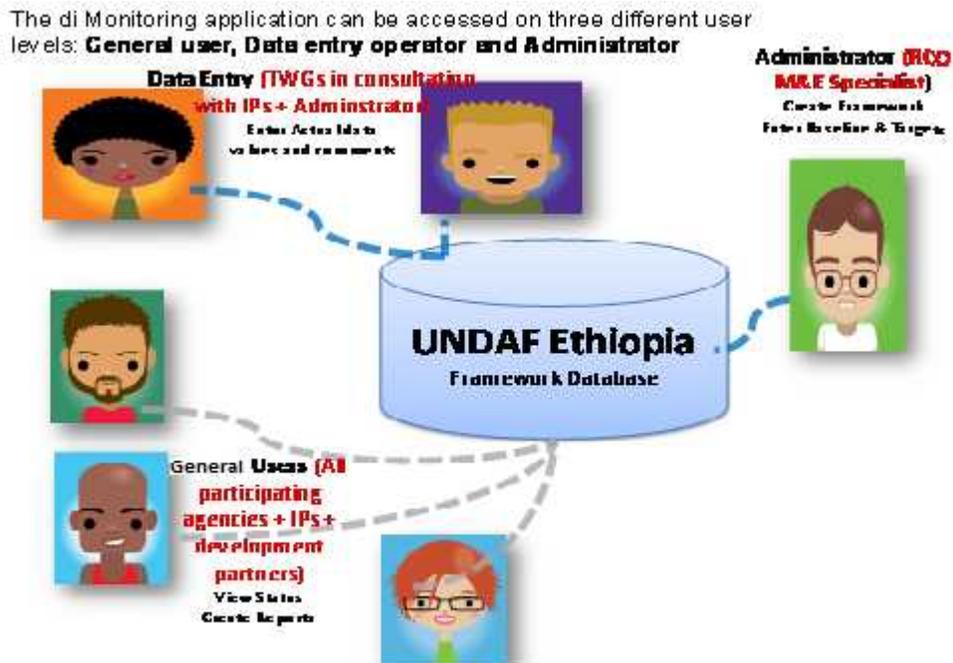
Multiple data entry operators will take the responsibility of entering actual data values and comments against UNDAF indicators in the M&E Matrix and PMF. The four UNDAF Pillar TWGs, in close consultation with the respective Implementing Partners at federal and regional levels, will assume the responsibility of producing the data. Information against the outcomes, outputs, and Agency contributions can be compiled and submitted by the Pillar TWG chairs to the RCO administrator for entry into the online application. Data entry operators will then enter this information into the online database. Implementing Partners will not be able to enter data to the database but will have open access to view all information in the database.

#### **GENERAL USERS**

UN Agencies that are designated as responsible for collecting and reporting results in the M&E matrix are ultimately also responsible for ensuring accurate data is provided for data entry in UNDAF Info. The

TWGs are responsible for quality assurance of results. The RCO will also provide quality assurance to ensure that data submitted by TWGs is accurately entered in the database.

All participating UN Agencies and Implementing Partners at different levels will be given general user access, which will allow them to view data within a structured framework, to examine progress and challenges, as well as to facilitate programme M&E. This will significantly improve periodic and annual reporting processes, as information can be easily extracted from the system when needed, for example, at the time of the Joint Annual Review, AWP preparation, Thematic, Joint Programme and UNDAF Final Evaluations, during a meeting with development partners and during strategy development discussions.



**Figure 4:** Map of UNDAF Info database users: administrator, data entry and general user

### **ROLL-OUT OF UNDAF INFO**

Effective utilization of the online database will be largely determined by the UN’s capacity to properly manage and utilize the system. The M&E TWG and RCO will spearhead the adoption of the tool for UN-internal UNDAF monitoring. Hence, the RCO, with the advice of the M&E TWG, will take the responsibility of testing the tool and elaborating the trial version based on the specific needs of the UNDAF M&E plan, such as the coding when loading/creating indicators, outcomes, outputs and key interventions, source of information, baseline and targets, geographic focus and resources.

---

## SECTION 7. M&E CAPACITY DEVELOPMENT

In order to monitor, report, evaluate and take action on results, it is essential to provide capacity development on M&E, grounded in RBM principles, to both UN Agencies and Implementing Partners.

The Government's Business Practice Review and decentralization provides a broad mandate to regional states to manage their own regional governance with regional GTP targets. While this brought decision-making mandates closer to the people, the low implementation capacity of Government and communities affects decentralization objectives, particularly the provision of quality services. Institutional capacity in results-based development planning, M&E and analytic reporting, with particular focus on the development of systems and structures of local Government, needs significant strengthening to realize sustainable development.

To address these capacity development needs, MoFED, UN and donor partners are creating a nationwide programme of capacity development in RBM. M&E capacity development interventions will be based upon a Rapid RBM gap assessment as well as stakeholder mapping that will identify needs in the areas of planning, monitoring (data collection, analysis, storage, quality assurance, report preparation) and evaluation. The capacity assessment will be undertaken as part of the overall MoFED/BoFED/WoFED capacity assessments. It will also be integrated into the RBM strategy, which is part of UNDAF implementation. All M&E capacity development activities are embedded under the Governance and Capacity Development Pillar.

To this end, MoFED and the UN have drafted an RBM programme strategy note. Initial steps consist of:

- (i) Conduct an RBM capacity assessment and stakeholders mapping to develop a precise understanding of who has been involved in RBM related capacity development in the past and how they will relate to one another in the UNDAF Action Plan;
- (ii) Establish a clear and common understanding of the roles and responsibilities of all the main actors for effective implementation of RBM, high-level political and management leadership;
- (iii) PIM existing tools to manage for results (such as AWP, quarterly reporting, joint field monitoring/quality assurance tool) are fully and systematically used for decision-making purposes;
- iv) A knowledge management system (strategic evaluation planning) is firmly established within the Government.

The Government plans to set up an M&E Sector working group, composed of Government and development partners, which will further guide the country's M&E efforts. It is expected that a larger donor programme will support these efforts.

---

## SECTION 8. M&E COORDINATION

The overall M&E activities in UNDAF will be coordinated and implemented by MoFED and UNCT.

### PILLAR THEMATIC WORKING GROUPS

The M&E plan will be carried out jointly by the Government and the UN. The UNDAF Pillar TWGs will be co-chaired by the relevant line ministries and representatives from the UN. In cases where there is more than one ministry under one pillar, sub-groups will be established and co-chaired by the relevant ministry and UN Agency. The Pillar TWG co-chairs will serve for a certain period of time by rotation and all ministries will have the opportunity to co-chair the Pillar TWG. Below are the ministry co-chairs for the Pillar TWGs, which may be subject to change.

Pillar 1 (Sustainable Economic Growth and Risk Reduction) will have Agriculture, Industry and Environment subgroups co-chaired by Ministry of Agriculture, Industry Ministry and Environmental Protection Authority respectively and UN Agencies. Co-chairs for the remaining sub groups in Pillar 1 are to be determined.

Pillar 2 (Basic Social Services) will have Health, Education and Water and Sanitation subgroups co-chaired by the Ministry of Health, Ministry of Education and Ministry of Water Resources respectively and relevant UN Agencies.

Pillar 3 (Governance and Capacity Development) will be co-chaired by MOFED and the relevant UN Agency.

Pillar 4 (Women, Youth and Children) will be co-chaired by Ministry of Women, Children and Youth and the relevant UN Agency.

TWGs of each UNDAF pillar are ultimately responsible for monitoring and reporting on results against baseline values to the IAPT and RCO.

### INTERAGENCY PROGRAMME TEAM

The IAPT is responsible for ensuring that TWGs monitor and report on results, and that all joint monitoring activities are implemented according to plan.

### RESIDENT COORDINATOR'S OFFICE

The RCO is responsible for managing the UNDAF Info database and supporting the IAPT in Inter-Agency coordination for M&E.

### UN COUNTRY TEAM

The UNCT is responsible for endorsing results and progress reports, managing the IAPT and interfacing with Government.

### M&E TECHNICAL WORKING GROUP

The M&E TWG provides advice and technical guidance to the TWGs and IAPT on all M&E activities<sup>12</sup>.

---

<sup>12</sup> The ToR for the M&E TWG is included in Annex 12.

## AGENCIES

Each Agency is also responsible for data collection and reporting of Agency contributions to UNDAF outputs and outcomes. Agencies must actively participate in joint M&E activities. They should continually inform the Pillar TWGs of issues arising and programmatic changes that may affect the achievement of output results and discuss corrective measures.

## SECTION 9. CALENDAR OF M&E ACTIVITIES

The following table depicts the calendar of key planning and M&E activities for the 2012 – 2015 UNDAF cycle. Some activities do not start until the 3<sup>rd</sup> Quarter 2012 in order to align with the Government’s fiscal and planning calendar.

Key Joint M&E Activities	Focus	Timeframe (by quarters)																Responsible Parties	Participants	Standard Reports
		2012				2013				2014				2015						
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4			
<b>Planning</b>																				
Annual Work Plan (AWP) Preparation	The AWP provides detailed activity planning and sets out what will be accomplished during the year for a result or set of results in the UNDAF. The UN, Government and other Implementing Partners jointly prepare the AWP. The AWP can be agency-specific or for a Joint Programme. AWP are prepared for a period of 24 and 18 months to align with the Government’s planning and fiscal calendar. AWP preparation starts at the district level. Planning should benefit from the preceding year’s Annual Review.																	MoFED, RCO, IAPT, M&E TWG	All relevant UN agencies, BoFEDs and Implementing Partners	AWP (using UNDG/PI M standard AWP format)
<b>Review</b>																				
Quarterly Regional Review Meetings	Quarterly review meetings organized under the leadership of BoFEDs in each region to track implementation and performance of AWP. The meetings also tackle region specific programmatic and operational challenges for better programme delivery, increased financial utilization and timely reporting.																	MoFED, BoFED and UN Agencies	Federal and Regional Implementing Partners	Quarterly Review Report
TWG Quarterly Progress Reviews	Quarterly progress reviews are quick assessments by Pillar TWGs of achievement towards UNDAF outputs. Agencies should assess their performance against targets in the PMF. Quarterly progress reviews are held at the end of each quarter for the first three quarters of the EFY.																	Chairs of TWGs (Gov and UN)	All TWG members (Gov and UN)	TWG Quart. Progress Review Report
TWG Annual Thematic Review	The annual thematic review should be completed at the end of the fourth quarter of the EFY. The review should assess situation and context, progress toward UNDAF results achieved versus target (key intervention, output and outcome level), resource utilization versus disbursement and planned budget, good practices and reasons for success, major challenges and constraints, policy implications of findings and way forward.																	Chairs of TWGs (Gov and UN)	All TWG members (Gov and UN)	TWG Them. Review Report

Key Joint M&E Activities	Focus	Timeframe (by quarters)																Responsible Parties	Participants	Standard Reports
		2012				2013				2014				2015						
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4			
Annual Review Meeting	The Annual Review Meeting provides the opportunity to jointly assess progress made towards UNDAF results, compare expenditure to results achieved, discuss programme achievements and shortfalls, consider strategic issues and address programmatic and operational challenges. The meeting supports learning on what works and what does not work, which is used to reprogramme for the coming year, help plan new AWP's and revise UNDAF results matrices, if needed.																	MoFED, RCO, UNCT	UN, BoFED and Implementing Partners	Annual Review Report
Midterm Review Meeting	The Midterm Review meeting assesses progress towards achievement of UNDAF outcomes. The progress review will replace the regular annual review meeting for 2014. Results from the Midterm Review feed into the UNDAF Final Evaluation.																	MoFED, RCO, UNCT	UN, BoFED and Implementing Partners	UNDAF Progress Report
<b>Monitoring Activities</b>																				
Joint Field Monitoring Visits	These joint Government-UN visits to programme sites validate progress reported by Implementing Partners, provide onsite technical support on programme implementation, fund liquidation and reporting. The visit can be to the location of the Implementing Partner, site of programme implementation or any other approach required to monitor programme implementation. It is recommended that visits take place either at the 2 <sup>nd</sup> or 4 <sup>th</sup> quarters to feed into mid-year and Annual Review processes.																	TWG Chairs	UN, IAPT, M&E TWG, selected Implementing Partners, Regional and District authorities	Joint Monitoring Report
Quality Assurance Activities	Joint Quality Assurance will be carried out at least once a year, ideally in the first quarter, to validate and reconcile financial and supply transactions, end use of finances and supplies, internal controls, and reporting.																	HACT and M&E TWGs	IAPT, MoFED, BoFEDs, Implementing Partners	QAA Report
Audit	The audit provides assurance that Agencies' resources are being managed in accordance with the financial regulations, rules, practices and procedures prescribed for the programme or project; the UNDAF Action Plan, PMF and AWP, including activities, management and implementation arrangements, monitoring, evaluation, and reporting provisions; the requirements for execution in the areas of management, administration and finance. All UN-supported programmes and projects must be audited once in their lifetime, at a minimum.																	UNCT, MoFED, General Auditor	UN, selected Implementing Partners, Regional and District authorities	Audit Report
<b>Evaluation Activities</b>																				

Key Joint M&E Activities	Focus	Timeframe (by quarters)																Responsible Parties	Participants	Standard Reports
		2012				2013				2014				2015						
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4			
Thematic and Joint Programme Evaluations	UNDAF Thematic Evaluations are evaluations of UNDAF thematic priorities in achieving UNDAF outcomes. Thematic Evaluations are optional. Joint Programme Evaluations are an overall assessment of the results of Joint Programmes in achieving their stated outcomes. This evaluation is required at least once during the UNDAF cycle for each Flagship Joint Programme. Other Joint Programmes can also opt to conduct a Joint Programme Evaluation.																	TWG Chairs	MoFED, UN and Implementing Partners, IAPT, M&E TWG	Thematic and Joint Programme Evaluation Reports
UNDAF Final Evaluation	The UNDAF Final Evaluation assesses the overall results of UNDAF. It is conducted as a joint evaluation between the UN and national partners. The proposed timing, at the beginning of the penultimate year of UNDAF implementation permits an assessment of the first 3 years of UNDAF performance and informs the design of the next UNDAF cycle.																	MoFED, UNCT, RCO	IAPT, TWGs, M&E TWG, UN, BoFED, Implementing and national partners	UNDAF Final Evaluation Report

---

## SECTION 10. M&E BUDGET

Regular UNDAF M&E activities are already budgeted within the overall UNDAF budget as monitoring is an on-going activity of UNDAF implementation. Regular M&E activities include data collection, processing, analysis and reporting, as well as capacity building and field support. These costs will be incurred either by UN, Government or by other Implementing Partners.

In addition, Agencies and Implementing Partners may allocate resources and time outside of regular M&E activities. These may include, but are not limited to, the use of consultants, the hiring of data collection or data entry staff, training, transportation for field visits, and supplies for fieldwork.

On top of the resources budgeted in the UNDAF, an estimated USD 55,000 is required as additional pooled funding for the UNDAF Final Evaluation and UNDAF Info database management.

**Table 1:** Estimated Evaluation and UNDAF Info Management Budget

No.	Key Activities	Total Budget (USD)	Yr 1	Yr 2	Yr 3	Yr 4	Sources of fund (RCO, Agency Contribution, Others)
1	UNDAF Evaluation	25,000	0	0	25,000	0	Others
2	UNDAF Info	30,000	7,500	7,500	7,500	7,500	Others
	<b>Total</b>	<b>55,000</b>	<b>7,500</b>	<b>7,500</b>	<b>32,500</b>	<b>7,500</b>	

---

## GLOSSARY

**LOGICAL FRAMEWORK:** A logical framework refers to a table that describes a hierarchy of results from activity to output to outcome. The means by which the achievement of the result will be measured, how and by whom are associated with each level of result.

**IMPLEMENTING PARTNER:** Implementing Partners are the institutions, both Government or non-government partners, that sign the Funding Authorization and Certificate of Expenditure (FACE) forms and/or receive cash and/or supplies and other necessary inputs from UN and/or BoFEDs for implementation of activities as contained in the agreed Agency-level workplans, AWP, or other project and programme agreements

**M&E:** The combination of monitoring and evaluation (M&E) together provide the knowledge required for effective programme and project management and for reporting and accountability responsibilities. Monitoring is the periodic assessment of the progress in achieving the expected accomplishments and delivering the final results in comparison with the commitments set out in the programme plan. It provides assurance that the implementation of a programme or project is proceeding as planned. Evaluation is the process that seeks to determine as systematically and objectively as possible the relevance, effectiveness and impact of an ongoing or completed programme, project or policy in the light of its objectives and accomplishments. It encompasses their design, implementation and results with the view to providing information that is credible and useful, enabling the incorporation of lessons learned into both executive and legislative decision-making process. Evaluation is often undertaken selectively to answer specific questions to guide decision-makers and/or programme managers, and to provide information on whether underlying theories and assumptions used in programme development were valid, what worked and what did not work and why.

**M&E MATRIX:** An M&E matrix is an expanded Results Matrix that explains in detail how, when and by whom M&E information will be collected. The M&E matrix is presented in the form of a table that provides information results, indicators, targets, data sources, data collection method (such as primary or secondary sources and type of source), and responsibility for data collection.

**RESULTS BASED MANAGEMENT:** Results-based management is a management strategy by which all actors on the ground, contributing directly or indirectly to achieving a set of development results, ensure that their processes, products and services contribute to the achievement of desired results (outputs, outcomes and goals) (*Results Based Management Handbook*, UNDG, March 2010).

**RESULT:** A result is a change in a state or condition that derives from a cause-and-effect relationship. There are three types of such changes (intended or unintended, positive and/or negative) that can be set in motion by a development intervention – outputs, outcomes and impact (*Results Based Management Handbook*, UNDG, March 2010).

**RESULTS MATRIX:** A results matrix is a table that contains specific, measurable, achievable, relevant and time-bound outcome indicators with baselines and targets that will be used to show the progress to achieve the vision for the UN system in the country. A results matrix should have at minimum:

- Key indicators that are measurable and results-based. All indicators should be specific, measurable, achievable, relevant and time-bound.
- Baselines for all indicators.
- Targets for indicators.

**UNDAF:** The United Nations Development Assistance Framework (UNDAF) in Ethiopia articulates the contributions of the UN to Ethiopia's Growth and Transformation Plan (GTP), which describes the Ethiopian Government's plan to achieve national development priorities by 2015. The UNDAF consists of two strategic documents: The UNDAF and UNDAF Action Plan. These documents include a summary of the M&E framework for the UNDAF and UNDAF Action Plan. These documents also include results matrices, which provide a logical hierarchy of outcomes and outputs with associated key intervention areas and UN contributions.

# ANNEXES

## ANNEX 1. PROGRAMME MONITORING FRAMEWORK TEMPLATE

UNDAF Outcome											
UNDAF Output											
Key Interventions											
Agency Intervention/Activity	Agency	Indicator	Baseline	Target		Geographic Focus	Implementing Partner(s)	Total Resources*			
				EFY 2005 (1st Jul 2012 - Jun 30 2013)	EFY 2006 (1st Jul 2013 - Jun 30 2014)			EFY 2005 (1st Jul 2012 - Jun 30 2013)		EFY 2006 (1st Jul 2013 - Jun 30 2014)	
								Fund ed	Unfun ded	Fund ed	Unfun ded

Note:

Agency intervention/activity/output/project

For Agencies that have signed AWP, state the Agency level output result that was committed in the signed AWP. For all other Agencies, state the Agency result which will contribute towards the achievement of the UNDAF output. This can be at the output or activity level, depending on the nature of the intervention.

Indicators

A measure of what you plan to achieve. Output level indicators are usually expressed in terms of a numbers of something achieved, but can also be expressed as a percent or score depending on the complexity of the output. Here are the main types of performance indicators: Measuring or counting: gives exact numbers – e.g price, quantity; Scaling or rating: give a gradual description – 3 = fully achieved, 2 = partially achieved, 1= not achieved; Classifying: gives categories – e.g. is technology available? Yes/No; Describing qualitatively.

Baseline

Baseline values are optional and should only be inserted if relevant for the indicator.

Targets

Values the UN Agency plans to achieve in the specified plan of action. Only provide targets for two years if the intervention is planned for two years (2012 - 2013).

Geographic focus

Specific geographic location where key interventions/activities are implemented. Insert either "Federal" OR "Nationwide" OR "Name of Region and City/Woreda".

Implementing partners

The institutions (Government or non-government partners) that signs the Funding Authorization and Certificate of Expenditure (FACE) forms; receives cash and/or supplies and other necessary inputs from UN and/or BoFEDs for implementation of activities as contained in the agreed AWP.

Total Resources

Funded and unfunded resources for 2012 and 2013(2005-2006 EFY)

\*Funded and unfunded refers to whether or not the resources have been secured; both core and non-core/other (i.e. voluntary) funds may be counted in either column as appropriate, without prejudice to the type of funding. The column reflects solely the balance of budgeted funds that have been committed versus the amount that has still to be secured at the start of the EFY.

## ANNEX 2. ANNUAL WORK PLAN (AWP) TEMPLATE

(Year) Annual Work Plan (AWP)

Region: XXX

UNDAF Thematic Area: UNDAF

Pillar 1- 4

EXPECTED OUTPUTS and indicators including annual targets	PLANNED ACTIVITIES list all activities including M&E to be undertaken during the year towards stated outputs	TIME FRAME EFY 2005				RESPONSIBLE PARTY	PLANNED BUDGET			
		Q1	Q2	Q3	Q4		Contribution of ExCom	Source of Fund	Budget Description	Total Amount
<b>UNDAF Outcome</b>										
<b>UNDAF AP Output 1:</b>										
Agency Output ..... (key intervention X.x.x) <b>Indicator:</b> <b>Baseline:</b> <b>Target:</b>										
<b>UNDAF AP Output 2:</b>										
Agency Output(key intervention Xxx) <b>Indicator</b> <b>Baseline</b> <b>Target</b>										

### ANNEX 3. ANNUAL REVIEW REPORTING TEMPLATES, REPORTING TOOL (RT) 1, 2 AND 3.

#### RT 1. AWP QUARTERLY PROGRAM/PROJECT PROGRESS REPORT (FOR IMPLEMENTING PARTNERS AS CUSTODIANS OF THE AWP)

UNDAF Pillar<sup>13</sup>: \_\_\_\_\_

UNDAF Outcome: \_\_\_\_\_

UNDAF AP Output: \_\_\_\_\_

Agency Specific Output(s): -----

Programme/Project: \_\_\_\_\_ Reporting Period/Quarter \_\_\_\_\_

Agency: \_\_\_\_\_

Planned Activities	Indicators and Annual Targets (to be taken from the Programme monitoring framework/AWP)	Results achieved during this quarter	Cumulative results achieved since Q1this year	Key Achievements against outputs <sup>14</sup>
<b>Agency Output 1.</b>				
Activity 1.1				
Activity 1.2				
<b>Output 2.</b>				
Activity 2.1				
Activity 2.2				
Activity 2.3				
<b>Issues and Challenges</b>				
Summarize the main constraining and facilitating factors affecting implementation and the achievement of results. In this connection, comment on the adequacy of activities for achieving expected results. Identify lessons learned in addressing constraints and taking advantage of facilitating factors.				
<b>Capacity Development:</b>				
1. Comment on the quality and the quantity of technical support provided in the course of the year, in support of this particular output.				
2. Explain how training activities were used to improve the effectiveness of implementing partner organizations in managing work plans (when available, draw on information from implementing partners' database of all personnel working and trained under this particular output).				
<b>Recommended Actions</b>		<b>Time Frame</b>	<b>Responsible body</b>	
■				

Report compiled by: \_\_\_\_\_

Report verified by: \_\_\_\_\_

Name/Designation: \_\_\_\_\_

Name/Designation: \_\_\_\_\_

Date: \_\_\_\_\_

**Please attach any evidences for results (photographs, field visit reports, etc.)**

\_\_\_\_\_

<sup>13</sup> **Note:** UNDAF Pillar: 1.Sustainable Economic Growth and Risk Reduction ; 2.Basic Social Services; 3.Governance and Capacity Development; 4.Women, Youth and Children

<sup>14</sup> Key achievement against outputs- fully achieved, partially achieved, not achieved, cancelled, reprogrammed

## RT 2. ANNUAL (END OF YEAR) SUMMARY REPORT (FOR CONSOLIDATION BY THEMATIC WORKING GROUPS)

UNDAF Pillar<sup>15</sup>: \_\_\_\_\_

UNDAF Outcome: \_\_\_\_\_

UNDAF AP Output : \_\_\_\_\_

Agency Specific Output(s): -----

Programme/Project: \_\_\_\_\_ Reporting Period/Quarter \_\_\_\_\_

Agency: \_\_\_\_\_

Planned Activities	Indicators and Annual Targets (to be taken from the Programme monitoring framework/AWP)	Results achieved during Q4 this year	Cumulative annual results achieved this fiscal year	Target met (%)
<b>Output 1.</b>				
Activity 1.1				
Activity 1.2				
<b>Output 2.</b>				
Activity 2.1				
Activity 2.2				
Activity 2.3				
<b>Issues and Challenges</b>				
Summarize the main constraining and facilitating factors affecting implementation and the achievement of results. In this connection, comment on the adequacy of activities for achieving expected results. Identify lessons learned in addressing constraints and taking advantage of facilitating factors.				
<b>Capacity Development:</b>				
1. Comment on the quality and the quantity of technical support provided in the course of the year, in support of this particular output.				
2. Explain how training activities were used to improve the effectiveness of implementing partner organizations in managing work plans (when available, draw on information from implementing partners' database of all personnel working and trained under this particular output).				
<b>Recommended Actions</b>		<b>Time Frame</b>	<b>Responsible body</b>	
▪				

**Please attach any evidences for results (photographs, field visit reports, water source coordinates etc.)**

<sup>15</sup> **Note:** UNDAF Pillar: 1.Sustainable Economic Growth and Risk Reduction ; 2.Basic Social Services; 3.Governance and Capacity Development; 4.Women, Youth and Children

### **RT 3. ANNUAL ANALYTICAL NARRATIVE SUMMARY REPORT (BY THEMATIC WORKING GROUPS)**

**UNDAF Strategic/Thematic Area:** \_\_\_\_\_

Based on the AWP review reports and detail data/information collected using reporting tools (RT) 1 and 2, a summary narrative report (2 -3 pages) needs to be prepared focusing on:

- Context/situation analysis
- Progress toward UNDAF results (key intervention, outputs and outcomes) achieved versus annual target
- Resource utilization versus planned budget
- Good practices and reasons for success
- Major challenges/constraints
- Recommendation, including policy implication and way forward

## **ANNEX 4. STANDARD OPERATIONAL FORMAT FOR THE UNDAF PROGRESS REPORT<sup>16</sup>**

This section provides an outline of the standard operational format for the UNDAF Progress Report. The format includes the following five sections and required annexes.

### **I. Introduction** Length: 2-3 pages

What should be covered?

- State the purpose agreed with the Government for the UNDAF Progress Report and summarize the process for developing the report;
- Briefly describe how relevant national strategies, the Poverty Reduction Strategy Paper and Sector-Wide Approaches, if relevant, link to the achievement of the internationally agreed development goals, including the Millennium Development Goals (MDGs);
- Briefly describe the UNDAF, its time span, goals and links between UNDAF outcomes and achievement of the internationally agreed development goals, including the MDGs;
- State the period covered by the UNDAF Progress Report and describe any revisions of the UNDAF that occurred during the reporting period;
- Identify the UN Agencies for which results are included and any changes in Agency roles that have affected UNDAF reporting; and • Cross reference to annex 2, which should include definitions of key terms to assist non-UN stakeholders unfamiliar with them.

### **II. Key Development Trends**

Length: 1-2 pages

What should be covered?

- Key changes during the reporting period that have affected the development context in which the UNDAF has been implemented; and
- External trends that affected the risks and assumptions made on what needed to be in place for the UN's support to be effective (i.e., political changes and emerging priorities that significantly changed policy focus, disasters [either humanitarian or natural], significant shifts in international prices, etc.).

### **III. Progress Towards the UNDAF Outcomes and the UN's Contribution**

Length: Suggested 2 pages per UNDAF outcome

What should be covered under each separate UNDAF outcome?

---

<sup>16</sup> UNDG, Standard Operational Format and Guidance for Reporting Progress on the UNDAF, pages 8-10

- A summary of progress in achieving the outcome against the established baselines and targets for each outcome. This information should be normally drawn from information found in the Government’s reporting and data collection systems.
- A narrative report assessing the UN’s contribution to achieving progress against the UNDAF outcomes (based on the Annual Reviews and, where possible, end-of-cycle reviews, by an Inter-Agency group responsible for M&E or equivalent). The narrative report should focus on:
  - a. (i) Describing the strategic contribution of concerned UN Agencies; and (ii) whether there is evidence that the contribution has been greater thanks to better coherence between the Agency outputs. There is no need to report on activities under projects and programmes, and UN outputs should only be identified in terms of how their achievement has contributed to a significant change at UNDAF outcome level. It should also focus on Tri-Annual Comprehensive Policy Review guidance on the contribution of UN operational activities to national capacity development and development effectiveness, including contributions to: (i) capacity building; (ii) South-South cooperation and development of national capacities; (iii) gender equality and women’s empowerment; and (iv) transition from relief to development, as appropriate to each country context.
  - b. Outcome level quantitative indicators rarely track performance under each of the UN’s five inter-related programming principles—namely human rights, gender equality, environmental sustainability, results-based management and capacity development. The narrative report on the UN’s contribution, however, must include an assessment of the degree to which these five principles have been reflected in the UN’s overall contribution and towards making progress against UNDAF outcomes or other cross-cutting issues relevant to the country.
  - c. Identifying advocacy successes of the United Nations that have led to the Government increasing its commitment or prioritizing achievement of internationally agreed normative standards relevant to the UNDAF outcome.
  - d. Presenting evidence showing that the UN’s planned support remains relevant to the country context and national priorities.
  - e. Describing progress on the implementation or realization of principles, rights or other normative standards.

#### **IV. Progress on UN Reform**

Length: 3 pages maximum

What should be included?

A narrative identifying what the UNCT planned in this area for the reporting period and the degree to which these intentions have been met.

- A review of any improved functioning of the UN development system in line with Tri-Annual Comprehensive Policy Review guidance in terms of: (a) coherence, effectiveness and relevance; and (b) country-level capacity of the UN development system.
- Assessment of progress against agreed benchmarks and results, where agreed.

#### **V. Lessons Learned and Way Forward**

Length: 3-4 pages maximum

What should be covered?

- Remember that this section addresses issues at the UNCT level and therefore should not focus on what is happening within Agency-specific projects and programmes, where accountability remains with the individual UN Agencies and their partners.
- Building on the deliberations during the Annual Review process, the narrative should cover the following issues:
  - a. Changes in major planning assumptions, risks and emerging opportunities;
  - b. Continued relevance of UNDAF outcomes and outputs to national priorities and broader country context;
  - c. Corresponding adjustments to expected results (country programme outputs);
  - d. Revisions to strategies, planned activities, partnerships and resource allocations, and identification of those responsible for these changes; and
  - e. Any agreed changes in the UNDAF results matrix.

## **ANNEX 5. GUIDING CHECKLIST FOR PROGRAMME IMPLEMENTATION**

### **MONITORING TRIPS (PIMT)**

#### **A. To prepare for the field visit, the PIMT team should:**

- Establish the AWP activities to be monitored
- Identify the monitoring team (UN and partners)
- Assign roles and responsibilities to the team members
- Select the Woredas for the field visit
- Review the relevant portion of the AWP, including timetable;
- Review related available progress reports and records of meetings and discussions, including of the latest UNDAF Annual Review;
- Review expenditure status for this activity, the most recent financial reports (e.g. FACE), and check whether progress or financial reports from programme partners are overdue;
- Review the indicators describing the quality or quantity of the activity under review (e.g. the learning objectives of a training session; the number of people supposed to be involved; the agreed design of the water point or latrine; the type of records of the activity expected to be held by the local authority; the expected operating hours of the health or day-care facility);
- Review distribution lists, proof of delivery, and prepare supply evaluation forms as required;
- Obtain titles and names, and review the list of people to be met;
- Prepare, or review the proposed agenda for meetings, and key questions to be answered;
- Have appointments for meetings confirmed;
- Ensure that an interpreter is available, if necessary;
- Check with other sections/programmes whether information can be obtained for their purposes, too.

#### **B. During the field visit, the PIMT participants should:**

- Review records (including financial books for the receipt and disbursement of UN-provided funds, participant lists, inventories, stock turnover);
- Check on the use of programme supplies (e.g. supplies kept in store, distribution records, evidence within households of supplies or other essential commodities related to programme).
- Observe the supported activity in action (e.g. team should not only discuss with officials about the supported training workshop, but observe part of the session);
- Assess whether the most vulnerable or least privileged groups have an opportunity to participate or benefit from AWP activities;
- Obtain a view from a balanced number of women and men, or girls and boys;
- Obtain the views of the intended users of the service, facility, or programme (e.g. children, young people, mothers of children, women). If possible, meet people in their own environment, to also obtain the views of those who choose not to use the service or participate in the programme;
- Obtain the views of the service providers, or implementers of the programme (e.g. teacher, health worker, social worker, peer educator, NGO member, workshop facilitator, members of the local self-help group);
- Obtain the views of the managers of the activity, programme or service (e.g. school principal, chair of the local committee, head of the local NGO, accountant dealing with AWP resources);
- Obtain the views of authorities charged with oversight (e.g. Woreda health Officer, School Inspection Unit, Regional Water Bureau);
- Obtain the views of local groups and authorities (e.g. chiefs, headmen, religious leader, local authority, town clerk);
- Review locally generated and kept statistical records (e.g. sex-disaggregated results of school examination, incidence of certain diseases, maintenance records of the local water system);

- Proffer on-spot technical assistance within the capacity of team members to fix implementation challenges.

**C. Report and follow up by the PIMT team leader:**

- Meet with implementing partners at all levels to review and address recommendations
- Prepare a trip report, focusing on the findings, agreements and recommendations, with action points for follow up;
- Share the report with concerned parties within five days following the end of the trip;
- Share the relevant parts of the report with programme partners;
- Write a letter to thank all those who spent time with the PIMT team for their insights;
- File the report for possible use in annual reviews, annual reports, donor reports, or other documentation. Also record in ProMS, as appropriate.

**D. To avoid bias and misleading investigations, the PIMT team should:**

- Avoid urban, tarmac and roadside bias by going further away;
- Avoid programme bias by also visiting non-programme areas and including non-scheduled stops;
- Seek out poorer people, women, people who are sick at home and not at the clinic;
- Escape the limitations of professional conditioning by being observant and asking open-ended questions;
- Spend more time to hear people who are poor, and who are often the last to speak;
- Move less fast and consider spending the night;
- Behave unobtrusively, and avoid giving an impression of having influence over the benefits which a community might receive.

## ANNEX 6. JOINT MONITORING REPORTING AND PRESENTATION TEMPLATES

### Government of Ethiopia and UN Joint Monitoring Reporting Template

1. Introduction
2. Geographic/Population Background
3. List of Transaction Tested
4. Major Findings
5. Major constraints
6. Recommendations
7. Lessons Learned
8. Annex: ToR, List of team composition, data collection tool, etc.

### GOVERNMENT OF ETHIOPIA AND UN JOINT MONITORING PRESENTATION TEMPLATE

<p style="text-align: center; font-size: 1.2em;">Name of Region</p> <p style="text-align: center; font-size: 1.2em;">Joint Field Monitoring</p> <p style="text-align: center;">Date:</p>	<p style="text-align: center; font-size: 1.2em;">Geographic/population background</p> <ul style="list-style-type: none"> <li>▪ When you prepare this slide, please list the available geographic as well as population data of Woredas visited by your team</li> </ul>
--	--

### A list of transactions tested

Sector	DCT No.	Activity Description	Cash Requested	Cash Received by IP	Liquidation within 6 months	Amount of CRQ sent to woreda (ETB)

Sector	Supply No.	Description	Amount of I*GM sent to woreda (ETD)	Arrival time

### Summary of Findings

- When you prepare this slide, please note that risks and best practices if any.

4

### Major Constraints

- When you prepare this slide, please list the major constraints which your team faced during the monitoring exercise.

5

### Lessons learned

- When you prepare this slide, please note that *‘Lessons learned is corresponding to conclusions that can be generalised beyond the specific case, including lessons that are of broad relevance within the country, regionally, or globally to UN or the international community. Lessons can include generalised conclusions about causal relations (what happens) and generalised normative conclusions (how an intervention should be carried out).’*

6

### Recommendations

- Please present this slide with the relevance to UN/GuE Mid-Year Review, Annual Review and/or GTP review.

7

### Other comments (if any)

- You may present this slide with the relevance to improve future joint monitoring exercise

8

## **ANNEX 7. GUIDANCE ON QUALITY ASSURANCE ACTIVITY (QAA)**

**Methodology:** A random sample of key input documents – cash, in-kind transfers, and supplies complemented by same output results - shall be taken from the line listing of transactions exceeding USD 50,000 in both cash, in-kind transfers, and supplies for the period of 12 months preceding the QAA.

Step one: the documents will be shared with the concerned UN Agency Programme teams who will map the districts where the sampled cash and in-kind inputs have been transferred by BOFEDs in support of activities or/and the supply inputs distributed.

Step two: in the event that the distances to be covered by the Quality Assurance team are reasonable, the sampling process is herewith completed. However if the distances to be covered are excessive, additional input documents should be drawn until a reasonable travel plan can be put together. It is to be noted however that this should in no way be understood as if implementing districts should be close to the regional capital.

MoFED, as Government Coordinating Agency, and BoFEDs, as regional coordinating agencies of Government, and UN Agencies shall provide strategic guidance and steer the entire assurance activity, review the findings and develop ‘action plans’ for all remedial actions incidental to the exercise and ensure that lessons feed into the overall management, coordination and efficiency of the Country Programme Action Plan (CPAP) 2007-2011. In this regard, a joint task force of the MoFED-UN Agencies at the federal and BoFED-UN Agencies at the regional level would provide required leadership. The respective regional task forces shall adopt this guidance notes and share their findings with MoFED.

A ‘QAA team’ composed of programme and operations staff based in Addis and in the field shall be assigned by the relevant Representatives on behalf of UN Agencies and the Director of the UN Directorate at MOFED on behalf of Government of Ethiopia to carry out QAA in selected regions. The deployment and or assignment of ‘QAA team’ shall be guided by professionalism, independence, integrity to ensure that the assurance activity findings are credible and meet established national and international standards.

A mix of methodologies – desk reviews, field visits, key informant interviews, technical validations etc – shall be applied. Prior to the QAA, members of the QAA team should review the Fund Authorization and Certification of Expenditure (FACE) forms issued during the period under review, and the relevant AWP, progress reports and ordered/delivered supplies. The team should also be familiar with area, programme and reports of relevant field monitoring visits, available audits reports and other documentation that may help to understand the Implementing Partner’s internal controls, supported activities and authenticity or validity of output results achieved/reported by the implementing partner(s) based on inputs received from UN Agencies directly and/or through the BoFED. A checklist in the annex will guide the data collection effort for QAAs.

To protect informants from potentially undesirable consequences assurance of anonymity must be granted.

A QAA in each region may take up to five days; however the duration may vary according to the level of expenditures/contributions, coverage of activities for such disbursements/distributions, number of beneficiaries, duration of such assistance etc. The review should take place at the Implementing Partner’s location and should necessarily include site visits to project locations in remote and or other communities, water points, food distribution points, schools, health facilities, women groups etc.

To the extent possible, schedules of planned QAAs should be shared with the concerned Implementing Partner and beneficiaries/end users. In conducting a QAA, a copy of the TOR and sufficient advance

notice should be provided to the Implementing Partner. However, where possibility exists that the implementing partner(s) or their agents may interfere with the independence of the assurance activity, the QAA team is mandated to preserve the integrity of the assurance exercise.

Throughout this guidance the term "Implementing Partner" refers to the institution that: a) signs the FACE forms; b) receives cash and/or supplies and other necessary inputs from UN Agencies and/or BoFEDs for implementation of activities as contained in the agreed AWP. The term 'input' refers to cash, supplies and technical assistance (staffing) provided by the UN Agency directly or through the BoFEDs as part of the commitments to the UNDAF.

**Tasks:** The QAA team shall accomplish, among others, the following tasks:

- a. Review the selected cash advances against requests recorded in the FACE reports for the period under review. The review should include, but not be limited to, the following steps:
  - Reconcile the expenditure totals, per activity, on the selected FACE reports with the list of individual transactions (i.e. the Implementing Partner's accounting records);
  - Select a sample of fund receipts from UN Agencies and or BoFED, assess whether they were deposited into the Implementing Partner's bank account by verifying the bank statement;
  - Select a sample of transactions; review the reasonableness of the expenditure through discussions with management, vendors and beneficiaries;
  - Verify that the FACE reports were signed by authorized officials;
  - Undertake field visit to project sites, beneficiary locations etc and authenticate the validity of physical activity reports;
    - Review the adequacy of supporting documentation (e.g. invoices, purchase orders, receipt of goods, bank transfers/checks, bank statements) to ensure that it is consistent with the description of the transaction (per the accounting records) and that it is consistent with the activity described in the AWP;
    - Verify if there is adequate segregation of duties in processing the transactions;
    - Verify if payment vouchers are authorized and checks are signed by the designated officials;
    - Review mathematical computation of individual payments and total payments against the expenditures;
    - Check the detailed expenditure against the approved budget. If there is any deviation from the budget, assess whether they were authorized;
    - Check the dates of the supporting documents to ensure that the expenditure was incurred during the period under review, as per the approved AWP;
- b. Review the selected **supplies** and
  - Verify if the PGMs are consistent with the relevant AWP;
  - Check any discrepancy between the planned and actual delivery dates by the consignees;
  - Check if supplies and in-kind contributions were delivered on time, of good quality and necessary quantity to meet the programme results
  - Check the 'end-user' status of the supplies and in-kind contributions;
  - Check if the ultimate use of supplies and in-kind contributions, especially durable goods is consistent with the intended use.
- c. Review relevant **outputs** to the selected inputs and
  - Authenticate the validity of physical activity reports by undertaking field visit to project sites, beneficiary locations etc;
  - Determine if 'skills' acquired through trainings are being utilized to deliver intended services more efficiently and effectively;
  - Services provided through the disbursement of cash, in-kind contributions, supplies and technical assistance provided by UN Agencies are being enjoyed by the intended

- beneficiaries; such as timeliness, clarity of request and instruction, feedback in the case of mistakes made or incomplete documentation, perceived 'efficiency' of UN Agency communication, and receipt of goods by beneficiaries.
- Adverse effects are observed and or reported as a direct and or indirect impact of this partnership.

**Report and Implementation of Findings/Recommendations:** The QAA team shall debrief the beneficiaries, communities as well as designated official of the Implementing Partner and the BoFED Head as deemed fit on its findings and seek their suggestions on how best to overcome identified weaknesses, lapses and/or obstacles.

Following the completion of the QAA, the team shall prepare a report containing:

- A summary of the findings, with indication of risks and best practices, if any;
- A list of transactions tested. For any exceptions the report should list the payment and or supply details and the nature of the exception;
- Recommendations to the Implementing Partner;
- Final comments and recommendations by the Implementing Partner.

The report of the team shall be addressed to the Implementing Partner (and other parties as stipulated in the CPAPs) and copied to UN Agencies and MoFED.

The MoFED and UN Agency management shall take appropriate actions to utilize the lessons, address the findings/recommendations and as well ensure that all partners take appropriate actions to improve the effectiveness and efficiency of the Government-UN Agency-Assisted CPAPs 2007-2011 results and overall programme delivery.

## **ANNEX 8. QUALITY ASSURANCE CHECKLIST**

### Identification

(To be filled by team member from relevant documents)

1. Date of Assurance Activity ...../...../.....
2. Programme:.....
3. Location: (Region/Woreda).....
4. Activity description and time frame:.....
5. UNDAF outcome/outputs the activity is linked to: .....
6. Planned output (s).....
7. Funding Amount for Activity .....
8. Implementing partner:.....

### Activity Implementation Process

(All questions other than question # 9 to be answered by the implementing partner)

1. Was the activity completed as planned? YES/NO
2. If NO, what were the main constraints (implementing partner to answer)  
.....  
.....
3. Was the activity modified on the basis of the above constraints, or any other basis? YES/NO
4. If YES, what was the modified activity?  
.....  
.....
5. Specify the actual activity results  
.....  
.....
6. If YES, specify the level of discrepancy (as % of the plan).  
.....
7. What were the essential lessons learnt while implementing the activity in the AWP?  
.....  
.....
8. How often did Implementing Partner monitoring take place:  
.....
9. What is the assessor's overall rating of the implementation of this activity? (underline)  
Exceeded expectation/ met expectation/ below expectation/ can't say

### Cash Assistance

(All questions other than 8, 10 and 12 to be completed from documents by the team; the rest to be answered by Implementing Partner)

1. Is CRQ/2007/XX consistent with the relevant AWP? YES/NO
2. When was the cash requested (Check the FACE)?(dd/mm/year) \_\_\_\_/\_\_\_\_/\_\_\_\_
3. When was the cash received by the partner? (check local bank's advice) \_\_\_\_/\_\_\_\_/\_\_\_\_
4. What activities did the CRQ support?  
.....  
.....
5. Were the activities implemented as planned? YES/NO
6. Is the CRQ at least partially liquidated? YES/NO
7. If fully liquidated, was it liquidated within 6 months after receipt of the funds? YES/NO

8. If “No”, give explanation:  
 .....  
 .....  
 .....
9. Are the supporting documents for liquidation adequate (receipts, invoices, etc)? YES/NO
10. If “No”, give explanation:  
 .....  
 .....
11. Are the expenditures according to the micro-plan (breakdown in AWP)? YES/NO
12. If “No”, give explanation:  
 .....  
 .....
13. Is there segregation of duties among those who draft, certify and approve the financial report?  
 YES/NO

*Supply and In-Kind Contribution Assistance*

(All questions other than 5 - 8 to be completed from documents or direct observation by the team; the rest to be answered by Implementing Partner)

1. Is PGM/2007/XX consistent with the relevant AWP? YES/NO
2. When was the supply/in-kind contribution delivered? ( (dd/mm/year) \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_\_
3. Did the supply/in-kind contribution arrive on time? YES/NO
4. If delayed, give duration (in months) .....
5. Was AWP implementation affected due to the delay in receipt of the supply/in-kind contribution item(s)? YES/NO
6. If NO, give explanation  
 .....  
 .....
7. Was the supply/in-kind contribution of good quality? YES/NO
8. If NO, give explanation  
 .....  
 .....
9. Was the supply/in-kind contribution distributed by the Implementing Partner to ultimate beneficiaries according to the plan? YES/NO
10. Are the supplies/in-kind contribution being used for the intended purpose? YES/NO
11. If NO, why? (yet to be distributed)/(stored as excess)/(out of order/expired)/ (in use for a different purpose) (shared with non-beneficiaries)
12. Indicate below the types of equipment/food and the status /condition of each. (Tick the appropriate rating below)

Equipment/Food	Status		
	Good	Fair	Poor

*Performance/Activity Reports*

(All questions, except the last three, to be completed from documents by the team; the rest to be answered by Implementing Partner)

1. Date of the report of the related activities in the AWP by the implementing partner (dd/mm/year) \_\_\_ /\_\_\_/\_\_\_
2. Was the report, overdue? YES/NO
3. If the activity report was submitted later than the due date state the reason  
.....  
.....
4. Is there segregation of duties among those who draft, certify and approve the report? YES/NO
5. Is there a verification process for activity reports? YES/NO
6. What are the reported achievements?  
.....  
.....
7. What indications are there corroborating the reported achievements? (such physical evidence, independent testimony, photographs, etc)  
.....  
.....
8. If training, what was the training on?  
.....  
.....
9. Was the training delivered on time? YES/NO
10. How many staff members completed the training? .....
11. Who received the training?  
.....  
.....
12. Are the skills acquired from the training being applied? YES/NO
13. If yes, how many staff members are actually utilizing the skills? .....
14. How do participants rate the relevance and usefulness of the training? HIGH/MEDIUM/POOR

*Community questions*

If the resources (cash, in-kind contribution, supply) were directly targeted to household members:

1. Specify the amount received by the household/child .....
2. Does the beneficiary household meet the targeting criteria, if conditional transfer? YES/NO
3. Was the support delayed? YES/NO
4. If “Yes”, what was the consequence?  
.....  
.....
5. Was the support as much as anticipated? YES/NO
6. If NO, how large was the difference (as % of the expected) .....
7. How do the recipients value the assistance? HIGH/MEDIUM/POOR

If the resources (cash, in-kind contribution, supply) were directly targeted to communities

8. Specify the nature of assistance  
.....  
.....
9. Did the assistance go to the intended communities? YES/NO
10. Who benefited from the assistance?  
.....  
.....
11. How do the communities value the assistance? HIGH/MEDIUM/POOR

*Programme specific questions*

Quality Assurance Activity

Follow-up Actions

Programme(s): \_\_\_\_\_

Region: \_\_\_\_\_

Implementing partner(s): \_\_\_\_\_

Programme worded as visited:

\_\_\_\_\_

QAA team members:

\_\_\_\_\_

\_\_\_\_\_

Duration of QAA:

\_\_\_\_\_

Issue (areas for improvement)	Follow-up action (Recommendation)	Responsible party to take action	Progress as of [DATE]	Evidence of completion	Expected date of completion

## ANNEX 9. MAIN STEPS OF UNDAF EVALUATION

### Summary of Evaluation Steps (Applicable to all UNDAF Evaluations)

#### Step 1: Preparation

- Include the UNDAF evaluation in the work plans and budgets of the Resident Coordinator, the UNCT and work plans and budgets of individual Agencies
- Articulate studies, reviews and evaluations of individual Agencies around UNDAF outcomes
- Draw up terms of reference and evaluation calendar. Identify future users of the evaluation results.
- Define management arrangements for the evaluation. Use existing UNCT coordination mechanisms (e.g. theme groups, coordination officer) as much as possible and articulate their responsibilities
- Define procedures to maximize consultation with the Government and its involvement in the evaluation process and outcome and define participation by other stakeholders
- Define the roles and contribution of regional bodies and non-resident Agencies.
- Define procedures for the selection, recruitment and management of consultants
- Determine logistics requirements including administrative support
- Review budget and sources of funding

#### Step 2: Implementation

- Organize an evaluation team planning workshop to establish the evaluation work plan, methodology and develop data collection instruments as well as the division of labour among evaluation team members
- Gather data: review of documents particularly evaluation and progress reports of participating UN Agencies, field visits, interviews etc.
- Analyse the data collected possibly during a data analysis workshop
- Prepare the report
- Share the report with stakeholders for comments and finalize

#### Step 3: Use of the results

- Organize a stakeholders' meeting/workshop to validate and refine findings, conclusion and recommendations; discuss dissemination and communication strategies and plan for implementation of evaluation recommendations. The follow-up plan should determine a process for ensuring that lessons learned are incorporated into the next UNDAF programming cycle.
- Disseminate the evaluation findings and recommendations
- Implement a follow up plan.

Throughout the process, seek support from: [www.undg.org](http://www.undg.org) (especially CCA/UNDAF Guidelines, UN Programming Learning Kit, programming best practices, evaluative information network, Agency evaluation officers, Globalnet, UNDG Coordination Practice Area, DGO geographic/regional focal points).

## **ANNEX 10. STRUCTURE OF THE UNDAF FINAL EVALUATION REPORT**

The UNDAF Final Evaluation report should include the following sections:

Executive Summary (max 2 pages)

1. Introduction (Context and national priorities, goals, and methodology, brief description of the results)
2. A Reflection on the main findings which considers: (a) the results of the desk review of existing documentation available, and (b) the interviews conducted with Heads of UN Agencies, selected senior programme staff, and selected senior Government officials
  - 2.1. Results by UNDAF Outcome (three UNDAF outcomes)
    - 2.1.1. UNDAF Outcome 1: national progress, specific contribution of UN Agencies and resources mobilized etc.
    - 2.1.2. UNDAF Outcome 2: national progress, specific contribution of UN Agencies and resources mobilized etc.
    - 2.1.3. UNDAF Outcome 3: national progress, specific contribution of UN Agencies and resources mobilized etc.
3. Partnership and collaboration strategy among UNCT and other donors; and evaluation of the efficiency and effectiveness of UNDAF as a partnership framework
4. Major Challenges
5. UNDAF Financial Management
6. Assessment of M&E process
7. Conclusion
8. Recommendations and follow-up plan
  - 8.1. Current UNDAF
  - 8.2. Next UNDAF
9. Annexes might include the following:
  - Assessment of the progress by outcomes in relevance to the nationally defined goals.
  - Photos
  - Stories worth telling (Most Significant changes [MSC])
  - List of used documents and persons met.

\*The UNDAF Evaluation Report should be developed in accordance with the UNEG “Standards for Evaluation in the UN system”, “Norms for Evaluation in UN System and “Ethical Guidelines for Evaluation.” Analysis should include an appropriate discussion of the relative contributions of stakeholders to results. It will consider the evaluation objectives as per *relevance, effectiveness, efficiency, impact and sustainability of results*, as well as the key issues of *design, focus and comparative advantage*.

*ANNEX 11. RESIDENT COORDINATOR'S ANNUAL REPORTING TEMPLATE*

## 2012 Results and Use of Funds Table

Please note that only those areas in bold are mandatory

### Part One: UNDAF Outcomes

State the UNDAF outcomes	Indicate Total Budget per Outcome	Provide an indicative budget delivery amount per Outcome in 2010
<i>Outcome 1:</i>		
<i>Outcome 2:</i>		
<i>Outcome 3:</i>		
<i>Outcome 4:</i>		
<i>Outcome 5:</i>		

### Part Two: Coordination Results

KEY RESULT AREAS	Expected Outputs <sup>1</sup>	Performance Indicators <sup>2</sup>	Actual Outputs at Year End	Funds required/ spent at end year				Additional Support Needed from HQ or Regional Director's Team	Target Date	
				SRC	UNCCF	UN entities	Other			
<b>Result Area 1: Coordination for Results</b>										
UNCT Contribution to the	UN support to formulation/implementation of relevant national strategies or									

<p>National Development Plan/Poverty Reduction Strategy/MD and MDGs plan</p>	<p>plans e.g. JAS/NDP/PRSP</p> <p><b>UN plan to support the implementation of the Millennium Declaration, including acceleration of IADG/MDG initiatives</b></p> <p>UN support to capacity development strategies</p> <p><b>UN assistance to national authorities for the preparation of the national report on the implementation of the Brussels Programme of Action of LDCs <sup>4</sup></b></p> <p>Formulation/implementation of a transition plan or strategy <sup>5</sup></p> <p>Other</p>											
<p>Aid Coordination/ Management / Paris Declaration</p>	<p>Planned efforts to making use of national systems in the areas such as programme/project reporting, PRS/sectoral monitoring and evaluation systems, annual PRS/sectoral performance reviews, national procurement systems, etc</p> <p>UN support to aid coordination/management</p> <p>Other</p>											
<p>UNDAF/Common Programming</p>	<p><b>Efforts to align UN programme cycle with national development cycle</b></p> <p>Preparation of Country Analysis/UNDAF</p> <p>Progress towards UNDAF outcomes (inputs provided by theme group chairs)</p>								-	-	-	-

	<p><b>Implementation of UNDAF M&amp;E framework</b> UNDAF Annual Review/ UNDAF Evaluation</p> <p>Joint planning initiatives with UN peacekeeping, peacebuilding, political and humanitarian actors (e.g. UNDAF plus, Integrated Strategic Framework) . Other</p>																	
<a href="#">Joint Programmes<sup>6</sup></a>	<p><b>Preparation/ implementation of new Joint Programmes</b></p> <p>M&amp;E of Joint Programmes Other</p>																	
HACT	<p><b>Status of HACT implementation/compliance<sup>7</sup> in the country</b> Strengthening national systems/capacities through HACT</p> <p>Other</p>																	
Gender Equality	<p>UN support to incorporation of gender equality in national planning processes (such as National Development Strategies; PRSPs; SWAPs; Joint Assistance Strategies, etc.)</p> <p>Capacity development for gender theme groups to support UNCT to respond to national priorities for gender equality</p>																	

	Other																		
HIV/AIDS	<p><b>Establishment of Joint UN Team on AIDS and implementation of joint programme of support on AIDS</b></p> <p><b>UN support to the national response to AIDS through strengthening the Three Ones HIV/AIDS in the Workplace</b></p> <p>Other</p>																		
Human Rights	<p>Application of Human Right Based Approach to UN Common Programming and national development processes</p> <p>Strengthening the capacity of UNCTs to support national human rights protection systems</p> <p>Other</p>																		
Common Services and Premises	<p>Status of initiatives to increase collaboration and cost-effectiveness of UN business operations in support of programme delivery (common services and premises)</p> <p>Other</p>																		
Other																			
<b>Result Area 2: Coordination of Emergency Preparedness and Relief</b>																			
Preparedness	Coordination of emergency preparedness efforts of UNCT members and relevant humanitarian actors																		
Relief	Establishment of Humanitarian Country Team																		





## **ANNEX 12. UNDAF M&E TWG TOR**

### **I. BACKGROUND**

Both the Government of Ethiopia and UN Agencies are keen to improve results-based planning, monitoring and evaluation mechanisms for development activities. An efficient and effective monitoring and evaluation (M&E) system (a) enables informed decision making to improve programmatic performance, (b) improves accountability and transparency among stakeholders, (c) disseminates lessons learned, and (d) facilitates meaningful dialogue between development partners in order to apply corrective measures and assess progress against targets of development activities. The M&E Technical Working Group works within this background context to support the effective monitoring and evaluation of UNDAF results.

UNDAF is the planning framework for the development interventions supported by the UN system at country level. It consists of common objectives and strategies of cooperation, a programme resources framework and joint M&E systems. UNDAF lays the foundation for cooperation among the UN system, Government and other development partners through the preparation of a complementary set of programmes and projects. As a consequence, it enables the UN system to achieve “goal-oriented collaboration, coherence and mutual reinforcement” (GA Resolution 53/192). M&E responsibilities under UNDAF lie with the UN Country Team, assisted by the UNDAF Thematic Working Groups. The UN Resident Coordinator leads the UN Country Team.

The UNDAF M&E system consists of a combination of Agency-specific monitoring instruments and joint monitoring tools, such as those employed by the Government and Development Assistance Group, and evaluations that are undertaken during the programme cycle and which focus on evaluating specific outcomes of selected strategies. UNDAF M&E mechanisms work through the existing Thematic Working Groups, joint field assessments and activities with partners.

All UNDAF Thematic Working Groups should liaise with the responsible bodies within the Government structure to monitor progress on UNDAF outcomes and outputs for each focal area of UNDAF. These responsible bodies in Government are as follows:

- The Welfare Monitoring Unit located within MoFED is the the main responsible body for taking forward the M&E of the Government’s poverty reduction strategies.
- The Central Statistical Authority plays a key role in the production of major national surveys such as the Household Income Consumption and Expenditure Survey, undertaken every five years, the Welfare Monitoring Survey (WMS) undertaken every 4 years, the Population and Agricultural census, the Health and Nutrition Survey and the Labour Force Survey.
- Other elements of the M&E system include specialized surveys such as the Demographic and Health Survey; the undertaking in 2004/05 of a Participatory Poverty Assessment; and the use of routine data generated by sector ministries and local Government.
- Several ministries also collect socioeconomic data, mainly from administrative sources, relevant to the Growth and Transformation Plan (GTP).
- Several line ministries, especially those with sector programs, run their own monitoring systems such as Education Information Management Systems, and the forthcoming Health Information Management Systems.

Significant progress has been made over time in terms of the methodologies adopted, making utmost use of the available data sets, handling the data and undertaking the analysis, and issuing the results within a reasonable timeframe. To the extent possible, the UNDAF M&E system will depend on existing systems and data sources of various UN Agencies.

### **II. MAIN PURPOSE AND SCOPE OF ACTIVITIES**

The broad purpose of the M&E Technical Working Group is to ensure an active, effective and efficient interaction between the Government of Ethiopia, represented by the MoFED, line ministries

and other stakeholders as appropriate, and the UN Country Team in monitoring and evaluating the implementation of UNDAF, as reflected in the Results Matrix.

Within this broader purpose, the M&E Technical Working Group has three specific purposes:

- First, to systematically advise the UN Country Team on M&E issues, activate a structured dialogue with MoFED (Welfare Monitoring Unit and line ministries), and report to the UN Country Team and the authorities on the conclusions and recommendations from the dialogue.
- Second, jointly with Thematic Working Groups, to support the UN Country Team in assuring quality of the UNDAF results matrix, and facilitate the monitoring and evaluation of UNDAF results
- Third, to provide support to the planning, monitoring and evaluation activities of the Thematic Working Groups in the establishment and running of a robust and effective M&E system. This includes development of tools, formats, guidelines for the programme reviews, organizing joint field missions, HACT quality assurance and providing strategic direction to the overall UNDAF M&E to ensure synergy and coherence.

The main tasks for the M&E Technical Working Group are:

- 1. Support Result-based planning and monitoring system based on the UNDAF Result Matrix:**
  - (i) Facilitate Inter-Agency AWP planning process in collaboration with Government of Ethiopia to ensure consistency among different Agencies, if appropriate.
  - (ii) Implement UNDAF evaluation framework which will align with national M&E framework for the GTP and MDGs.
  - (iii) Ensure coherence between Agencies' M&E frameworks with that of UNDAF framework through (1) establishing and disseminating relevant M&E guidelines and tools on the UNDAF framework, (2) review of Agency frameworks in relation to the UNDAF framework by M&E TWG Agency representatives, and (3) close collaboration and guidance with Agencies on M&E frameworks through the Thematic Working Groups.
  - (iv) Facilitate Inter-Agency field monitoring efforts (such as Inter-Agency annual evaluations and HACT quality assurance monitoring).
  - (v) Support the RCO and UNCT in facilitating UNDAF quarterly and Annual Review Process.
  - (vi) Review UNDAF Annual Review Guidelines, including formats, and, to the extent possible, adopt common procedures. In this process, the group will map out Agency output results and their contributions to UNDAF outcomes.
  - (vii) In collaboration with other thematic TWGs and Government, report on the progress made towards the achievements of targets as set in the UNDAF Result Matrix and MDGs.
  - (viii) Facilitate the development, maintenance and dissemination of UNCT databases for monitoring through ethioinfo, etc.
  - (ix) Advise on the UNDAF M&E Results Framework and M&E systems development.
  - (x) Lead the preparation of evaluation plans, as distinctive sources of information for UNDAF. This will involve preparing clear guidelines with purpose, methodology (collection and analysis), who should undertake activities and how the findings/results should be shared.
- 2. Facilitate and provide technical support in preparation of new UNDAF**

This will be done through providing technical assistance in producing (1) UNDAF results matrix, (2) UNDAF Action Plan Matrix, (3) M&E Calendar and (4) UNDAF Country Analysis
- 3. Contribute to strengthen national M&E capacity:** facilitate Result Based Management (RBM)/HRBAP/M&E capacity building for UNDAF Thematic Working Groups and Government counterparts to ensure that they are up-to-date on relevant skills.
- 4. Promote dissemination of statistics:** provide the latest statistics in the state reporting process as appropriate and dissemination of information. This will include helping to identify the information needs of a wider audience including policy makers, program beneficiaries and the public.

### **III. ANNUAL PLAN OF ACTIVITIES**

The planning, monitoring and evaluation activities are based on the UNDAF Monitoring and Evaluation (M&E) Calendar. The calendar should clearly map out each Agency's data collection activities to ensure a synergy and coherence among different Agencies.

On the basis of the UNDAF M&E Calendar, the M&E Technical Working Group will develop an Annual Plan of Activities at the beginning of each year. Progress will be reviewed quarterly and the plan will be updated to reflect significant unexpected changes and modify the priorities initially selected, as required.

### **IV. OPERATIONAL MODALITIES OF THE TWG**

As per the UN Country Team decision, the M&E Technical Working Group will be co-chaired by two UN member Agencies selected by UNCT on annual rotation basis with the support of one RCO Secretary. The TWG will report to UN Country Team and RCO.

The Chairpersons will represent the TWG in UNDAF Inter Agency Team and Development Assistance Group M&E TWG meetings while the secretary will be responsible for documenting and sharing meeting Notes/minutes.

The TWG will meet minimum 12 times a year-once every month, and more frequently if deemed necessary. The Co-Chairpersons and the Secretary will prepare an agenda in consultation with group members. The Secretary will circulate minutes no later than ONE week after the meeting.