
Practical Guide to Multilateral Needs Assessments in Post-Conflict Situations

A Joint Project of

The United Nations Development Programme, World Bank,
United Nations Development Group

Annexes



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Annex 1: Overview of the steps, responsibilities, Instruments

Step		Responsibility	Instruments/ Annex	Outcomes
01	Initiative for PCNA	Multilateral agencies core donors UNCT international power		Memorandum of Understanding
02	Political consensus on objective and scope of PCNA	Co-ordination group: UNDG/UNDP, WB, Core donors, conflict parties	2. Outline preparatory meeting 3. TOR Donor Core Group 4. TOR Donor Liaison Group	Memorandum of Understanding
03	Interagency Co-ordination	UNCT, Technical Working Group (I)NGO bilateral donors civil society	5. TOR HQ level: "Technical Working Group" 6. TOR Field level: "Interagency Working Group" 7. TOR "UNCT/Multilateral Group"	
04	Establishment of the PCNA coordination unit	Technical Working Group	8. TOR PCNA co-ordinator 9. TOR secretariat 10. PCNA organisation charts – Example from Sudan	
05	Defining Time requirements	PCNA coordination unit PCNA team members		
06	Conflict analysis	Conflict advisor PCNA coordination unit	11. TOR conflict specialist 12. Tools for preparatory conflict analysis 13. Outline Briefing paper on conflict situation	Briefing paper
07	Vision for post-conflict recovery	Political stakeholder groups PCNA coordinator		
08	Selecting priority sectors and cross-cutting issues	PCNA coordinator Sector/cluster task manager Conflict advisor	14. TOR for Cluster Teams 15. TOR for Cross-Cutting Advisors 16. Do no harm Checklists 17. Checklist for conflict-sensitive institutional capacity assessment	
09	Defining the Concept Note	PCNA coordination unit	18. Outline of the Concept Note	"Concept note"

	Steps	Responsible	Instruments	Outcomes
10	Team composition	PCNA coordination unit cluster/sector task manager cross-cutting advisor conflict advisor	19. TOR Cluster manager 20. TOR mission members	
11	Logistics	PCNA secretariat	21. Outline Logistics checklist 22. Example Logistic checklist 23. Outline Briefing materials 24. Example web page	
12	Team management & Communication	PCNA coordination unit cluster/sector manager cross-cutting advisors	25. Generic Guidelines & Outline for the Inception Workshop 26. Outline of Weekly status Report	
13	Conflict-sensitive sector assessment	Conflict advisor cluster/sector manager cross-cutting advisors	27. Tools for conflict-sensitive sectoral analysis 28. Example Checklists: cross-cutting issues (Gender, Human Rights, Environment, Security)	
14	Validation workshops	Conflict advisor cluster/sector manager cross-cutting advisors	29. Unit cost matrix 30. Generic Guidelines & Outline for stakeholder Workshops	
15	Planning recovery and reconstruction	Cluster/sector manager / team	31. Guidance Note (Appendix Ch. 4.X) 32. Results-based Planning Framework 33. Sector Performance Indicator List 34. Selecting Indicators 35. List of Interventions for MDGs) 36. MDG Indicators	
16	Costing and format	Cluster/sector manager / team		Sectoral cost estimates
17	Sectoral reporting and planning	Cluster/sector manager / team PCNA secretariat	37. Outline of the cluster/sector reports	Sectoral needs assessment report Sectoral results-based needs framework (sectoral RFTF)

	Steps	Responsible	Instruments	Outcomes
18	PCNA Team Consolidation workshop	PCNA coordination unit Cluster/ sector manager cross-cutting advisor conflict advisor	38. Generic Guidelines & Outline for the consolidation workshop 39. Tools for conflict-sensitive consolidation and quality check of overall the needs assessment	Draft Overall Planning Framework (RFTF)
19	Government/conflict parties validation	PCNA coordination unit	40. Validation workshop(s) outline	
20	Donor/NGO/ civil society validation	PCNA coordination unit	41. Validation workshop(s) outline	
21	Final report (incl. Planning & Costing)	PCNA coordination unit conflict advisor	42. Reporting format 43. Proposed drafting schedule for the final report	Final needs assessment report
	Steps		Instruments	Outcomes
22	Lessons Learned of the PCNA process	PCNA coordination unit	44. Debriefing questionnaire 45. Generic Guidelines & Outline for the Workshop	Lessons learned report

Annex 2: Outline preparatory meeting

(to be elaborated by UNDP/UNDG)

Annex 3: Terms of reference for donor core group

(to be elaborated by UNDP/UNDG)

Annex4 : Terms of reference donor liaison group

(to be elaborated by UNDP/UNDG)

Annex 5: Terms of reference for technical working group

(to be elaborated by UNDP/UNDG)

Annex 6: Terms of reference for interagency working group

(to be elaborated by UNDP/UNDG)

**Annex 7: Terms of reference for UN country team / multilateral group PCNA
role**

(to be elaborated by UNDP/UNDG)

Annex 8: Terms of reference for the PCNA coordinator(s)

1 Introduction

The PCNA coordinator(s) overseeing international activities on the JAM

2. Main tasks:

2.1 The PCNA Coordinator(s) will be responsible for the coordination and management of the PCNA processes and for the delivery of the reports along agreed timelines.

2.2 *Coordination and Management of PCNA Mission:*

- Management and responsibility for the PCNA coordination unit
- Management and continuous feedback to the PCNA team (sector/cluster managers, conflict advisors and cross-cutting advisors as well as the political stakeholder)
- The coordinator(s) are responsible for ensuring that the logistical aspects of the proceed smoothly, working with the logistics coordinators. They should also address any management issues as they arise – logistics, organizational problems, staff and staffing problems, PCNA expenditures, etc.

2.3 The key output of the JAM will be the consolidated report and the Results-based planning framework of the sequences defined. The programs will build on current programs currently being implemented by local authorities, development partners and NGOs. They will be guided by the urgency of needed actions and the practicality of implementing such actions within the two year timeframe. They will, to the extent possible, also fit into the medium and longer term vision for the entire Interim Period and beyond.

2.4 The PCNA coordinator(s) are responsible for setting up and facilitating the briefing and debriefing sessions for the cluster teams, including preparation of briefing materials and timely reports on key themes from debriefing sessions (including inception, consolidation and validation workshops).

3 Principles

To achieve these objectives, the Coordinators will need to work closely on an ongoing basis with the Cluster Team leaders, their national counterparts and the overall PCNA leadership, particularly with respect to:

- Building ownership of the process, and providing guidance to ensure that sensitive issues are appropriately treated, and to the arrangements related to participatory processes to ensure inclusiveness – with counterparts, in selection of field visits, etc.;
- Regional disparities, inter-sectoral linkages, and cross-cutting issues and ensure that they are coordinated across the cluster areas, including in particular cross-cutting themes and approaches which are conflict-sensitive.
- Overview the work on costing to ensure consistency in approach and identifying potential gaps or problems, and provide advice on economic and fiscal matters to the cluster teams;
- Overview the work on results matrices being prepared by the cluster teams, to ensure that cluster activities and findings are consistent with the defined scope of work, to ensure consistency in approach, to ensure that identified priority outcomes are realistic based on capacity constraints and other considerations, gauge counterpart ownership, selection of indicators and targets, and to ensure feasibility of information requirements for monitoring.

4 Outputs

4.1 Concept Note

4.2 Summary report to the

4.3 A report providing details on the programs to be implemented in the first two years of the Interim Period (much of which will build on what is already being done by various donor agencies); and

4.4 A volume containing background reports of each cluster.

Annex 9: Terms of references PCNA secretariat:

Note: Draft TOR bases on the TOR Policy Specialist for the UNDG Working Group on Planning for Reconstruction Needs Assessments in Iraq.

1. Background information

The incumbent's main responsibilities will be to work closely with the PCNA coordinator(s) and the central focal points of the respective UN-agencies and working / technical groups involved (amongst UNDG Technical Group on Planning for Reconstruction Needs Assessments, the DGO Director, the focal points in the UNDP/UN-system and the World Bank). The country's PCNA for Reconstruction Needs Assessments in xxxx, which is developing a common framework for undertaking needs assessments in x sectors with a view to ensuring a coherent and integrated response to the country's post-conflict transition. Specifically S/He will focus on the modalities for organizing and prioritising the sequence coordinated needs assessments as a basis for developing an eventual integrated plan for the UN's role in the reconstruction of the country.

2. Supervision

Direct Supervisor: PCNA coordinator

3. Duties and Responsibilities

Expected main tasks are as follows:

- 3.1 Support to the Joint PCNA and acting as focal coordination support in this regard to the PCNA coordinator(s) and the central focal points of the respective UN-agencies and working groups involved (amongst UNDG Technical Group on Planning for Reconstruction Needs Assessments, the DGO Director, the focal points in the UNDP/UN-system and the World Bank).
 - 3.1.1 Contribute to executing the work of the core group of the PCNA coordination team
 - 3.1.2 Inter-agency liaison with all members of the UNDG and additional agencies participating in the PCNA.
 - 3.1.3 Ensure appropriate information exchange between the PCNA team and other organizations, and as instructed and appropriate, with Permanent Missions.
 - 3.1.4 Support PCNA mission team with workshop management and logistical requirements.
- 3.2 Preparation for the Preliminary Joint Needs Assessments for Reconstruction
 - 3.2.1 Collaborate with PCNA coordinator, conflict advisor and the various core group agencies to develop a common methodology for the Needs Assessments.
 - 3.2.2 Support the preparations for the Needs Assessment Missions (e.g. preparation of Briefing Materials for the PCNA Mission Members.)
 - 3.2.3 Act as the focal point for the Task Managers for the various Needs Assessment sectors.
 - 3.2.4 Support and coordinate the logistical preparations for the assessment missions.
 - 3.2.5 Establish and up-date of the PCNA web page with relevant information and documents.
 - 3.2.6 Layout and editing of the final PCNA report
 - 3.2.7 Data management
- 3.3 Acting as central focal point for information sharing on NAs, and post-NA follow up, including pledging information (amongst Agencies, Donors, Organizations, Country Offices, etc.)
- 3.4 Provide organizational support, for preparations for the planned conference on reconstruction.

- 3.5 Backstopping or alternate to Policy Specialist or Crisis Coordination Analyst on CPC Cluster issues, as requested.
- 3.6 Acting as focal point for gathering lessons learned afterwards of the respective PCNA.
- 3.7 Planning ahead for future PCNA's: following other post-conflict developments, attending meetings of other assessments (security and humanitarian)
- 3.8 Any other tasks as requested by the PCNA coordinator(S)

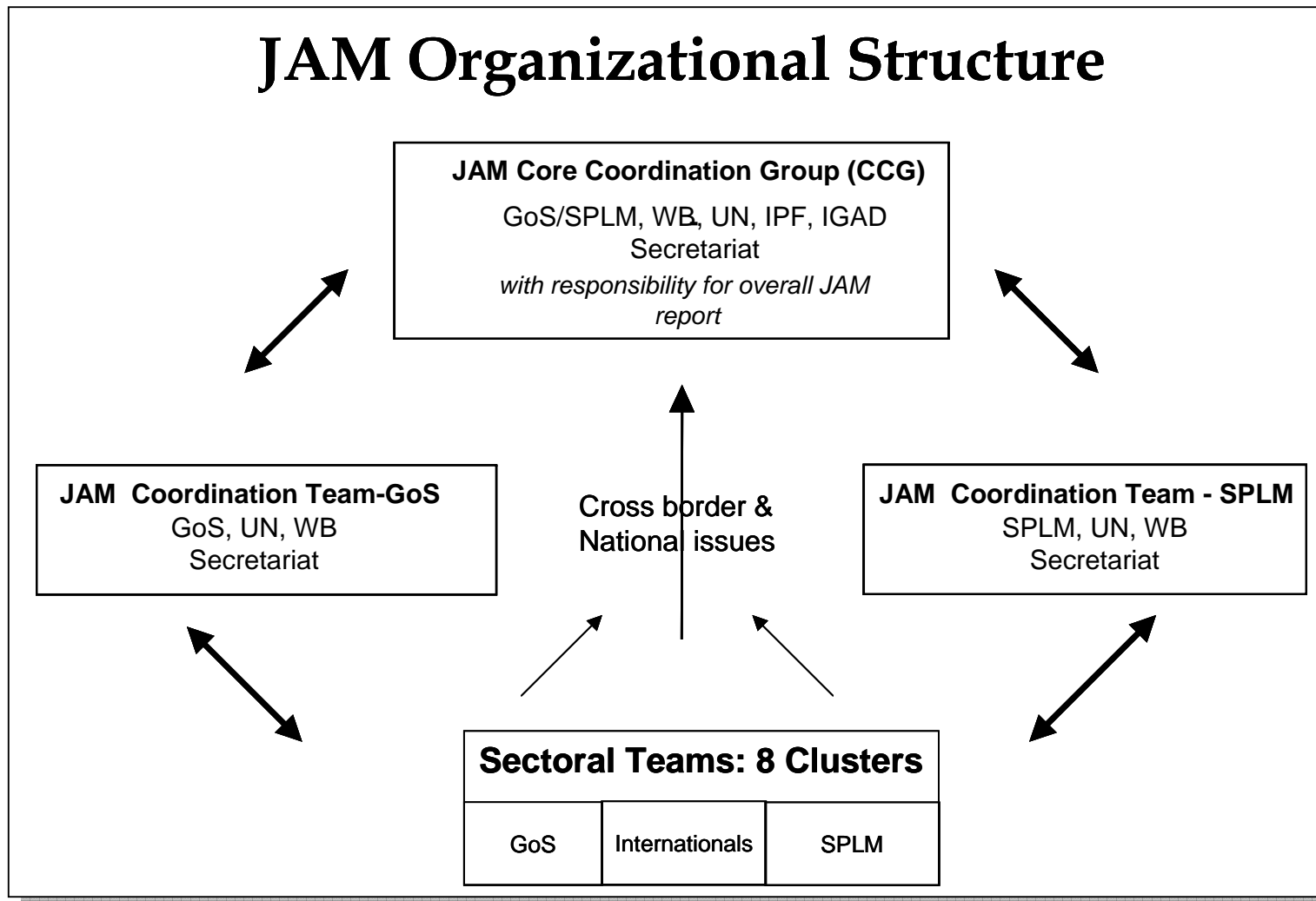
4. Qualifications and Experience

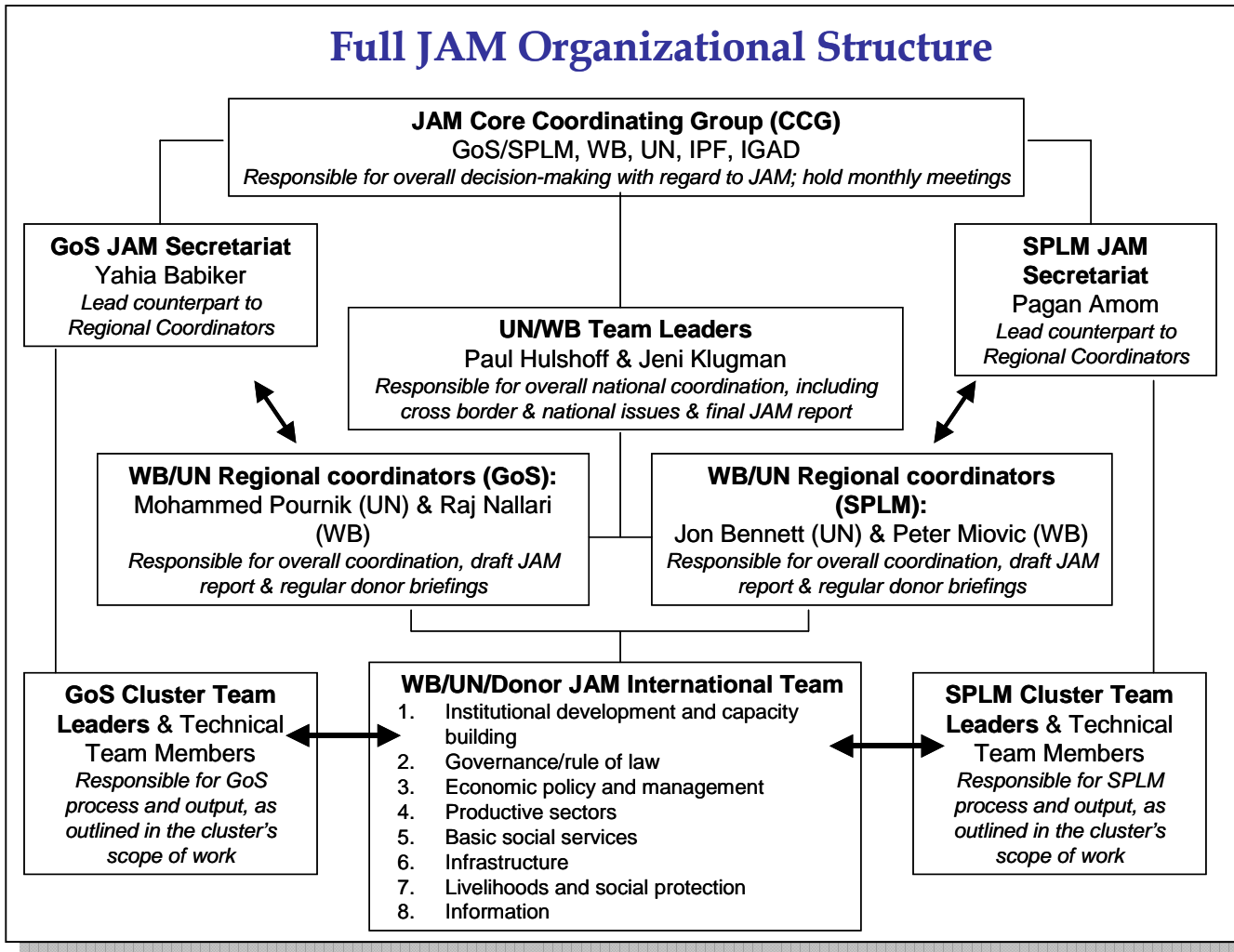
Masters Degree: Preferably in developments studies or international policy. One to two years relevant working experience with development and/or humanitarian issues.

Key competencies of the assignment: Knowledge of the UN System and UN CT work. Knowledge of CCA, UNDAF and CAP in Crisis and post-conflict countries would be an asset. Basic computer skills are necessary.

Language: Fluent in English. Working knowledge in French or Spanish would be desirable. Depending on the official language within the respective country, language knowledge is required.

Annex 10: PCNA organisation charts (Example from Sudan)





Annex 11: Terms of reference for conflict advisor

1. Introduction

Provides background to the peace process, the post-conflict situation and the PCNA.

2. Purpose of the PCNA

- Scope of PCNA (planning horizon)
- Geographical coverage
- Reference to overall recovery vision and peace and stability objectives

3. Management arrangements

Outline management arrangements of the PCNA

4. Main tasks

The conflict advisor contributes to the following elements of the PCNA:

- Prepares a briefing paper on the conflict and recommendations for the vision, process and substance of the PCNA based on conflict analysis
- Prepares and presents summaries on the conflict situation to various audiences, including the Core Co-ordination Group, the Donor Core Group, the Donor Liaison Group, the Technical Working Group, and the Inception Workshop of the PCNA mission
- Convenes meetings with cluster managers on conflict-sensitive sectoral analysis, conflict-sensitive institutional assessment, Do No Harm, and integrating security concerns into sectoral costing
- Conducts in-country work to further analyse the challenges to the peace process and inform the overall recovery strategy
- Reviews sectoral reports as to their integration of conflict concerns and integrates necessary changes
- Prepares and facilitates the consolidation workshop
- Prepares a synthesis report on the conflict and peace process to be included in the final PCNA report

5. Working contacts

In this work, the conflict advisor is expected to interact inter alia with the following parties: principal/essential contact to be defined by the PCNA secretariat. Suggestions:

- ❖ Joint Steering Committee by conflict parties for Post-Conflict Needs Assessment
 - District Committees (where applicable)
- ❖ Government
 - Ministry of Finance
 - Ministry of Planning
 - Cross-cutting ministries
 - Security forces

- ❖ Rebel/oppositional organisation
 - Peace secretariat
 - Cross-cutting sub-committees
 - Military wing
- ❖ Local administrative structures
 - District governors
 - Municipal administration
 - Security forces
 - Service delivery organisations
- ❖ Other communities with stake in the conflict (e.g. ethnic, religious, social)
 - Representatives
- ❖ Civil society
 - Research institutes
 - Advocacy groups
 - Membership organisations
- ❖ Bilateral donors
- ❖ International organisations

6. Outputs

The conflict advisor produces a briefing paper on the conflict following the outline provided in appendix y.

The conflict advisor revises, updates and shortens the briefing paper to be included in the final PCNA report.

In addition, the conflict advisor reviews and amends sector papers according to conflict-sensitive criteria.

Annex 12: Tools for conflict and peace process analysis

The person who conducts the PCNA conflict and peace process analysis should be a conflict specialist. The following instruments can be seen as a sample of tools applicable for conflict analysis.

1. Conflict actors

Conflict actors are those individuals or organisations engaged in or affected by conflict. Some of them may prefer continuing the violence, while others may work towards peace. As their interests, relationships and actions determine the dynamics of the peace process and chances of post-conflict recovery, PCNA needs to involve these actors or at least take account of their perspectives.

While being inclusive of all conflict actors is important, it is also necessary to understand their interests towards the conflict and the needs assessment itself and assess their influence and networks.

First, the main conflict actors and their respective interests are identified. Thereby, it often becomes apparent that there is no clear-cut distinction between pro-conflict and pro-peace actors, but that interests are complex.

Tab. 1: Conflict actors and interests

	Conflict actor	Interests
International		
Regional		
National		
Local		

Relevant conflict actors to consider include: multilateral organisations, bilateral donors, transnational corporations, neighbouring governments, national and local political leaders, rebel leaders, conflict mediators, security forces, criminal organisations and networks, trade unions, religious networks, media, civil society groups, international and national NGOs, refugee and displaced communities, community leaders, the poor, women.

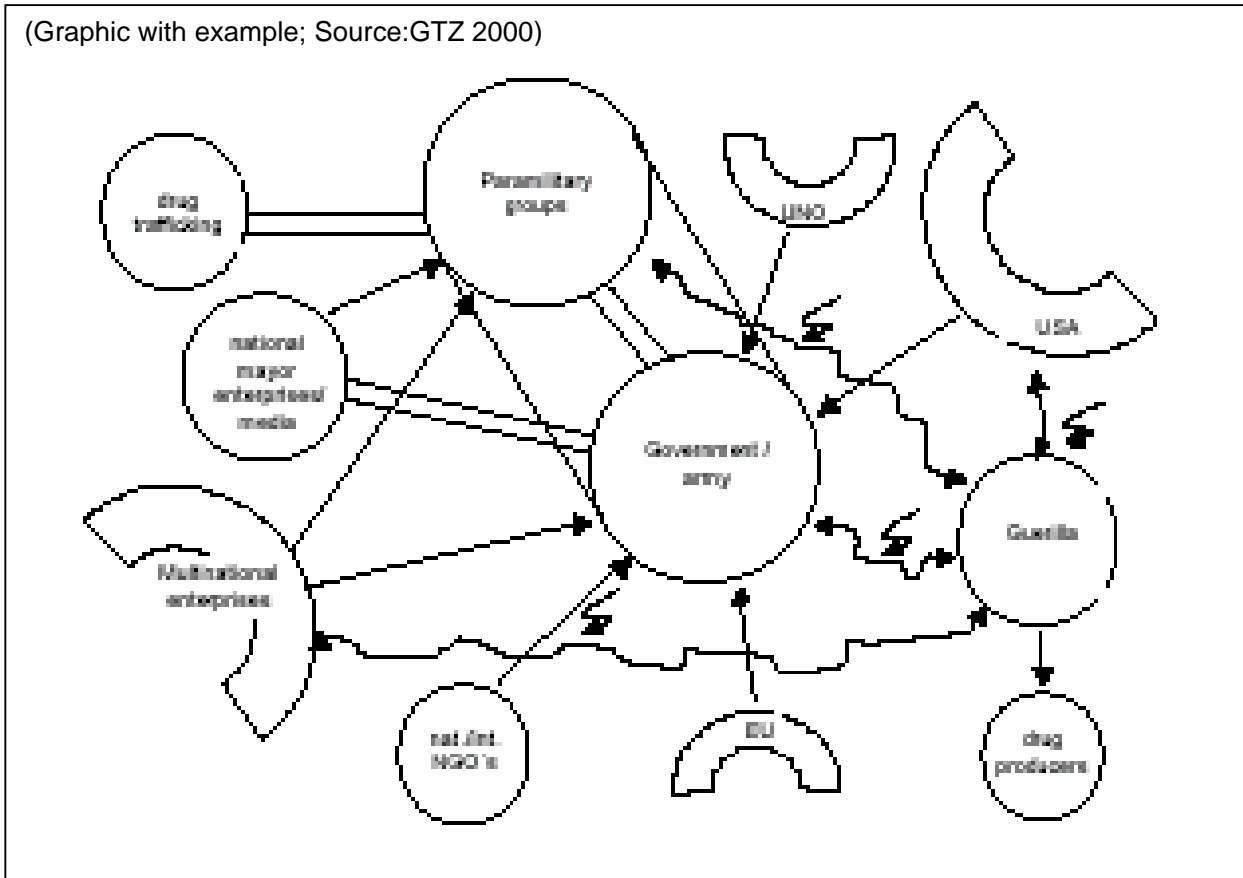
To assess the interests of conflict actors, one may ask:

- What interests do they have in relation to the conflict and the ongoing peace process?
- What kind of peace do they want?
- What kind of incentives/disincentives could disengage them from violence?
- How are they affected by the conflict?

The relations and conflict issues between the actors can then be mapped. Thereby, it is helpful to start arranging the picture around key actors and issues to consider.

Fig. 1: Mapping of conflict actors

(Graphic with example; Source:GTZ 2000)



Some suggestions for conflict mapping:

- Place key actors and conflict issues in the center. Show how other actors are involved in these issues. Do not attempt to be comprehensive.
- Use a circle for each conflict actor. The size of the circle represents the actor's relative power.
- Cluster actors according to existing alliances. Single lines represent a (positive) relationship, double lines an alliance.
- Zigzag lines between actors represent conflict, a line with a flash a broken relationship. Here, one can insert a box with the key conflict issue characterising the relationship.

2. Conflict and peace factors

The term “conflict and peace factors” denotes four sets of factors, which affect the sustainability of a peace process. They include:

- a. *Root causes of the former conflict.* These are the long-term, structural root causes, which had been at the origin of the conflict. Typical root causes are competition over land or resources, growing inequality between people or communities, a weak or failing state, an unaccountable security sector, identity politics or historical legacies such as colonialism.
- b. *Destabilising factors generated by the conflict.* Violent conflicts deeply transform the states, economies and societies within which they take place. In wartime, democratic institutions often lose influence, the military may gain an unprecedented political role, the illegal war economy creates vested interests in instability, while a culture of violence and

revenge takes root among communities. Once they have been established, these new structures prove to be extremely resilient and may become an obstacle to the peace process.

- c. *Risks related to the peace process*:: The peace process itself can become a new source of conflict, when some actors feel to be missing out while others make undue gains from it. Failed attempts at confidence-building may reinforce existing prejudices and preclude future dialogue. On the other hand, there may be opportunities and capacities for peace building such as a change in government or strong business interest in peace.
- d. *Conflict reducing factors*: This category captures those capacities, institutions and processes at all levels, which play a demonstrable positive role within the peace process.

Post-conflict assistance needs to be sensitive to these factors, address key obstacles to and promote capacities for peace.

Mapping conflict factors

In this step, conflict factors are organised into four categories – security, political, economic and social – and levels – international, regional, national and local. This can help bring out the external dimensions of apparently internal problems. It also gives an idea of the scale of certain problems and how far they can be affected by external aid.

The following table can be simplified by distinguishing between internal and external factors only. Alternatively, the last row(s) can also be used to describe the conflict situation in a particular region of the country. This is useful when there are marked regional differences in conflict

Tab. 2: Matrix of conflict and peace factors

	Security	Political	Economic	Social
International				
Regional				
National				
Local (<i>please specify geographical region</i>)				

Examples of conflict factors include:

- *Security*: peace-keeping forces, incursions from neighbour states, role of national military/rebel forces, human rights abuses, local violence
- *Political*: superpower interests, interests of regional neighbours, weak state, bad governance, local elite politics
- *Economic*: impact of global trade, interests in raw materials, political links to illegal economy, youth unemployment
- *Social*: role of diaspora, international religious or ethnic networks, intercommunal tensions, minority issues, migration, displaced people, status of women.

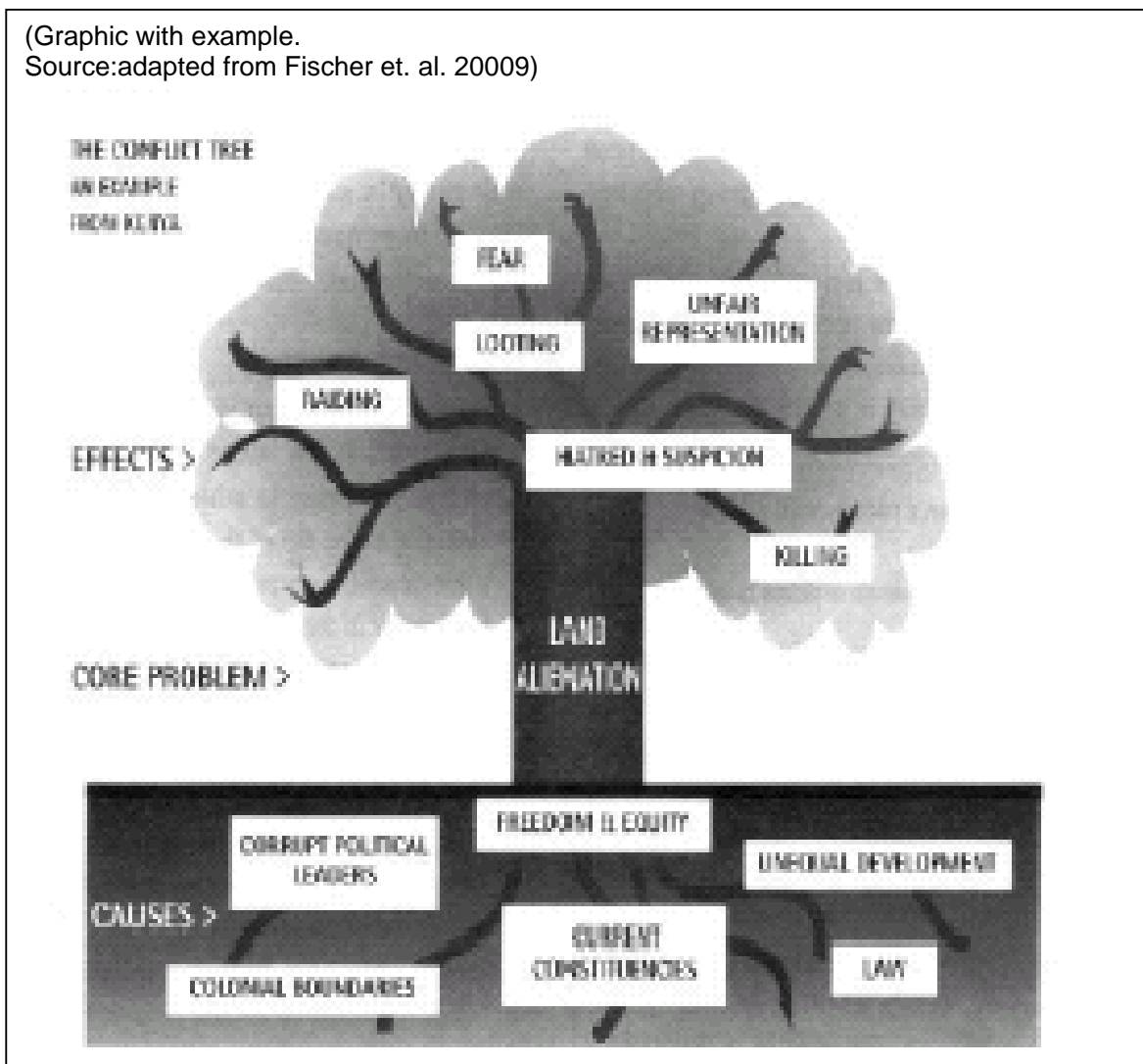
Prioritising conflict and peace factors

When filling in the matrix, it often happens that certain factors appear in several boxes. Governance issues, for example, may have repercussions in security, economic and social areas and at different levels. Similarly, a high dependency on natural resource exports may

create problems in other areas. A small number of such key issues proving as particularly “productive” are now taken up and analysed separately.

Fig. 2: Conflict tree

(Graphic with example.
Source: adapted from Fischer et. al. 2009)



Suggestions for working with the conflict tree:

- Place the key problem at the centre and draw its “roots” and consequences (as “branches”).
- The key problem itself may be an interaction between two or three factors.
- Identify roots and consequences that can be influenced by international assistance.

When there is enough time, it can be very illuminating to draw several conflict trees representing the perspectives of different conflict actors. This can highlight differences, but also common areas of concern.

The conflict tree shall help developing a list of key conflict factors, which should be addressed by recovery assistance.

Relating sectoral PCNA priorities to conflict and peace factors

The previous step has shown that key conflict factors have repercussions in a range of areas. Similarly, they require multi-dimensional approaches to address them. This step identifies those sectors involved in the central causes of conflict.

Tab. 3: Relation of PCNA sectors to conflict and peace factors

PCNA sector (examples)	Conflict factor 1 (e.g. natural resource conflict)	Conflict factor 2 (e.g. minority tensions)	Conflict factor 3 (e.g. spread in organised crime)
Governance			
Security			
Economic policy and management			
Private sector			
Rural development			
Basic social services			
Infrastructure			
Livelihoods			

Working the columns of this matrix, use the problem tree to identify those sectors related to the conflict factor and make a brief note of how the link works.

Reading the rows of the Table 3 from the left to the right, one receives a list of priority issues to consider within the sectoral assessments.

Example: Sectors involved in a water conflict

In country x, one of the factors propelling local violence is the long-standing conflict between Muslim trader-landowners and animist smallholders over access to irrigation water. At the heart of the problem lies an objective lack of water (*infrastructure*) given the strong population growth among the animists (*health/family planning*) and the increased needs of the Muslim traders, who are gradually expanding their gardens dedicated to vegetable production (*agriculture*) for export to Europe (*trade*). In addition, smallholders accuse the landowners of unduly controlling the Irrigation Board (*governance*). Both groups then began to define the conflict in religious terms (*religion/education*).

Sample matrix: Sectors involved in a water conflict

PCNA sector	Water conflict
Governance	Mismanagement of Irrigation Boards, corruption
Security	Conflict leads to local violence
Economic policy and management	Terms of trade for agricultural exports
Rural development	Unsustainable pressure of cash crop production on natural resources
Basic social services	High population growth among the poor, lack of access to health services Animists disadvantaged in national education system
Infrastructure	Limited availability of irrigation water

The matrix provides a list of conflict-related priorities to consider in sectoral needs assessments.

Annex 13: Outline of briefing paper on conflict situation

Author: Conflict specialist

Length: max. 20 pages

0. EXECUTIVE SUMMARY

- What are the key messages coming out of the conflict analysis, which those involved in preparing and conducting the needs assessment need to focus the recovery strategy on? (Try to keep the messages as specific as possible)

I. INTRODUCTION

Purpose of the present conflict analysis

- How shall it contribute to the overall needs assessment?

Methodology

- Who carried out the analysis?
- When was it carried out?
- What material/documentation was used? Who was consulted?
- Any specific issues, e.g. regarding data quality, objectivity/impartiality, methods

II. BACKGROUND AND HISTORY OF THE CONFLICT

Background

- Specific geographical, historical, political, economic or social characteristics of the country with relevance to the conflict
- Regional dimension of the conflict

Historical overview

- Origin, development and key events of the conflict
- Overview of current peace process

III. FACTORS CONTRIBUTING TO PEACE AND CONFLICT

Describe the key factors that endanger the peace process and contribute to a recurrence of violence. Thereby, you may want to think about

- the root causes of the former conflict, which the new system is inheriting;
- destabilising factors generated by the past conflict;
- conflict risks related to the peace process.

Furthermore, describe those factors which contribute to a reduction in conflict and stabilise the country's situation.

Use the following matrix to organise the factors, then describe each of them briefly. Thereby, try to focus on the interlinkages between these factors.

Tab.1: Factors contributing to peace and conflict (with examples)

	Security	Political	Economic	Social
Root causes of the former conflict	Role of military Human rights situation	Bad governance Discriminatory legislation	Unequal land distribution High dependency on natural resource exports	Social exclusion Ethnic or religious prejudice
Destabilising factors generated by the conflict	Emergence of regional warlords	Loss of territorial control by the central state	Illicit trafficking War economy	Internal displacement Child soldiers Culture of violence
Risks related to the peace process	Discontent of military leaders with the proposed army reform Challenge of demobilisation	Minority groups do not feel represented in the peace process Regional leaders reject power sharing proposals	Strong interests by rebel leaders in continuing instability	Ongoing mistrust and desire for revenge Increasing criminal violence
Conflict reducing factors	Early disarmament of rebel groups	Joint institutions by conflict parties Deepening mutual confidence	Return of qualified exiles Moderate expansion of local economic activities due to improved security	Civil society peace initiatives "War fatigue"

IV. ACTORS AND IMPLEMENTING CAPACITIES

Conflict and peace actors

Identify the main actors involved in the conflict and describe their interests, capacities, and relations.

Go beyond the main military parties to include other affected groups. It may be helpful to differentiate between security (military, armed), political, economic and social actors.

Assess their role in the peace process and possible contribution to post-conflict recovery.

National capacities for guiding and implementing post-conflict recovery programmes

Assess national political and implementing capacities for post-conflict recovery

Determine whether the country should be regarded as Type A or B given its national institutional capacities.

V. SECURITY ISSUES WITH RELEVANCE TO THE NEEDS ASSESSMENT

Describe and map the current security situation

Assess the implications of the security situation on the proposed needs assessment mission:

- Mobility of assessment team
- Access to data
- Access to stakeholders and local population
- Possibility of workshops with high-ranking or a large number of participants

Assess the impact of insecurity on proposed recovery programmes:

- Accessible regions for early implementation
- Security risks to substantial investments
- Approximate costs of providing security to operational teams
- Impact of insecurity on local and international salary levels

VI. TRENDS AND SCENARIOS

Assess current progress in the peace process

Develop two likely conflict and peace scenarios for the country. Describe the characteristics of each scenario and broadly outline their programming implications in the short-term, mid-term and long-term.

Example:

Programming implications	Positive scenario	Negative scenario
	Characteristics of the scenario <ul style="list-style-type: none"> ▪ A ▪ B ▪ C 	Characteristics of the scenario <ul style="list-style-type: none"> ▪ A ▪ B ▪ C
Short-term		
Mid-term		
Long-term		

VII. RECOMMENDATIONS

Basing on the above analysis, prepare recommendations for

Identifying and selecting PCNA stakeholders

- Who should be involved in the PCNA process? (conflict parties, other stakeholders)
- What kind of contribution to the PCNA is appropriate and feasible for each group?
- What interests and positions towards the PCNA can be expected?
- What should be considered when preparing consultation/validation events (e.g. hierarchy or mistrust between certain groups)

Designing the PCNA process

- Assessment of national institutional capacities and implications for national ownership and planning horizon (Type A/B approach)
- Timing of PCNA consultations and negotiations: to integrate with the peace process (e.g. rounds of negotiation)

Selecting priority sectors and cross-cutting issues for post-conflict recovery

- What sectors/areas should be included in the needs assessment because they address key factors contributing to conflict or allow to strengthen positive factors? What sectors should be prioritised from a conflict perspective?
- What issues/areas with relevance to post-conflict recovery are still under negotiation by the conflict parties? How should they be dealt with?
- What issues are of overall importance to post-conflict recovery and should be dealt with as cross-cutting issues in each sectoral assessment?

Issues for sectoral needs assessments

- What conflict-related issues should be considered in each sectoral needs assessment?
- If necessary for key sectors: What specific issues should be examined within these sectors?
- Specific issues emerging from conflict analysis relating to the selection and assessment of potential implementing parties (e.g. political affiliation of certain institutions)

Timing and sequencing post-conflict recovery assistance

- Outline a realistic timeframe for post-conflict stabilisation, transformation and consolidation phases according to dynamics of peace process and national institutional capacities (Type A/B)
- Propose an appropriate sequencing of post-conflict recovery measures (“road map”)

Annex 14: Terms of reference for cluster teams

1. Introduction

Provides background to the peace process, the post-conflict situation and the PCNA.

2. Purpose of the PCNA

Scope of PCNA (planning horizon)

Geographical coverage

Reference to overall recovery vision and peace and stability objectives

3. Management arrangements

Outline management arrangements of the PCNA

4. Main tasks

The cluster team shall contribute to the following elements of the PCNA:

- *Substance to be defined for each cluster and sector by the PCNA secretariat*

5. Working contacts

In this work, the cluster team is expected to interact inter alia with the following parties: *principal/essential contact to be defined by the PCNA secretariat. Suggestions:*

- ❖ Joint Steering Committee by conflict parties for Post-Conflict Needs Assessment
 - District Committees (where applicable)
- ❖ Government
 - Ministry of Finance
 - Ministry of Planning
 - Sectoral ministries
- ❖ Rebel/oppositional organisation
 - Peace secretariat
 - Sectoral sub-committees
- ❖ Local administrative structures
 - District governors
 - Municipal administration
 - Service delivery organisations
- ❖ Other communities with stake in the conflict (e.g. ethnic, religious, social)
 - Representatives
- ❖ Civil society
 - Research institutes
 - Advocacy groups

- Membership organisations
- ❖ Bilateral donors
- ❖ International organisations

6. Process

1. The cluster team will assess the pertinence of the available documentation for its work, review findings with the PCNA secretariat, and reach an understanding on what needs to be done in order to achieve the outputs (below). Within three days, the cluster team will submit a workplan, for endorsement by the PCNA secretariat.
2. The cluster team will complete the necessary desk work, field work and initial drafting by xxx. During this period, the cluster team members shall also participate in meetings as requested by the PCNA secretariat including the inception workshop.
3. The cluster team's output shall be finalised by xxx. This will include in-house discussions and stakeholder validation processes.
4. From xxx to xxx, the cluster team manager shall assist the PCNA secretariat in consolidating the overall PCNA and preparing the PCNA synthesis report. This includes participating in the consolidation workshop.

7. Outputs

Each cluster report, to be produced in full cooperation with national counterparts, is to include the following items:

- Detailed overview of current situation of the cluster & key statistics.
- Outline of key policy issues and reconstruction and rehabilitation priorities to be addressed until the end of the transition period
- Outline of sector recovery and longer term development strategy
- Two-year Results Based Framework for priority recovery and development programmes
- Assessment of current institutional, implementation and absorption capacity.
- Institutional arrangements, policy, and governance issues
- External financial assistance requirements

7.1 Assessment of current situation

- Review existing secondary sources of data
- Fill critical data gaps through onsite data gathering, including the use of participatory methods
- Identify areas where baseline information has to be validated/updated and offer options (through consultation with key stakeholders)
- Assess areas of greatest need through field visits

7.2 Policy issues and sector priorities

- Provide measurable targets for sectors, based whenever possible on Millennium Development Goal (MDG) targets.

- Develop vision for sectors in year 200x, incorporating needed improvements and the roles of different actors in the sector
- Outline mechanisms for broad consultations regarding sector development, including promoting popular participation in decisions affecting service delivery
- Where applicable, provide indication of how progress in sector may address root and proximate causes of conflict and strengthen the peacebuilding process.

7.3 Outline of sector recovery and longer term development strategy

Develop detailed sector strategy both for the short-term and mid-term period, including an outline of the sector achievements and status by 20xx.

- Identify key sector priorities for the remaining four years of the interim period
- Describe and prioritise detailed development activities for the remaining four years of the interim period
- Describe further required sector data collection work to facilitate medium and longer term planning

4. Results Based Planning Framework for priority reconstruction and development programs in the first x years

Develop a detailed transition Results Based Framework (RBPF) for the first x years, consisting of the following items;

- Key sector priorities to be addressed during the x-year transition period
- “Quick impact” rehabilitation and recovery activities
- Immediate institution and capacity building interventions
- Concrete outcomes and deliverables to be realised by the end of the 1-year and 2-year period
- Six-month progress benchmarks towards identified outcomes
- Provide summary outline of alternative options for sequencing of programmes and service delivery, highlighting respective advantages and disadvantages

7.5 Assessment of institutional, implementation and absorption capacity;

- Identify the capacity of the sectors to expand activity, with clear indications of the respective roles of authorities, private sector, civil society organizations, international partners, and other actors in sector
- Identify key priorities for strengthening institutional management and implementation capacity, both at national and local levels, including institution systems, infrastructure, equipment and human resources (where applicable, outline division of service provision between national and international agencies, and plan and timeframe for transfer of authority to national institutions)
- Assess current strengths and weaknesses of non-government implementation actors, including identification of entry-points for capacity building
- Assess the sector financial absorptive capacity for the x year and y year period

7.6 Institutional arrangements, policy, and governance issues

- Outline sector specific institutional arrangements and governance mechanisms, including role of public, private, and civil society actors, to be established and/or reformed in sector;
- Outline public administration structures and functions, including where applicable local, regional, and national level competencies. Include an outline workplan to reach decisions on institutional issues outstanding;
- Outline systemic policy issues affecting sector, discuss and prioritize feasible reforms, and describe data or technical assistance required to make decisions;
- Outline legislation which may be required to implement policies and associated technical assistance;
- Indicate personnel needs; structure of personnel; specialised sectoral skills, recruitment and incentives issues
- Validate, refine and finalise proposals for institutional and implementation capacity enhancement

7.7 Costings and Budget

- Develop detailed costing for the identified RBPF outcomes, including capital, recurrent, and total costs
- Develop indicative costing for the identified development activities during the remaining four years of the interim period, including capital, recurrent, and total costs
- Ensure that budgets include costs of information collection and ongoing sectoral monitoring and future recurrent liabilities resulting from proposed new capital investments for reconstruction
- Where possible, identify issues requiring decision on local, regional, or national level budget execution
- Outline possible sources and scale of cost recovery

Annex 15: Terms of reference for cross-cutting advisors

1. Introduction

Provides background to the peace process, the post-conflict situation and the PCNA.

2. Purpose of the PCNA

Scope of PCNA (planning horizon)

Geographical coverage

Reference to overall recovery vision and peace and stability objectives

3. Management arrangements

Outline management arrangements of the PCNA

4. Main tasks

The cross-cutting advisor contributes to the following elements of the PCNA:

- Provide a sector-by-sector checklist of cross-cutting concerns to cluster managers and present key cross-cutting issues at inception workshop
- Convene cross-cutting meetings with concerned cluster managers to discuss integration of cross-cutting concerns into sectoral assessments
- Review sectoral reports as to their integration of cross-cutting concerns and integrate necessary changes
- Participate in consolidation workshop
- Prepare a general assessment of the status of the cross-cutting issue, its contribution to overall recovery objectives, and external assistance needs

5. Working contacts

In this work, the cross-cutting advisor is expected to interact inter alia with the following parties: *principal/essential contact to be defined by the PCNA secretariat. Suggestions:*

- ❖ *Joint Steering Committee by conflict parties for Post-Conflict Needs Assessment*
 - District Committees (where applicable)
- ❖ *Government*
 - Ministry of Finance
 - Ministry of Planning
 - Cross-cutting ministries
- ❖ *Rebel/oppositional organisation*
 - Peace secretariat
 - Cross-cutting sub-committees
- ❖ *Local administrative structures*
 - District governors
 - Municipal administration

- Service delivery organisations
- ❖ *Other communities with stake in the conflict (e.g. ethnic, religious, social)*
 - Representatives
- ❖ *Civil society*
 - Research institutes
 - Advocacy groups
 - Membership organisations
- ❖ *Bilateral donors*
- ❖ *International organisations*

6. Outputs

The cross-cutting advisor produces a summary report on cross-cutting concerns to be incorporated in the PCNA document including:

- Detailed overview of current situation of the cross-cutting issue and key statistics
- Outline of key policy issues and recovery priorities relating to cross-cutting issue
- Assessment of current policy framework and institutional capacity
- External financial assistance requirements

In addition, the cross-cutting advisor reviews and amends sector papers against the checklist of cross-cutting needs.

Annex 16: Do No Harm checklist for proposed sectoral recovery strategy

Purpose of the checklist

Post-conflict recovery assistance shall not lead to further conflict, but individual measures may have negative consequences, which are unintended and difficult to foresee. The following checklist shall help sector teams in screening proposed activities against Do No Harm criteria.

Questions

- Have measures been selected on the basis of transparent criteria?
- Does the measure reduce or deepen differences between groups (e.g. social differences, structural differences between regions, conflict zones, border zones)?
- Is the measure inclusive or does it offer benefits to individual groups (e.g. IDPs, ex-combatants)?
- Does the measure provide support to vulnerable groups (e.g. women, children)?
- Does the measure promote sustainable institutions, participatory processes and good governance?
- Does the measure include provisions for strengthening mechanisms for peaceful conflict resolution?
- Does the measure contribute to reducing conflict potentials (e.g. conflict over natural resources, discriminatory policies)?
- Does the measure strengthen or reduce political and economic interests in a continuation of violent conflict?
- Does the measure address the war economy and related structures?
- Does the measure strengthen or undermine local capacities? Does it create new forms of dependence on international assistance?

Annex 17: Checklist for conflict-sensitive institutional capacity assessment

Purpose of the checklist

Capacity-building is critical for restoring a country's ability to recover from conflict and build the foundations for peaceful development. There is, however, a high risk of supporting institutions, which have been part of the problems leading to conflict or played an active role in violence. In such cases, there are two main options for the international community:

- Abstain from any collaboration with the respective institution
- Engage in (limited) collaboration under the conditions of a strict reform agenda

The following questions shall help assess the capacities and political role of potential counterpart institutions.

Questions

- What has been the organisation's role in armed conflict, insecurity and violence?
- Are there linkages between the organisation and key conflict actors?
- Is the organisation committed to and actively promotes the peace process?
- Is the organisation committed to respecting human rights and contributes to realising them in all sections of society?
- Does the organisation have clear statutes and regulations?
- Does the organisation have realistic work plans?
- How effective are accounting and financial management systems? Are they transparent?
- Does the organisation have the human and technical capacity to deliver basic services and fulfil its mandate?
- In what regions of the country is the organisation present?
- Does the organisation provide its services equitably to all sections of the population? Are there biases?

Annex 18: Outline of the concept note

Note: *The content of the concept note is described in parts as questions and in parts it is taken from the Liberian needs assessment example concept note.*

UN /WB JOINT POST-CONFLICT NEEDS ASSESSMENT MISSION FOR RECOVERY

Country xx

Date xy

Concept Note – Version z

1. Introduction

Central Questions:

- What was the initiative towards the PCNA?
- What has been the major steps until now?
- Who has been participating in the writing of the Concept Note?
- What is the purpose of this paper?

2. Background

Central Question:

- What is the current socio-political, economic, security and humanitarian situation of the country like?
- What are the results of the conflict analysis and which issues has to be addressed with regard to the insecurity and instability factors accordingly.

3. UN System Engagement / Mandat

Central Questions:

- Is there a resolution of the Security Council or other UN institutions? Who / which International Organisation / Donor initiated the PCNA?
- Who/ which International Organisation is mandated to carry out the PCNA?
- Who is responsible for the overall coordination?
- Who is responsible for the day-to-day coordination of the exercise within the country in conjunction with the HQ of the International Organisations?

4. Purpose & Objectives

The primary purpose of the needs assessments is to provide representatives at the Reconstruction Conference and other stakeholders with a multi-sectorial, technical overview of the main rehabilitation and reconstruction needs and priorities to be addressed for peace building and recovery in [country x]. It's purpose is not to "projectize" the assessed needs, i.e. directly translate identified needs and priorities into concrete projects and programmes. Within this context, the objectives of the needs assessments are to:

- Serve as the framework for a mutually agreed transition and peace building strategy for [country x];

- Identify benchmarks, outcomes and desired results that must receive the most urgent attention as immediate efforts are made to repair [country's x] social, infrastructural, institutional and economic systems; and
- Inform and guide the decision-making process within the donor community with regard to commitments and pledges at the donor Reconstruction Conference

5. Scope and Timing of the Assessments

Central Questions:

- budgetary requirements (capital and recurrent) for the first immediate recovery period, focus on the 2004 priority needs and funding requirements (medium, longer term period)
- taking into account key challenges of the country
- timeframe for key dates like field phase, sector reports, consultation workshop, donor conference

The scope of the needs assessments will extend to:

- the identification of geographical focus
- the identification of priority needs and funding requirements for the [first period] ¹;
- the development of a transition strategy for the first period, including key considerations for sustainable longer term development beyond the [first period]; and
- the identification of concrete [first period] outcomes and progress benchmarks

The Assessments, in the process of quantifying the priority needs for [first period], will have to give due attention to:

- the establishment of the necessary policy and regulatory framework;
- the redevelopment of critical institutions inside and outside government;
- the reconstruction or expansion of essential social infrastructure and services;
- progress towards MDG's
- the protection of the vulnerable during the transition phase;
- the immediate creation of employment opportunities;
- and the linkages with humanitarian needs that exist during and beyond the transition period.

Cluster Coordinators in their cluster strategy will also need to consider to which extend the identified priorities actively contribute to the peace process and address root causes of conflict and avoid a potential relapse into renewed conflict. This would include for example taking account of regional imbalances in access to basic needs, public services and productive assets, in security and living conditions, the capacities of different development systems and institutions and any past biases in resource allocation.

A strong emphasis will be put on identifying those priorities that build national capacities and reduce the need for international support by the end of the interim period.

Furthermore, it should be noted that the start of the recovery phase is not marked by the end result of the needs assessment exercise. Rather, various stakeholders are already undertaking urgent repair and rehabilitation work which are to continue throughout the period leading up to the Reconstruction Conference. Therefore, the assessment teams should be informed by the most immediate priorities that are now being addressed – and the challenges faced in addressing them.

Lastly, the scope of the needs assessment is in the end largely dependent on the exact transition / recovery objective and which desired levels of impact resulting from the [first period] recovery activities are envisaged/expected by the key stakeholders in each specific

¹ 12-24 months or according to the period of the interim government.

area. This is at present still being worked on by the individual Cluster managers and Sector Focal Points. On [date] the Needs Assessment Co-ordination team will meet with the UNCT, Cluster Managers and Sector Focal Points to agree the kinds of development outcomes that should form the basis for the Needs Assessment strategies and funding scenarios during [first period].

6. Outcomes and Benchmarks: the Results-based Planning Framework (RBPF)

Early work by the UN country team between [date] implies that in the NA process a strong emphasis must be placed on priority outcomes – i.e. results – to be achieved during [first period] of the recovery process, both as a follow-on to the ongoing humanitarian assistance effort as well as an immediate underpinning of the Comprehensive Peace Agreement.

To this end, a Results-based Planning Framework (RBPF) will be developed, in addition to the individual needs assessment reports. The RBPF will consist of the following four items:

- key priorities to be addressed during the first x month period;
- costing of these priorities;
- expected results to be achieved by addressing these priorities (according to the set time frame);
- identification of benchmarks to measure progress made towards achieving these results (3 or 6-monthly);

The key priorities in the RBPF, including their costing, will be derived from the priorities as identified during the NA exercise and hence address the same issues. The only difference will be the scope of the priorities, the latter being of a broader nature in the NA's than in the RBPF. It is intended that the Needs Assessment will provide most of the content, and yield some of the information on outcomes, key processes, desired inputs, and possible indicators of achievement. Milestones which indicate that processes are being taken forward could be used as proxies for results.

In terms of benchmarks, Cluster Coordinators are asked to take account of any [regional organisation] -specific development targets, and to consider ways in which consistency can be built across all the different clusters (and sub-sectors).

7. Clusters and Priority Issues

According to the results of step 12, 16 and 17.

8. The Cluster of Crosscutting Themes

In addition to the clusters, the crosscutting themes and the responsible agencies have been identified (see results of step 6 and 8):

Cluster Coordinators will be responsible for ensuring that the crosscutting themes are adequately addressed in the needs assessments. If there is a need for an expert on any of the crosscutting themes, Cluster Coordinators are encouraged to draw upon expertise available within the country as the first recourse. To guide the work of the Cluster Coordinators and the Sector managers, guidance checklists will be prepared by the focal agencies for each theme. In addition, it is expected that substantive input, development of the methodological approach and participation will be provided by the designated lead agencies for the cross cutting themes.

9. Handling Financial Information

First, it is important to understand that the needs assessment process is not a budget preparation exercise. The sub-sectors identified in the matrix of clusters cannot always be aligned with individual Ministries – and they may cut across conventional sector boundaries. At this time, the financial needs that will be spelt out in cluster reports should not be seen as a budget requirement for a particular Ministry. But the needs assessments are expected to provide essential information for the overall budget planning process, particularly on 1. developing estimates for the minimum size of the national and local civil service to pursue minimum standards of public service delivery, and 2. developing estimates for recurrent costs – both for re-activating, repairing and running the minimum level of services that were operating before the onset of the present crisis, and for meeting incremental costs resulting from new investments of capital funds. Cluster Coordinators are asked to ensure that all within their clusters quantify *in monetary terms*: a) all necessary capital costs (including technical assistance) in their respective clusters, b) all non-staff incremental recurrent costs (incremental defined as directly resulting from the capital expenditure in (a) above) and c) numbers of additional public sector staffing required to sustain the capital investments proposed over the longer term. This information will serve as a key input to the WB/IMF needs assessment team, in determining next steps in the budgeting process.

As discussed in paragraph 3, to the extent possible, the costing of the identified priorities and results in the RFTF will be directly derived from the Cluster report financial tables. Separate templates will be shared with the Cluster Coordinators for discussion and agreement on December 4th. At this meeting we will also finalize an agreement on how to handle the issues related to absorptive capacity.

The assessments at this stage are not to include any revenues in their calculations of financial needs. However, relevant aspects of the issues being addressed within their clusters that are likely to be associated with revenues should be identified, and shared with the WB/IMF team early in December.

We anticipate the early in December the teams from the IMF and World Bank will meet with Cluster coordinators to explore linkages between sectors (and clusters) that relate to possible provisions for a social safety net.

We will seek to arrange meetings of Cluster Coordinators and Sector Focal Points with members of the IMF and World Bank teams during early December to examine critical macro-economic assumptions (such as population, GDP, labor force, unemployment), as well as the politically feasible range of financial needs for 2004-2005. These will form the basis of early work on financial needs being identified for each cluster during 2004-2005 and to ensure the application of consistent methodologies across all clusters. Our goal will be to achieve a common understanding and agreement amongst all Cluster Coordinators as early as possible in the process.

10. Absorptive Capacity

The timeframe and circumstances of implementation are more difficult to estimate than are the physical reconstruction needs. Nevertheless, it is critical that an assessment of the existing and foreseen absorption capacity is fully integrated in each individual cluster and sub-sector assessment, in quantitative terms where possible and in qualitative terms where not. This would include specific recommendations for enhancement of existing capacities, institutional or otherwise, so as to fully realize the identified outcomes and results for 2004-2005.

Among the many considerations that have to be taken into account in programming and implementing the identified investment projects and activities, the following are perhaps most prominent:

- Security and the ability of international and local staff and consultants to move freely to design, implement, and monitor projects;
- Availability of equipment and inputs in local and international markets for construction and other investments, and whether required inputs are available “off-the-shelf” or require assembly;
- Capacity of Liberian public institutions to implement projects, including: (i) experience, capacity, and familiarity with implementation procedures for donor-funded projects, especially with donor requirements regarding competitive bidding procedures, financial management and accounting, and reporting and monitoring systems – all of which take time to build; and (ii) the condition of facilities, equipment, and files needed by ministries to function effectively; and
- The state of the infrastructure and certain key public services, which affect, in particular, capacity to import and distribute commodities necessary for reconstruction and the ease of entry and movement of international and local agencies and contractors to carry out their work.

11. Linkages with Emergency Needs and the CAP

The CAP for 2004 includes both humanitarian activities that are essential if the lives of those in danger are to be saved. But it also includes activities that must be implemented – as a priority – for repairing and restarting essential social and economic systems. The CAP is not restricted to the needs of particularly vulnerable beneficiaries, such as displaced people. Hence overlap between the CAP and the needs assessment is essential.

Other – specific – issues covered in the CAP, but with a bearing on the needs assessment, include

Coverage of temporary settlement areas; The extent to which these will be included in the transitional framework will depend on; 1. coverage for '04-'05 that would be provided if funding for the CAP is fully realized, and 2. the forecasts from the socio-economic restart cluster team on how many people can return on a sustainable basis to their places of origin during the '04-'05 period. The transition framework would concentrate on the needs for those not covered under 1 & 2.

Support to (spontaneous) permanent settlements; the desirability of support will depend on the likelihood that settlements in these areas will be able to sustain the economic livelihood of people living in these areas. If positive, than can be included directly in the transition framework. If not, then would logically form part of the reintegration strategies, CDD, etc in cluster 4.

Given these considerations, discussions are currently ongoing with OCHA to ensure their full participation in the needs assessment process, including stakeholder workshops and drafting of the synthesis report.

12. Process & Timeline

The needs assessments will be carried out by the UNCT with the technical support of the UNDG and the World Bank under the overall coordination of the Special Representative of the Secretary General for Liberia, Mr. Jacques Klein, in accordance with the provisions of SCR 1509. The needs assessment will be organized around several clusters of sectors, as well as a cluster of “cross-cutting” themes. A Cluster coordinator is being identified for each cluster, and sector focal points are being nominated to ensure that work is taken forward on

each sector or cross-cutting theme. Given the inter-dependence of clusters and sub-sectors, co-ordination is vital. The Humanitarian Co-coordinator for Liberia, Mr. Abou Moussa (DSRSG/HC/RC) will be responsible for the day-to-day coordination of the exercise within the country (through regular dialogue with Cluster coordinators and sector Focal Points). He will be supported by David Nabarro (nabarrod@who.int), acting as Needs Assessment Coordinator for UNDG, supported by UNDOG.

The assessments will be done using a variety of methods, including:

limited missions to Liberia

desk studies and review and analysis of available data and information (see also para. 12)

use of local UN staff, and local consultants

close collaboration with government technical staff and ECOWAS

interaction with civil society and NGOs working in Liberia

Given the realities of the in-country situation, the availability of material and the UN staff presence already in Liberia, the needs assessments will be undertaken largely by members of the UN country team and those with whom they are already working, with limited participation by external experts: the latter will be brought on board as and when needed. It is therefore expected that only a limited number of individuals will need to travel to Liberia for this purpose. Most of the work is likely to be performed by the local teams. However, external personnel will have a major role in supporting work underway in Liberia and reviewing progress.

Within the needs assessment cluster papers, Cluster coordinators can propose different alternative strategic and policy options. For clusters and sub-sectors where a range of options are considered, Cluster coordinators will need to ensure that these are discussed with stakeholders – particularly with representatives of the Liberian Government, ECOWAS, UN agencies in Liberia, Aid agencies and NGOs. Cluster coordinators are responsible for ensuring that a consensus is reached on the particular option that will drive the 2004-2005 priorities. The Cluster coordinator should be in a position to indicate to the co-ordinator that the final report, submitted by 22 December 2003, is based on the agreed options (should there be any residual disagreement, this should be clearly indicated within the text or as a footnote) .

The cluster reports will be consolidated into a single report by a core drafting team from the UN and the World Bank in late December-mid January, including consultations with ECOWAS and the Liberian Government before final presentation at the Liberia Reconstruction Conference. In addition, the full working papers on each of the clusters – and the sub-sectors examined - will be critical elements for the reconstruction conference and will be made available as background material. The procedures for compiling the RFTF (Monrovia) and the synthesis report (NY or W.DC or Geneva), including approval processes and alignment with the individual cluster and sub-sector working papers, is still being worked on.

Projected Timeline (to be confirmed):	
Submission sector scope of work	
Final appointment of all CC's and SFP's	
Finalization and agreement on NA scope & methodology (incl. notional outline of RFTF)	
Needs Assessments	
Stakeholder consultations for each cluster	
UNCT consultations with NTGL & ECOWAS	
Integrating sector reports in Cluster report	
Final Cluster reports submitted to UNCT & UN/WB drafting team	

Drafting Synthesis Report:	
Agreed priorities in Recovery Transition Framework	
Draft synthesis report ready	
Stakeholder consultations with NTGL, ECOWAS, others	
Consultations with Donor Core Group	
Review by CC's and sector focal points	
Revision draft synthesis report	
Final synthesis report	
Realigning Cluster reports & sector papers with Synthesis Report (CC's and SFP's)	
Realigning Cluster reports & sector papers with Synthesis Report (UN/WB core drafting team)	
Final documentation made available to conference participants	
Reconstruction conference	

13. Team Composition and Responsibilities of the cluster Coordinator and Sector Focal Point

The composition of each cluster team will be made up out of one Cluster Coordinator (CC) and one or more Sector Focal Points (SFP), depending on the specific sub-sectors per cluster, as outlined in the matrix. One Cluster coordinator will be identified for each cluster from among the personnel available in Liberia. The Cluster coordinator, with the clearance of the Humanitarian Coordinator for Liberia, will be responsible for determining the final composition of the team and the day-to-day management of the needs assessments for that cluster.

In addition, the Cluster coordinator will carry the overall responsibility for the content, quality, and execution of the needs assessment for the respective cluster. This includes defining the scope, attending to the cross-cutting themes, overall coordination with all agencies and other stakeholders involved, identification of inter-linkages across clusters and follow up with the Cluster coordinators of the relevant clusters to ensure coherence and complementarity, and management of the entire post-assessment process leading up to the donor conference, i.e. collation and aggregation of assessment results, preparation of the final reports, briefings and presentations.

The Cluster coordinators will be responsible for ensuring acceptable standards of quality, reliability, completeness and accuracy of the data presented, both quantitative and qualitative. They are encouraged to clearly indicate limitations, if any, to the data presented and analyzed.

The Sector Focal Points do carry the same responsibilities as the CC's, but on the sub-sector level. The SFP's are to submit their sector reports to the CC (date to be agreed per cluster between CC and SFP) and will work with the CC's to finalize the individual cluster reports for submission on 22 December.

14. Participation of member states

Given the situation on the ground and the need to maintain a "light footprint", we will be able to accommodate only a limited number of external experts nominated by interested member states. It is suggested that there be a maximum of one external expert for each cluster assessment (with one or two clusters may be having more than one). A focal point in the Office of the DSRSG/HC/RC in Monrovia will work with UNDGO (Ms. Sally Fegan-Wyles) to ensure that all proposed participants are reviewed jointly and there is a fair and representative spread in participation.

Member states which have a presence in Liberia will be invited to the stakeholders' workshops that will be held in Monrovia to discuss the draft reports of the needs assessments.

In addition, a number of measures will be put in place to ensure that all interested parties are kept abreast of developments and can provide information, comments and insights. These include:

periodic briefings, through the Core Group of donors and Liaison Group to be set up, on the progress made;
briefings as requested during any meetings and consultations that may take place before February.

15. NGO/CSO Participation

Throughout the needs assessments there will be opportunities for stakeholder participation, particularly in the case of those with a presence on the ground. These include:

- NGOs that are active in country will be invited to share their data and knowledge base with the relevant cluster teams. The existing mechanisms for coordination of humanitarian assistance in which NGOs and donors participate will serve as the forum for this engagement.
- NGOs will be briefed on the progress of the needs assessments exercise during the weekly meetings at the HQ and as requested.
- NGOs will be invited to participate in the stakeholder consultations and validations, to be held in the country.

16. Data Management and Information Sharing

A website will be used for continued document sharing among participants throughout the needs assessment process. Information on meetings and deadlines will also be posted on the site. The Cluster coordinators are requested to ensure that all team members have familiarized themselves with the background documentation, desk-studies and other relevant material available on the site. The website address is <http://website.org> and the link to the page will be visible in the right column only to those who are registered to the site. To gain access to the site or to add background documents, please email email.adress@organisation.org

Annex 19: Terms of reference for cluster manager

Terms of Reference for Cluster Teams Managers (adapted from Sudan JAM)

The objective and scope of the cluster analysis is derived from the overall JAM concept note. The cluster manager is responsible that the cluster teams follows this guidance and that the results of the conflict analysis (see annex 13) are taken into consideration and reflected in the methodology applied in the cluster analysis.

The cluster analysis consist of the following sectorial issues (x,y z).

The cluster manager is should delegate the individual sectorial analysis to individual team members but remains responsible for quality control, acordance to the concept note and conflict anlysis and their integration in the final cluster report.

Each cluster report, to be produced in full cooperation with countries counterparts, is to include the following items:

- 1) Detailed overview of current situation of the cluster & key statistics.
- 2) Outline of key policy issues and reconstruction and rehabilitation priorities to be addressed over the next x years
- 3) Assessment of current institutional, implementation and absorption capacity with special focus on conflict related issues (**see annex 17**). Outline of sector recovery and longer term development strategy
- 4) Two-year Results Based Framework for priority reconstruction and development programs
- 5) Outline of sector recovery and longer term development strategy
- 6) Institutional arrangements, policy, and governance issues
- 7) Evaluation systems for measuring impact and identifying needed course correction
- 8) External Financial requirements

1. Assessment of current situation;

- Review existing secondary sources of data
- Fill critical data gaps through onsite data gathering, including the use of participatory methods
- Identify areas where baseline information has to be validated/updated and offer options (through consultation with key stakeholders)
- Assess areas of greatest need through field visits

2. Policy issues and sector priorities;

- Provide measurable targets for sectors, based whenever possible on Millennium Development Goal (MDG) targets.
- Develop vision for sectors in 20XX, incorporating needed improvements and the roles of different actors in the sector
- Outline mechanisms for broad consultations regarding sector development, including promoting popular participation in decisions affecting service delivery
- Where applicable, provide indication of how progress in sector may address root and proximate causes of conflict and strengthen the peacebuilding process.

3. Assessment of institutional, implementation and absorption capacity;

- Identify the capacity of the sectors to expand activity, with clear indications of the respective roles of authorities, private sector, civil society organizations, international partners, and other actors in sector
- Identify key priorities for strengthening institutional management and implementation capacity, both at national and local levels, including institution systems, infrastructure, equipment and human resources (where applicable, outline division of service provision between national and international agencies, and plan and timeframe for transfer of authority to Sudanese institutions)
- Assess current strengths and weaknesses of non-government implementation actors, including identification of entry-points for capacity building
- Assess the sector financial absorptive capacity for the two year and X year period

NB: In addition to the above, a Results Based Framework, including costing, is to form an integral part of the report for the following sectors: DDR, Mines Action, CDD, IDP's and other vulnerable groups.

4. Two-year Results Based Framework for priority reconstruction and development programs

- Develop a detailed transition Results Based Framework (RBF) for the first 2 years of the interim period, consisting of the following items (*reporting format to be provided*);
 - i. Key sector priorities to be addressed during the 2-year transition period
 - ii. "Quick impact" rehabilitation and reconstruction activities
 - iii. Immediate institution and capacity building interventions
 - iv. Concrete outcomes and deliverables to be realized by the end of the 1-year and 2-year period
 - v. Six-month progress benchmarks towards identified outcomes
- Provide summary outline of alternative options for sequencing of programs and service delivery, highlighting respective advantages and disadvantages

5. Outline of sector recovery and longer term development strategy

- Develop detailed sector strategy both for the transition (2-year) and interim (x year) period, including an outline of the sector achievements and status by 2010.
- Identify key sector priorities for the remaining four years of the interim period
- Describe and prioritize detailed development activities for the remaining four years of the interim period
- Describe further required sector data collection work to facilitate medium and longer term planning

6. Institutional arrangements, policy, and governance issues

- Outline sector specific institutional arrangements and governance mechanisms, including role of public, private, and civil society actors, to be established and/or reformed in sector;
- Outline public administration structures and functions, including where applicable local, regional, and national level competencies. Include an outline workplan to reach decisions on institutional issues outstanding;
- Outline systemic policy issues affecting sector, discuss and prioritize feasible reforms, and describe data or technical assistance required to make decisions;
- Outline legislation which may be required to implement policies and associated technical assistance;
- Indicate personnel needs; structure of personnel; specialized sectoral skills, recruitment and incentives issues
- Validate, refine and finalize proposals for institutional and implementation capacity enhancement (see phase 1, point 3)

7. Monitoring and Evaluation Systems

- Review current systems for assessing performance of the sector
- Propose simple systems, adapted to evolving national capacity, for ongoing monitoring and evaluation, and identifying needed course correction, including where relevant mechanisms for measuring progress against MDGs

8. Costings and Budget

- Develop detailed costing for the identified RBF outcomes, including capital, recurrent, and total costs (*budget format to be provided*)
- Develop indicative costing for the identified development activities during the remaining four years of the interim period, including capital, recurrent, and total costs
- Ensure that budgets include costs of information collection and ongoing sectoral monitoring and future recurrent liabilities resulting from proposed new capital investments for reconstruction
- Where possible, identify issues requiring decision on local, regional, or national level budget execution
- Outline possible sources and scale of cost recovery

Annex 20: Outline checklist logistics

- 1. Important Contacts concerning the logistical requirements**
- 2. Visas**
- 3. Money**
- 4. Medical**
 - a. Certificate of Vaccination (Required)
 - b. Anti-Malarias
 - c. Food
 - d. Water
- 5. Emergency Evacuation**
- 6. Accommodation**
- 7. Transport**
 - a. Flights
 - b. Local Transport
- 8. Communication (Sat/Cell Phones)**
- 9. Security**
- 10. Clothing & Other Supplies**

Annex 21: Checklist logistics - Example of the PCNA in Sudan:

Post-Conflict Needs Assessment

Country

Date

Logistical Information

1. Important Contacts
Secretary HQ:
Focal Point name, email: [email-address](#) ; tel: #, fax #

Logistics (for visa and other queries) name, email: [email-address](#) ; tel: #, fax #

Others:
Organisation, name, email: [email-address](#) ; tel: #; fax #

Secretary Country Office:
Focal Point name, email: [email-address](#) ; tel: #, fax #

Logistics (for visa and other queries) name, email: [email-address](#) ; tel: #, fax #

Others:
Organisation, name, email: [email-address](#) ; tel: #; fax #

Region 1:
Focal Point name, email: [email-address](#) ; tel: #, fax #

Others:
name, email: [email-address](#) ; tel: #; fax #

Region 2:
Focal Point name, email: [email-address](#) ; tel: #, fax #

Others:
name, email: [email-address](#) ; tel: #; fax #

PLEASE NOTE:

ALL JAM LOGISTICAL AND OTHER ARRANGEMENTS AND DETAILS WILL BE COMMUNICATED VIA EMAIL, AND WILL ALSO BE AVAILABLE ON THE JAM WEBSITE (WWW.XXXXX). MISSION MEMBERS WHO ANTICIPATE BEING OUT OF EMAIL CONTACT/INTERNET ACCESS DURING THE WEEKS PRIOR TO THE START OF THE MISSION SHOULD ENSURE THAT THEY TOUCH BASE WITH RELEVANT FOCAL POINTS FOR REGULAR UPDATES.

2. VISAS**KENYA**

Multiple entry visas for Kenya are to be obtained by mission members before departure to Nairobi by:

- Contacting the nearest Embassy of Kenya prior to departure to arrange for a multiple entry visa (to facilitate travel in and out of Sudan through Kenya). In special cases, a Kenyan visa may be arranged locally (i.e. if there is no Kenyan consulate nearby and you are not able to obtain a single entry visa upon arrival (see relevant nationalities below)), by contacting Lisa Campeau (lcampeau@worldbank.org).
- In case of emergency, nationals of Australia, Austria, Belgium, Canada, France, Germany, Great Britain, Luxembourg, Italy, Japan, Netherlands, New Zealand, Spain, Switzerland and USA can obtain a single-entry visa upon arrival in Nairobi (USD 50).
- Nationals from Denmark, Finland, Ireland, Norway, Sweden, the Vatican, South Africa or holding a UN Laissez Passer do not require visas for Kenya.
- All other nationalities must obtain a visa prior to arrival in Kenya.

SUDAN

The JAM Team will arrange all relevant Sudanese visas and travel permits. To do so, mission members must send the following information to Mr. Mahmoud Amer (mahmoud.amer@undp.org) ASAP, and by no later than February 16. Please note that visa information received after this date may be difficult/impossible to process in time. If we do not hear from you, we will assume that you have made your own visa arrangements.

- Full Name
- Nationality
- National Passport Number, Date and Place of Issue (city/town and country), Expiry Date
- LP Passport Number (if available)
- Agency & Occupation
- Country of Residence
- Sex
- Date of Birth

The JAM Team will be in touch with you only if there is a problem with your visa. If not, you can assume that your GoS and SRRC visas will be obtained upon your arrival in Nairobi.

For multiple purposes, each mission member must also **bring 12 passport size photos.**

3. MONEY

Credit cards, bank (ATM) cards and travellers checks CANNOT be used in Sudan. Mission members are advised to plan accordingly and ensure that they have enough cash in US dollars for their entire period of stay in Sudan (likely 2 weeks total). The suggested amount for Khartoum is up to a maximum of \$200 per day.

4. MEDICAL (according to UN Medical Clinic in NBO)

Mission members are expected to make arrangements for their own full medical insurance. In addition:

a) Certificate of Vaccination (Required)

Mission members must be vaccinated for Yellow Fever. The certificate is mandatory for entry into Kenya and Sudan so please have it with you at all times.

The following vaccinations are also recommended:

- 1-Typhoid
- 2-Hepatitis A
- 3-Cholera
- 4-Meningitis
- 5-Tetanus

- b) **Anti-Malarias:** Mission members are advised to take anti-malarial/prophylaxis two weeks prior to departure, and for four weeks after leaving Sudan. The UN Medical Clinic suggests contacting your doctor for suitable medication, though, a daily Paludrine taken with Chloroquine, or Mefloquine once weekly are recommended. Tropical medical experts in Nairobi have also recommend Coartem for usage in south Sudan.

Other prophylactic measures include the use of mosquito nets and insect repellents.

- c) **Food:** While in the mission area, avoid eating uncovered food. Fresh vegetables and fruits should be washed carefully.
- d) **Water:** If tap water is available it should be boiled before drinking, otherwise use mineral water.
- e) **Emergency evacuation:** If required the UN will assist team members in emergency evacuation from Sudan.

Further queries should be addressed to Dr. Eman Atallah, the UN Doctor in Khartoum at email address: atalla.eman@undp.org.

4. ACCOMMODATION

The JAM Team will arrange accommodation in all locations. Individual bookings will not be required by mission members.

- a) Accommodation arrangements in Nairobi and Khartoum will be shared with mission experts prior to arrival.

- b) For all other locations, accommodation will be arranged based on available facilities. Where possible, arrangements will be made in guesthouses. However, in most of southern Sudan accommodations will likely be in tented camps, with outdoor shower facilities, and outhouses/latrines. Mission members are kindly requested to plan accordingly!

5. TRANSPORT

The JAM Team will arrange all local transport throughout Kenya and Sudan.

Flights:

- Mission members are expected to arrange and pay for their own flight in and out of Nairobi, and are expected to arrive in time for the introductory briefing, and remain until the national wrap-up exercise. However, **mission experts are kindly requested to inform Mahmoud Amer (mahmoud.amer@undp.org) of their flight arrival/departure dates and details in order to ensure appropriate accommodation and transport arrangements are made.**
- Upon arrival at Nairobi's Jomo Kenyatta Airport, mission experts will need to look for a sign saying "**JAM Mission Members**". This transport will be available during the 48 hours prior to the introductory briefing to take all mission members to the pre-arranged local hotel accommodation. **If special arrangements for airport pick-up are required, please be in touch with Lisa Campeau (lcampeau@worldbank.org; tel: +44 7793-658-962) directly.**
- The JAM Team will make arrangements for, and cover all costs related to, internal flights, including from Nairobi to Sudan. The JAM Team will also arrange for relevant travel permits.

Vehicles (in the field):

-

6. COMMUNICATION (SAT/CELL PHONES)

Equipment, coordination datas, consultation mechanisms (conference rooms etc)

7. SECURITY

Security clearance will be obtained for all mission members. On arrival in Nairobi, mission members will receive a comprehensive security-training briefing including specific information on various areas of Sudan.

Coordinates and Informations

8. CLOTHING AND OTHER SUPPLIES

Following issues has to be taken into account in order to advise the PCNA field team for clothing and other supplies:

- Climatic conditions within the country and specific to the location where the field assessment (including available facilities, services and weather) will take place.
- Specific culture requirements (such as conservative business/casual attire) or women specifics (such as headscarf and not advisable clothing such as tank tops, shirt skirts and the like)
- Specific accomodation conditions (such as camping environment or hotel)

The following checklist is indicative of other items mission members may wish to bring:

Pharmaceuticals:	
• Malaria prophylaxe	
• Water purification tablets	
• Imodium (for diarrhoea)	
• Band-aids & antiseptic cream	
• Oral re-hydration powder	
• Aspirin/other	
• Insect repellent	
Clothing / luggage:	
• Comfortable clothing	
• Rain/wind coats or jacket (some areas in cold season)	
• Compact luggage (in case back-packs recommended)	
• Towels (quick dry preferable)	
• Light pants or dresses	
• Bermuda shorts & t-shirts (if acceptable)	
• Plastic 'flip-flops' or thongs (for usage in communal showers)	
• Comfortable shoes (open & closed toe)	
Accessories:	
• Laptop, with additional battery (strongly recommended)	
• Notebook & pens	
• Documents on diskette /CD or USB drive	
• Camera / film or digital supplies	
• Flashlight & batteries	
• Water container	
• Three pronged plugs	
Personal Effects:	
• Travel snack & sweets	
• Ligther / matches	
• Toothbrush & toothpaste	
• Shaving kit	
• Nail brush	
• Shampoo and hairbrush	
• Face cloth	
• Sunscreen, sunhat/ sunglasses	
• Bathing soap	

Annex 22: Outline briefing material

- 1 Map of the country**
- 2 List of mission members**
- 3 Mission schedule (Arrivals, Workshops and Departures)**
- 4 List of contacts within the country and at the HQ**
- 5 Reference Material for the JAM: Books, Articles, and Reports**
 - a. General Information for All Mission Members (with regard to the Methodology and the Country)
 - b. Sectoral Information for Respective Mission Members
- 6 Background Paper: The Agenda for Reconstructon**
- 7 Concept Note**
- 8 Other assessment reports**

Annex 23.: Example webpage**Structure:**

- 1. Introduction**
- 2. Practical Information**
 - a. Concept Note
 - b. JAM Cluster Teams
 - c. Contact Lists
 - d. Timeline
 - e. General Pre-arrival Information/Logistic Information Sheet
- 3. Background Material**
 - a. General Material
 - b. Gender
 - c. PCNA Clusters
 - i. Institutional Development and Capacity Building
 - ii. Governance/ Rule of Law
 - iii. Economic Policy and Management
 - iv. Productive Sector
 - v. Basic Social Services
 - vi. Infrastructure
 - vii. Livelihoods and Social Protection
 - viii. Information
 - d. Useful Links
 - e. Further Material
- 4. Meetings and Output**
 - a. Meetings
 - b. Outputs

Annex 24: Generic guidelines & outline for inception workshop for PCNA

Participants:

- PCNA Coordinator
- Task Manager
- Sector Managers and Sector Specialists
- Conflict Specialist and other cross-cutting experts

Responsibility for Preparation:

- Secretariate of PCNA Coordinator

Time Frame:

- 1 full day

Venue:

- A centrally located venue should be sought which is not connected to a participating institution's office and allows a laid-back but concentrated atmosphere

Background Material:

- PCNA Guide Book of GTZ
- Terms of Reference for PCNA Members
- PCNA Guidance Notes

Material needed:

- Beamer or OHP for introduction of material
- Minimum 3 soft boards and visualization material (cards etc.)
- Flipchart

Outline

Task	Rationale / Objective	Time Frame	Major Steps
Introduction of Participants	Beginning of Team Formation	15'	➤
Introduction to the Context of the PCNA	Have participants understand the political background and the international mandate for the PCNA	30'	<ul style="list-style-type: none"> ➤ Background to the Political Evolution of the PCNA ➤
Introduction to the Conflict background	Make participants understand root causes, actual conflict lines, conflict scenarios and their impact on PCNA	45'	<ul style="list-style-type: none"> ➤ Explanation of the Conflict Analysis ➤ PCNA and conflict issues
Introduction to the PCNA task	Have participants understand what is their main task and how to cooperate	90'	<ul style="list-style-type: none"> ➤ Explanation of the Guidance Notes ➤ Clarification of sectors ➤ Clarification of cross-cutting issues
Explanation of the Work Process within the PCNA	Clarify the proces of cooperation	120'	<ul style="list-style-type: none"> ➤ roles of different participants ➤ cooperation form (teams, secretariat, cross-cutting specialists etc.) ➤ overview of full time line from preparation to lessons learned
Clarification of conflict resolution within the team	Prepare for team conflicts and how to solve them	30'	<ul style="list-style-type: none"> ➤ explain desired conflict resolution mechanism and responsibilities
Overview of access to material	Make participants familiar with key information, its access and management	45'	<ul style="list-style-type: none"> ➤ explanation of website ➤ explanation of addition of material for the team (by team members) ➤ other issues
Further issues for clarification	Possibility to answer open questions	30'	<ul style="list-style-type: none"> ➤ A.O.B.
Wrap-up and feedback	Get a feeling about usefulness of the workshop and how to further improve it	30'	<ul style="list-style-type: none"> ➤ Short request to members to give their opinion of the day ("flashlight") ➤ Final words by coordinator

Annex 25: Outline for weekly status report

Date:

Sector:

Task Manager	
Current Needs Assessment Team:	
Government/Donor/NGO Relevant Activities:	
<i>STATUS OF THE NEEDS ASSESSMENT</i>	
<i>CHANGES TO TIMELINE/WORK PLAN</i>	
<i>UPCOMING EVENTS</i>	
Date	Responsibility
<i>Activity</i>	
<i>THIS WEEK'S PROGRESS/CHANGES/CHALLENGES</i>	

Annex 26: Tools for conflict-sensitive sectoral analysis

1. Sectoral conflict issues and peace building capacities

The preliminary conflict analysis broadly identified linkages between sectors and the key factors contributing to conflict. Sectoral analysis takes up these linkages and explores them in more detail. The aim is to identify conflict-related problems and peace building capacities in each sector. Thereby, you should focus on the key conflict factors identified in tables 2 and 3.

The following guiding questions can support this analysis:

- How is the sector related to the wider conflict?
- Does the sector figure in peace negotiations? What is the position of the conflict parties?
- Are there significant grievances associated with the sector (e.g. inequality, discrimination)?
- Does the sector provide opportunities for “greed” (e.g. illegal economic activities, corruption)?
- What interests would be affected by sectoral reforms?
- Does the sector offer opportunities to promote common interests between divided groups/communities?
- Does the sector contain important capacities (e.g. business groups, professional networks, media) that can be harnessed for the peace process?

The results of this analysis can be summarised by the following matrix. It can help develop conflict-sensitive priorities within the sectors of the needs assessment.

Tab. 5: Sectoral programming matrix

Sector (e.g. Governance)	Conflict factor 1	Conflict factor 2	Conflict factor 3
Peace building needs			
Peace building capacities			
Peace building risks			
Assistance requirements			

- *Peace building needs* are the conflict-related priority issues to be addressed by international assistance within the particular sector. You may want to identify one to two peace building needs in relation to each conflict factor (as identified in table 3).
- *Peace building capacities* are those groups, structures or common interests that can contribute to addressing peace building needs.
- *Peace building risks* are those factors endangering the fulfilment of peace building needs, which cannot be directly influenced by external assistance. Scenario development can be helpful to identify peace building risks.
- *Assistance requirements*: Specify the external support necessary to address peace building needs. You may want to refer to the goals and benchmarks defined during the initial scoping exercise.

2. Sectoral implementing capacities

Sectoral needs assessment includes an assessment of in-country capacities to implement reconstruction programmes. Given the notoriously low capacity of early post-conflict countries, sectoral assistance will necessarily involve an important capacity building component. From a conflict perspective, it is crucial at this stage to avoid rebuilding and possibly strengthening actors and institutions that contributed to the conflict. Therefore, an assessment of implementing capacities needs to include a political analysis of the peace and conflict interests of these actors.

Tab. 5: Sectoral actors, interests and implementing capacities

	Sectoral actor	Peace and conflict interests	Capacity
National			
Local			

To explore the *peace and conflict interests* of sectoral actors, the following guiding questions may help:

- What kind of interests does the actor have in relation to the overall conflict and the ongoing peace process?
- How is he affected by the conflict?
- What kind of interests does the actor have in relation to sectoral conflict issues?
- Does the actor play a stabilising or confidence-building role?
- Would he benefit or lose out from reform?

The following checklist can support a conflict-sensitive capacity assessment.

Checklist for conflict-sensitive assessment of implementing capacity

- What has been the organisation's role in armed conflict, insecurity and violence?
- Are there linkages between the organisation and key conflict actors?
- Is the organisation committed to peace or reducing conflict?
- Is the organisation committed to respecting and realising human rights?
- Does the organisation have clear statutes and regulations?
- Does the organisation have realistic work plans?
- How effective are accounting and financial management systems? Are they transparent?
- Does the organisation have the human and technical capacity to deliver basic services and fulfil its mandate?
- In what regions of the country is the organisation present?
- Does the organisation provide its services equitably to all sections of the population? Are there biases?

3. Phasing and conflict-sensitive indicators

The next step consists in defining sector-specific goals for the reconstruction phases defined in step 6. When formulating the goals, try to make relate them to the conflict and keep them realistic.

Tab. 6: Sectoral goals in post-conflict reconstruction phases

	Stabilisation (12 months)	Transformation (12-36 months)	Consolidation (36-120 months)
Goals			
Indicators			

You can then proceed to setting indicators that describe the goals to be achieved. Again, it is important to define them in a conflict-sensitive manner.

Example: Instead of “80% of primary school enrolment” a conflict-sensitive indicator might specify “80% of primary school enrolment among all ethnic groups”.

Guiding questions for conflict-sensitive indicator development

- Does the indicator relate to one of the central factors of conflict?
- Are there differences between conflict-relevant groups in the achievement of this indicator (see example above)?
- Are there indicators referring to security and human rights?
- How would progress on peace building look like from the perspective of women and the poor?

Annex 27: Cross-cutting checklists (Gender, Human Rights, Environment, Security)

Table of Content

1. Gender Checklist
2. Checklist on Protection and Human Rights Issues
3. Environment
4. Security

I) Gender Checklist²

Security Council resolution 1509 (2003) reaffirms the importance of a gender perspective in peacekeeping operations and post-conflict peacebuilding, in accordance with resolution 1325 on women and peace and security, which makes women's human rights and a gender perspective relevant to negotiating peace agreements, planning humanitarian assistance and peacekeeping operations, and reconstructing war-torn societies, from planning and assessment to the withdrawal phase. Gender mainstreaming needs to start from the very beginning of a mission, in order to ensure that structures and programmes are designed to address the different requirements of women and men for protection, assistance, justice and reconstruction.

Determining the differences in how women, men, boys and girls experience conflict will help the assessment team identify their respective needs and priorities. Understanding the role women play in all sectors of activity (economic, social, cultural, political etc.) will help ensure that reconstruction activities are planned in a way that does not reinforce past discrimination, and to help women gain equal access and control over resources and decision-making processes.

1. General and cross-cutting issues

A. How have men and women, girls and boys been affected differently by the conflict (and by specific events such as the destruction of schools, roads, sanitation facilities, markets, homes, etc.)?

B. What are the different coping mechanisms used by men, women, girls and boys? What resources/support are they using to survive? Are these in jeopardy or over-stretched? Why?

C. Do women have equal access to resources for recovery/reconstruction (human, technical, financial)? What would help increase their access to resources?

D. What specific power structures can be identified within communities? What are the specific threats or risks facing women and girls in the current environment? What can be done to remove these threats or minimize them in the immediate, medium, and long-term (threats include increased violence including domestic violence, marginalization in the political realm/exclusion from political processes related to peacebuilding, etc.)?

E. What are the prevailing attitudes, religious and cultural norms/practices that affect women's ability to contribute to and benefit from recovery/reconstruction efforts? How can

² Example Gender-Checklist from Liberia, December 2003. The questions contained in this Checklist have been adapted from the Iraq Checklist June 2003, the Liberia Checklist on Gender Perspectives - a Work in Progress - August 2003 and the DPKO Gender checklist for Côte d'Ivoire Assessment Mission November 2003. It was taken from UN resources, including those produced by UNESCO, UNFPA, UNICEF, UNDP, WFP, OHCHR, OSAGI and UNIFEM. Specific resources outside the UN system have been cited.

we ensure that these attitudes, norms, practices are not a barrier to women and girls' enjoying equal access to resources, opportunities, education, etc.?

F. Are women involved in decision-making, including at the highest levels? What specific steps can be taken to increase their involvement? What barriers prevent women and girls from meaningful participation and involvement in decision-making?

G. How are women involved in peacebuilding? How can they be enabled to continue to promote local ownership for sustainable peacebuilding?

H. Do leadership training and capacity building programmes for women's groups already exist? How are women organizing in their community and society at large? Are networks emerging among civil society groups, particularly among women's organizations?

I. How are different roles, strategies, responsibilities and options of women, men and adolescents affected in unstable situations? How have these changed over the past?

J. Has there been a disparate impact on women from different sectors within the society? Does the context in which women find themselves, such as urban or rural location, individual ethnicity or religion affect gender relations in a particular area?

K. What data and analysis is available for each sector? Is it disaggregated by sex and age?

L. How can information be gathered and disaggregated to account for widows and female-headed households who may account for a larger proportion of the population during and after the conflict?

M. Are equal numbers of women and men being hired (or trained) in recovery/reconstruction efforts [both international and national staff]? What can be done to further strengthen gender mainstreaming during planning, implementation, monitoring and evaluation?

N. Is there gender balance on the needs assessment team?

2. Security

2.1 Deployment of UNMIL

A. Does the security situation affect women, men, girls and boys differently?

B. Are women's and men's security issues known and concerns being met?

C. Are there women peacekeepers deployed? If so, at what levels?

D. Do peacekeepers receive gender training before deployment and during the mission?

2.2 Armed Forces Restructuring

A. What role do women play in the military, armed groups, police or any other security institutions such as intelligence services, border police, customs, immigrations, and other law enforcement services (% of forces/groups, by grade and category)?

B. Are actions supported to ensure women can be part of military, police or any other security institutions such as intelligence services, border police, customs, immigrations, and other law enforcement services?

C. What plans are in place on giving women ex-combatants the option of joining the peacetime army and other security institutions such as intelligence services, border police, customs, immigrations, and other law enforcement services?

D. What are the training needs of women in the military and armed groups?

E. Is gender training included in the training package for the new army and other security institutions?

3. Disarmament, Demobilisation, Repatriation and Reintegration Programme (DDRRP)

A. What roles do women/girls play in combat and non-combat functions in the military and armed groups (provide number and percentage of women in groups by grade and category)? Examples of non-combat functions include women working in support functions such as cooks, spies, messengers, soldiers' wives, women used as sex slaves etc.

B. Do mechanisms need to be put in place to involve women/girls in DDRR planning?

C. Are there organisations or associations representing women/girls in the military/armed groups (as combatants, in support roles, as wives etc.)?

D. Which governmental, NGO or UN organisations are currently working on DDRR issues and what have been their key lessons learned to-date? Are the lessons learned different for women, men, boys and girls?

E. Are there indications that women/girls in the military and armed groups have been subject to gender-based crimes (sexual assault, rape etc.) or domestic violence? How prevalent are such crimes? What are the resulting needs for women/girls (health, psychological, psycho-social, economic etc.)? Are there facilities for treatment, counseling and protection?

F. What media/communications initiatives exist (or are planned) to encourage communities to accept returning women/girls who have been involved in military or armed groups and to understand their needs?

G. What are the different training needs of women/girls and men/boys?

H. Are there sufficient funds for reintegration? Are there special funds allocated to women and children ex-combatants and dependants??

I. Has the support of local, regional and national women's organizations been enlisted to aid reintegration? Has the collaboration of women leaders in assisting ex-combatants and widows returning to civilian life been enlisted?

4. Refugees and Internally displaced People

4.1 Repatriation, Reintegration, rehabilitation and reconstruction

A. Do women and men participate equally in decision-making at the camp or local level? Are there special measures in place to address the needs of women in camp design? Are programmes in place to build capacity for camp management and equal representation of women?

B. Do displaced/refugee women and children have access to documentation and registration? Are women able to register in their own right or are they officially 'recognised' through their male relatives?

C. How have women and men, girls and boys been affected differently by displacement? Have women and men been affected differently by specific events such as the destruction of infrastructure, separation of families, etc.?

D. Are there specific policies in place and resources available to provide skills training for returning displaced women?

E. Are returning single heads of households permitted access to housing and land? Are legal measures in place to protect their access to land and water?

5. Good Governance and Democratic Development

5.1 Building of democratic institutions and Governance Reform Commission

A. What women's groups and networks existed before the conflict? What role did/do they play? Were they actively involved in policy-making?

B. Will the emerging political system recognize and protect women's rights and interests? And will women be enabled to influence and participate in the political process? (OECD gender tipsheets)

C. Are women included in transitional government and planning processes? Are they in decision-making positions? Do constitutional committees ensure gender perspectives?

D. If data on participation in various committees or groups is supported, provide sex disaggregated information.

E. What are the government mechanisms dealing with women's issues (such as a Ministry or national machinery for women)?

5.2 Judicial sector and Reform

A. Are there efforts to build capacity of women and men to enable them to participate fully in legal/justice issues and governance?

B. Are there plans to review the relevant legal (e.g., inheritance law, family code, credit regulations), policy (e.g., water, waste disposal, or housing fee subsidy policy), and institutional framework (e.g., current administrative system for concerned urban infrastructure services) and the gender implications? (Asia Development Bank, checklist on Urban Development)

C. How many and what percentage of legal professionals (including those in training) are women (by grade and category)?

D. What obstacles are there (if any) to the participation of women at various levels in the legal profession?

E. Do indigent women have access to free legal aid?
Are there functioning family and juvenile court systems?

F. Can women choose which legal system to use (formal vs. customary)? Under which legal system are women typically participants?

G. What is the role and involvement of women in traditional justice mechanisms?

H. Are women and men, and girls and boys treated in the same manner as participants in judicial proceedings? Are there sufficient protections for female victims and witnesses?

5.3 Police service Sector and reform

A. What types of law enforcement services are available in the country? What are the numbers/percentage of women by grade and category? Are women police officers involved in all operational aspects of the police work or limited to administrative functions only? Are measures in place to actively increase the number of women in the security forces?

B. Do law enforcement service personnel receive training on gender awareness, sexual crimes and domestic violence and human rights?

C. Are there facilities to meet the specific needs of women police officers (e.g. separate accommodation, hygiene facilities)? Is the working environment set up in a manner that is conducive to the needs of women police officers?

D. Are there specific provisions to facilitate women police officers to be assigned close to their home areas, or if married to police to remain together in the same location?

E. What are the main crimes committed against women and girls within the home and outside of the home? What are the cultural and other barriers that discourage the reporting of crimes by women/girls?

F. Do police have established protocols, specialised personnel and units (e.g. a “crimes against women cell or family support units”) for dealing with sexual crimes and domestic violence? Are such police cells staffed by policewomen?

G. Are there separate police holding cells for women? Who supervises and searches women detainees? Have feminine hygiene needs in holding cells been addressed? Are there facilities and services for nursing mothers provided within detention?

H. Are there traditional and non-traditional services available to women to facilitate their reporting of crimes, especially of a sexual nature?

5. 4 Human Rights, Protection, Truth and Reconciliation Commission

A. How do human rights violations vary between women, men, girls and boys?

B. What measures are currently being taken in-country to address human rights violations against women, men, girls and boys?

C. Do these programmes involve the community, men and women, to respond to and support survivors? How are the health, social services, security, protection/legal sectors involved in the prevention of and response to sexual and gender-based violence?

D. What laws and practices (if any) discriminate against women/girls?

E. What are the current laws and practices (including customary practices) relating to abductions, slavery or slave-like practices, forced prostitution and trafficking in humans and how do they affect women/girls and men/boys differently?

F. What are current laws and practices (including customary practices) on property and do they affect women and men differently? If so, how?

G. What are current laws and practices on domestic violence and other forms of gender-based crimes (e.g., sexual assault and rape)?

H. Are women targets of certain violations? Are there safe and accountable mechanisms for women to report and ensure redress for violations they experience?

I. Has the presence of military and other combatants placed men and women at greater risk for human rights violations? If so, what type of violations?

J. Are women's human rights issues considered in reconstruction and the establishment of a representative government? Are women involved in the truth and reconciliation process? Do female and male victims of armed conflict have equal access to redress?

6. Elections

A. Are women and men equally involved in the planning for elections (e.g. on the boards of Electoral Commissions, in UN activities in support to the electoral process, in decisions on composition of party lists, choice of election candidates)?

B. Do women and men have equal opportunity to register to vote, to cast their votes and to run for office in elections without discrimination?

C. Are a certain percentage of seats earmarked for men or women or other groups?

D. Are there capacity-building opportunities for women candidates in local and national elections?

E. Are there provisions for voter education specifically targeted at women?

7. Basic Services

7.1 Community water, sanitation and solid waste

The Asia Development Bank checklist on water and sanitation provides a comprehensive and well-constructed module for considering the gender dimensions of this sector. This module should be used for needs assessments in this sector.

http://www.adb.org/Documents/Manuals/Gender_Checklists/Water/gender_checklist_water.pdf

A. What are the constraints to women and men, girls and boys in accessing appropriate water and sanitation facilities, water quality, water quantity, reliability, distance from source, distance from latrines, appropriate technology, maintenance, cultural acceptability?

B. Have feminine hygiene needs been addressed?

7.2 Health and Nutrition

A. Do women and men have different health needs? Is the health sector addressing men's and women's health needs equally? Is access to services equal for men and women? What might hinder equal access?

B. Are there women health providers (medical doctors, ob-gyns, midwives)? Do women have access to female health care providers?

C. Are there reproductive health services in hospitals, clinics and other health facilities for men, women and adolescents? To what extent do health workers receive gender-sensitive reproductive health awareness training? Are there any traditional practices, such as FGM, which impact on women's health?

D. What mechanisms are in place to address gender-based violence? Is awareness training provided to international and local relief staff, including in the areas of detection, referral and counseling. To what extent are services available, including shelters for victims of sexual abuse?

E. What programmes are available to address psychosocial/mental health needs of the community, particularly for women and girls?

F. Are boys and girls equally nourished? How are feeding practices changed to meet the emergency situation?

G. Are education programs available for drug abuse, and prevention of sexually transmitted infections (STI), including HIV/AIDS particularly for adolescents?

7.3 Education

A. Are there equal numbers of male and female teachers, administrators and other leaders in education among the population that is destabilized? How can they take leadership roles in creating and sustaining the education of girls and boys during crisis?

B. Are there differences between primary and higher education as concerns girls' access?

C. What are additional specific barriers to learning in the current unstable environment? How are these different for girls and boys? What factors account for this trend? How can the education system track and remedy this trend?

D. What actions are in place to accommodate the education needs of disabled, orphaned, separated or otherwise unaccompanied children? Do girls have similar services?

E. Are women and girls able to travel to school safely?

F. How are Codes of Conduct used to ensure appropriate behavior of teachers?

G. How do alternative or informal models of education accommodate the different vulnerabilities and changed roles and responsibilities of girls and boys in the current situation?

7.4 HIV/AIDS

A. Are basic HIV prevention programmes available, particularly for adolescents? Are such programmes culturally appropriate, relevant and targeted to specific groups? Are condoms (both male and female) available?

B. Is gender analysis being utilized in the prevention and care programmes? Has sex disaggregated data been collected on the infection rates of women/girls and men/boys?

C. Are HIV/AIDS programmes in place? Are care, voluntary testing and confidential counselling facilities available (including for HIV-positive victims of rape and sexual violence)?

D. Are there measures in place to reinforce support systems in order to alleviate the burden of AIDS care on women and girls?

8. Restoration of Productive Capacity

8.1 Livelihoods, employment, and community-driven development

A. What are the basic needs (food, health, shelter, water and sanitation) of displaced and host populations – how are these different for women/girls and men/boys?

B. What are the different coping mechanisms currently used by women, men, girls and boys? What resources/support are they using to survive? Are these overstretched or unsustainable in the long-run? Why?

C. Will the social sector address women's particular needs and concerns in an appropriate and adequate manner? Will women's capacities and skills be recognised and incorporated into the provision of social services? Will social reconstruction generate socio-economic relationships that are advantageous to women?" (OECD gender tipsheets)

D. What measures are being taken to ensure women's access to opportunities in non-traditional fields of employment, especially in sectors experiencing increased economic activity as a result of recovery and reconstruction efforts?

E. In what ways are women and men earning income for the household in post-conflict Liberia? Have the income-generating activities of women and men been affected differently by the conflict and the post-conflict situation? How has the security situation impacted women and men's livelihoods?

F. Was sex-disaggregated data collected on the role of women in the informal sector, as entrepreneurs? What impact has the conflict and post-conflict situation had on women's informal employment? Are the post-conflict needs of women entrepreneurs currently being addressed?

F. Will new labour legislation include minimum wage standards, provisions for equal pay for work of equal value, leave provisions (especially maternity leave and parental/family leave available to men and women), anti-discrimination provisions (including protection from dismissal for pregnancy), and protections for people engaged in non-standard work (part-time and temporary workers, homeworkers, and domestic workers)?

8.2 Agriculture and community

- A. Have agricultural practices changed since the conflict? Do women and men have equal access to land and training opportunities?
- B. What percentage of agriculture work did women do? What type of work is undertaken by rural women (e.g. cooking, cleaning, collection of water, firewood, marketing, child-care etc)?
- C. What are the indicators of food security and development? Is information gathered for indicators sex disaggregated?
- D. What community power structures exist in relation to the use of food? Is food used as a weapon or only benefiting certain groups? What are the different roles of women and men in food management at the household and community levels? Who receives food aid on behalf of the family and are women or men more likely to prioritise family sustenance over individual survival? Are ration cards issued to women in order to strengthen their control over food? Is this practice culturally accepted in the community?
- E. How do gender, age and other disparities between and within groups relate to individuals' vulnerability to food security?
- F. How much and what kind of food do women, men and children have access to? How much do they need and for how long? How do they obtain food and when and why do gaps between need and consumption occur?
- G. How could intervention(s) best be implemented? By whom? What procedures, complementary non-food inputs, expertise, training and other activities needed?
- H. How can the required food best be obtained and delivered?
- I. What seasonal factors, security and other practical constraints need to be considered, and what contingencies might have to be faced?

9. Infrastructure

9.1 Power

- A. In the choice of sectoral investments, is there explicit attention to the energy service needs of women (especially poor women) as well as the requirements of men? What investments are being made in household energy? Who will be able to use the new energy services? Will women and men both benefit from these investments?*
- B. Will expansion of the electrical grid support domestic and rural connections? Will broad household energy needs and different ways of meeting those needs be examined? Is the wide range of rural women's energy needs being addressed (including agriculture, transport, and income-generating activities)?
- C. Are men and women affected differently by energy access (including cost, physical distribution, new technologies, etc.) and availability trends (for example, blackouts during time spent making meals)? Will pricing decisions take into account gender differences in access to and control over household income, and the different domestic responsibilities of men and women regarding domestic energy usage?
- D. Do the personnel strategies of energy utilities pay attention to gender equity issues? Are women involved in community participation, ownership and management of energy projects?

E. Do new technologies address the actual needs and circumstances of men and women? Do men and women have equal access to new technological inputs? Are potential negative impacts of increased electrification being taken into account in cost-benefit analyses?

9.1 Roads, Ports, Airport

- A. Have both women's and men's needs been considered when designing the infrastructure?
- B. Has consideration been given to the tasks which are currently undertaken by women and men that could be affected (*such as transport of food and other goods to the market, fuel and water collection*)? Will the location of transport-related infrastructure affect women's marketing of goods and other income-generating activities?

9.3 Telecommunication

- A. Do women have access to media programmes, in terms of production, dissemination and access to information?

9.4 Housing and shelter

- A. Have both women's and men's needs considered equally when designing and planning housing projects?
- B. Are there barriers to equal access to and control over land, housing/property rights? What can be done to remove these barriers?
- C. How have Liberian women and men, girls and boys been affected differently by inadequate housing conditions due to conflict and displacement?
- D. Are there mechanisms in place to ensure equal property restitution to returnees and internally displaced persons coming back to their place of origin? Are there mechanisms in place against forced evictions? Are there mechanisms in place to ensure equal security of tenure to both women and men?
- E. Are there prevailing attitudes, religious and cultural norms and practices preventing equal access to and control over land, housing and property? Are there prevailing barriers to equal inheritance to land, housing and property?
- F. Will the emerging economic system recognize and protect low income housing finance? Will women and vulnerable groups be enabled to have access to housing credit with affordable rate? What are the available mechanisms for mobilizing financial resources?

10. Economic policy, development strategy

10.1 Public Sector: budget, financial management

- A. What is the impact of the aid economy on women (relief and humanitarian aid)?
- B. Do men and women have equal access to resources? Do women have access to credit, right to bank, land ownership? If not, what are the obstacles?
- C. To what extent are women involved in the informal economy, small and medium-size enterprises and care work? Are women participating in the formal sector, service industries?

D. Mobilisation of taxation forces and fiscal responsibilities of women

E. Are there measures in place to ensure an analysis of public expenditure or method of raising public money, from a gender perspective, identifying the implications and impacts for women and girls compared to men and boys? What impact does this fiscal measure have on gender equality? Does it reduce gender inequality; increase it; or leave it unchanged?

F. Does this fiscal measure improve, worsen or leave unchanged the position of the most disadvantaged women?

10.2 Private sector development, investment climate, policy for investment in natural resources (forestry and mining)

A. How has the economic situation affected women and men? Have women and men experienced changes in the type of work, earning power, access to loans and credit or land?

B. How can the erosion of past gains regarding women's access to land, property and wealth be avoided?

C. How do women save? How can women's savings be supported?

D. Are skills building opportunities available to men and women?

II. Checklist on Protection and Human Rights Issues³

1. Background

The United Nations Needs Assessment process for Liberia has identified human rights and protection as one of the cross-cutting themes to be addressed in all clusters/sectors of the Needs Assessment. This checklist should enable all Task Managers to ensure that a rights-based approach informs their work and the assessment report as a whole. The consideration of human rights and protection concerns in the various sectors will contribute to identifying to which extent priorities effectively contribute to the peace process and address root causes of the conflict, in order to avoid possible relapse into renewed conflict. By **applying key human rights and protection principles outlined below in research, information gathering, analysis and in the generation of priority outcomes**, the various sectors will ensure that their contribution is more sustainable, participatory and inclusive, bearing in mind the most vulnerable groups of the population.

2. Introduction

This checklist is based on international human rights norms and standards and operationally directed to promoting and protecting human rights, as contained in international human rights instruments⁴.

It gives due attention to the principles of non-discrimination, including on the basis of gender, and attention to vulnerability; accountability; empowerment and participation.

It aims to identify needs relating to the:

The capacity of duty-bearers (i.e., institutions/governments) to meet their obligations in the relevant thematic sector, and

The capacity of rights-holders (beneficiaries) to make claims and realize their entitlements in the relevant thematic sector.

3. Human rights principles⁵

- **Universality and inalienability.** All people everywhere in the world are entitled to human rights. They cannot be given up or taken away.
- **Indivisibility.** Human rights are indivisible. Whether of a civil, cultural, economic, political or social nature, they are all inherent to the dignity of every human person. Consequently, they all have equal status as rights, and cannot be ranked, a priori, in a hierarchical order.
- **Inter-dependence and Inter-relatedness.** The realization of one right often depends, wholly or in part, upon the realization of others. For instance, realization of the right to health may depend, in certain circumstances, on realization of the right to education or of the right to information.

³ Example checklist on Protection and Human Rights Issues for Liberia Needs Assessment, Office of High Commissioner of Human Rights, OCHA/UNDP/UNICEF, December 2003.

⁴ Liberia has ratified the International Covenant on Civil and Political Rights (ICCPR) and its First Optional Protocol, the International Covenant on Economic, Social and Cultural Rights (ICESCR), the Convention on the Rights of the Child (CRC), the Convention on the Elimination of Discrimination against Women (CEDAW), the International Convention on the Elimination of Racial Discrimination (CERD), as well as the Statute of the International Criminal Court (ICC). Liberia is also a party to the four Geneva Conventions and its two additional protocols.

⁵ Extracted/summarized from The Human Rights Based Approach: Towards a Common Understanding Among the UN Agencies, 7 May 2003

- **Equality and Non-discrimination:** All human beings are entitled to their human rights without discrimination of any kind, on the grounds of race, colour, sex, ethnicity, age, language, religion, political or other opinion, national or social origin, disability, property, birth or other status as explained by the human rights treaty bodies.
- **Participation and Inclusion:** Every person and all peoples are entitled to active, free and meaningful participation in, contribution to, and enjoyment of civil, economic, social, cultural and political development in which human rights and fundamental freedoms can be realized.
- **Accountability and Rule of Law:** States and other duty-bearers are answerable for the observance of human rights. In this regard, they have to comply with the legal norms and standards enshrined in human rights instruments. Where they fail to do so, aggrieved rights-holders are entitled to institute proceedings for appropriate redress before a competent court or other adjudicator in accordance with the rules and procedures provided by law.

4. The checklist

Please note that this checklist is intended to achieve a comprehensive overview of the relevant thematic sector from a human rights and protection perspective. The first part, generic, applies to all sectors, while other sectors⁶ are given more detailed guidance on the human rights questions facing that sector. This fact notwithstanding, it is understood that all sectors are operating under time and personnel constraints and that the relevance of the questions attached will be determined by circumstances on the ground

5. General and cross-cutting issues to all sectors

Who is responsible for delivering services, entitlements and redress at the community, county and national levels in your sector? What are their obligations to beneficiaries as contained in the relevant policies and legislation?

Who are the main beneficiaries in this sector? Please try to provide disaggregated data relating to gender, ethnicity, age, religion and other status which will help to identify patterns of vulnerability and discrimination?

Are these beneficiaries empowered/informed enough to claim their rights and services?

Are the services publicly and freely accessible to beneficiaries without discrimination?

Are there mechanisms to ensure/encourage popular participation, including women and vulnerable groups, in the planning and decision-making process relating to your sector?

Are adequate laws, policies and mechanisms of redress and accountability in place in this sector? Are they accessible to those with vested interests without discrimination?

How fairly are the benefits of development distributed in this sector, including to ethnic minorities (Krahn, Mandigoes, Gio and Mano), religious minorities, women and children?

6. Education

1. What are the existing attendance and drop-out rates, for girls and boys respectively? How has the school enrolment been affected by the conflict? Are there differences in enrolment rates for girls and boys, including from rural and urban areas, ethnic and religious minorities and other vulnerable populations?

⁶ These sectors are: education; health and nutrition; water and sanitation; agriculture and food security; sustainable livelihoods and employment generation; governance, rule of law and human rights; refugees, returnees, internally displaced persons, repatriation, rehabilitation and reintegration; and DDDR.

2. How does education accommodate the education needs of girls, disabled, orphaned, IDP, and returnee children, including those associated with the fighting forces (whether formally demobilized or not) and children from ethnic or religious minorities? What special measures are necessary to provide educational opportunities for girl mothers?
3. What measures are in place to ensure teachers do not sexually or otherwise exploit or abuse students, including Codes of Conduct, training and awareness raising, supervision, and recruitment of female teachers and/or classroom assistants? Are there complaints and redress procedures for victims of exploitation in educational institutions (at all levels)?
4. Does the composition of teachers reflect the gender, ethnic and religious composition of the population?
5. Are there effectively functioning teachers' unions? Are they inclusive?
6. Do school curricula integrate human rights education in any way? If so, how?
7. What kind of non-formal education and/or vocational training is available and how is access for vulnerable or marginalized groups ensured?

References:

Universal Declaration of Human Rights, article 26
 International Covenant on Economic, Social and Cultural Rights, articles 13 & 14
 International Covenant on Civil and Political Rights, article 18(4)
 Convention on the Rights of the Child, articles 28 and 29
 Convention on the Elimination of All Forms of Discrimination against Women, article 10
 Convention on the Elimination of Racial Discrimination, article 5
[General Comment No. 13](#) of the UN Committee on Economic, Social and Cultural Rights (UN Doc. E/C.12/1999/10, para.1)

7. Refugees, Returnees, IDPs and Repatriation, Rehabilitation and Reintegration

1. Are referral systems in place to identify and track separated children at departure, interim and destination points (including across borders), whether travelling alone or with a caregiver? Are measures in place to ensure they receive adequate protection and care, and that family tracing services continue in the months and years after return?
2. Is there access to natural resources sufficient to the needs of the community, for its survival and livelihood, including, inter alia, land, water, building materials and energy sources? What measures have been adopted to ensure equal access and affordability of such resources for all community members including vulnerable groups?
3. Are female and child headed households able to register for return and reintegration services in their own right (without an adult male head of household) and given extra support with shelter and other needs?
4. How will a social safety net for the most vulnerable be supported at the community level?
5. In the provision of immediate and temporary shelter has the need for the security and special needs of women and girls been adequately considered? How?
6. What structures exist to protect the right not to be subjected to arbitrary interference with home, person and privacy, including dispossession or forced eviction? Where are the constraints to ensure compensation, resettlement or the restitution when dispossession has taken place, including for victims of state persecution?

References:

Universal Declaration of Human Rights, article 25
 International Covenant on Economic, Social and Cultural Rights, article 11
 International Covenant on Civil and Political Rights, article 17
 Convention on the Rights of the Child, articles 11 and 22
 Convention on the Elimination of All Forms of Discrimination against Women, article 14

Convention on the Elimination of Racial Discrimination, article 5
General Comments [no. 4](#) and [7](#) of the UN Committee on Economic, Social and Cultural Rights.

8. Water and sanitation⁷

1. Is there an existing water policy? If yes:
 - a. Does such policy include specific attention to promoting access to water for disadvantaged or vulnerable sections of the population?
 - b. Are women included in the process of formulating, implementation and monitoring the policy? Are representatives of civil society, representatives of ethnic groups, representatives of vulnerable groups included in the formulation, implementation and monitoring of the policy?
2. Are there disaggregated data to assess the availability, quality and accessibility (physical, non-discriminatory and information accessibility) of drinking water and domestic sanitation? If yes:
 - a. Is water affordable for all? What is the percentage of the population connected to drinking water for domestic use?
 - b. Do particular individuals or groups suffer disproportionately from non-connections or poor quality water and sanitation supply (e.g., IDPs, outlying rural areas, particular ethnic or religious groups, female led households etc)? If so, why? How has this changed pre- and post-conflict?
 - c. Who is responsible for water retrieval (e.g., women, children?)
3. What guarantees will be needed maintained through legislation or water policy that assure drinking water for personal and domestic use for all?
4. What are the constraints for women and men, girls and boys in accessing appropriate water and sanitation facilities, water quality, water quantity, reliability, distance from source, distance from latrines, appropriate technology, maintenance, cultural acceptability?

References:

[General Comment No 15](#) of the Committee on Economic, Social and Cultural Rights (E/C.12/2002/11): <http://193.194.138.190/html/menu2/6/gc15.doc>

9. Macro-Economics and Economic Management

1. What is the regulatory capacity of the public authority (regulation of private sector, promotion of access to affordable services for the poor, minorities etc...) where private investment is encouraged in essential service sectors?

⁷ The Committee on Economic, Social and Cultural Rights has stated that the human right to water “entitles everyone to sufficient, safe, acceptable, physically accessible and affordable water for personal and domestic use”. The Committee has stated that the right contains the following elements:

- *Availability* – the water supply for each person must be sufficient and continuous for personal and domestic uses, such as drinking, sanitation, washing clothes, and food preparation in accordance with relevant WHO guidelines;
- *Quality* – water required for personal and domestic use must be free from micro-organisms, chemical substances and radiological hazards and of an acceptable color, odor and taste for personal and domestic use;
- *Accessibility* – water should be physically acceptable, economically accessible in that it is affordable for all and accessible without discrimination. Further, information on water must be accessible and everyone has the right to seek, receive and impart information concerning water issues.

2. What is the capacity of enterprises, under the public authority, to deliver essential services – what assistance is needed?
3. Did enterprises have a specific policy towards essential service provision to vulnerable groups pre-conflict? Do policies directed to the reconstruction of state enterprises take into the account the need for special attention to particular groups?
4. Are corporate social responsibility initiatives encouraged within the investment policy/plan? To what extent are current investors part of the Secretary-General's Global Compact? In what ways could investors (local and foreign) be encouraged to include stronger corporate social responsibility initiatives in their activities?
5. What mechanisms exist to ensure that investment is channelled towards socially and environmentally sound projects that achieve, inter alia, higher levels of enjoyment of human rights – e.g., are integrated assessments (economic, social/human rights and environmental assessments) of projects and policies currently being undertaken or encouraged?

References:

Report of the High Commissioner for Human Rights, "Human rights, trade and investment", (E/CN.4/Sub.2/2003/9), Advanced edited version will be available at: <http://www.unhchr.ch/html/menu2/2/55sub/advancedoc.htm>.

10. Agriculture, Food Security, Community Forestry and Water Resources

1. At what level are decisions taken concerning food distribution, or food and agriculture? Are there mechanisms in place to ensure attention to the interests of marginalized and vulnerable groups?
2. Is the current food distribution system effective in assigning priority assistance to those at highest risk of hunger and malnutrition? Are the current programmes effective in targeting those at risk? Are they reaching groups in danger of exclusion and marginalization? E.g. unaccompanied minors, female heads of households, persons with disabilities, orphans, internally displaced populations, etc.
3. Are the beneficiaries consulted and involved in designing, managing, and reforming food distribution programmes? Are there efforts aimed at reducing dependence on food distribution over the medium and longer term? Is the food distributed suitable, based on cultural and religious preferences?
4. Are there mechanisms or measures to monitor and encourage adequate sharing of food within households?
5. Are any groups discriminated in access to agricultural resources? Do women or minority groups have access to technical education and agricultural extension services? Is there discrimination against women or minorities in land inheritance, or in access to communal land, credit or public support services? Are there any programmes to facilitate access to land and productive activities?
6. What special measures are needed to reorient ex-combatant and other war-affected youth to a productive rural/agricultural lifestyle?
7. What laws and policies have been adopted or foreseen to regulate environmental degradation and to guarantee the right to a safe environment? Are there identifiable groups, which to a disproportionate extent are living in hazardous areas?

References:

Universal Declaration of Human Rights, article 25

International Covenant on Economic, Social and Cultural Rights, article 11

Convention on the Rights of the Child, article 27

[General Comment no. 12](#), On the Right to Adequate Food, of the UN Committee on Economic, Social and Cultural Rights see UN Doc. HRI/GEN/1/Rev. 6, 2003, pp. 62-70; or <http://www.unhchr.ch/tbs/doc.nsf/385c2add1632f4a8c12565a9004dc311/3d02758c707031d58025677f003b73b9?OpenDocument>

11. Health and Nutrition

1. Has gender- and age-disaggregated data been gathered, including on STDs, HIV/AIDS and other communicable diseases?
2. Have measures been taken to include interventions aimed at the prevention, detection and treatment of health concerns affecting women and girls, in particular sexually-transmitted diseases and injuries resulting from conflict-related sexual violence and rape. Are referral services available for counseling, legal aid, emergency shelter and economic support?
3. Are special provisions and outreach in place to ensure adolescents as well as adult women have access to sexual and reproductive, maternal (pre-natal and post-natal) and child health care?
4. Are there measures in place to address social or traditional practices that negatively affect the health of individuals?
5. Have measures been taken to include interventions aimed at the prevention and treatment of diseases affecting, in particular, marginalized groups (such as HIV/AIDS, tuberculosis)?
6. Are there provisions for education and access to information concerning the main health problems in the community, including methods of preventing and controlling them? (including child- and youth-oriented communication strategies)
7. Are there provisions for training of health personnel on human rights and protection issues, including confidentiality, identifying and responding to signs of sexual violence and/or other abuse, etc.?
8. Are there nutritional problems caused by misinformation rather than limited access to or availability of food? Are there any cultural practices among different groups that cause nutrition deficiencies? Are girl children more likely to be undernourished than boy children?

References:

Universal Declaration of Human Rights (1948), article 25(1)
 International Covenant on Economic, Social and Cultural Rights (1966), article 12
 Convention on the Rights of the Child (1989), article 24
 International Covenant on the Elimination of All Forms of Racial Discrimination (1965), article 5 (e) (iv)
 Convention on the Elimination of All Forms of Discrimination against Women (1979), article 12
 Committee on Economic, Social and Cultural Rights (CESCR) [General Comment 14](#) on the right to health (2000).⁸

⁸ According to General Comment 14, the right to health extends to timely and appropriate health care, as well as to the underlying determinants of health such as access to safe and potable water and adequate sanitation, healthy occupational and environmental conditions, and access to health-related education and information, including on sexual and reproductive health.

The right to health includes the following interrelated elements:

(a) *Availability*. Functioning public health and health-care facilities, goods and services, as well as programmes, have to be available in sufficient quantity.

(b) *Accessibility*. Health facilities, goods and services have to be accessible to everyone without discrimination, within the jurisdiction of the State party. Accessibility has four overlapping dimensions:

- Non-discrimination
- Physical accessibility
- Economic accessibility (*affordability*)
- Information accessibility

(c) *Acceptability*. All health facilities, goods and services must be respectful of medical ethics and culturally appropriate, i.e. respectful of the culture of individuals, minorities, peoples and communities, sensitive to gender and life-cycle requirements, as well as being designed to respect confidentiality and improve the health status of those concerned.

(d) *Quality*. As well as being culturally acceptable, health facilities, goods and services must also be scientifically and medically appropriate and of good quality. This requires, *inter alia*, skilled medical personnel, scientifically approved and unexpired drugs and hospital equipment, safe and potable water, and adequate sanitation.

12. Governance, Rule of Law and Human Rights

1. How do governance (administrative) structures at the central and county levels identify and prioritise the human rights needs to be addressed? Are there sufficiently disaggregated statistical data available in that regard?
2. What are the needs for establishing or improving an enabling legal framework for the protection of human rights? How are international human rights standards integrated into the existing legal framework, including the Constitution? If not, what steps are being taken to integrate them? Is there *de facto* discrimination or inequality as a result of existing legislation or policies?
3. What is required to make the governance structure more inclusive and equitable, both in terms of participation in decision-making and outcomes of governance policies?
4. What is necessary to ensure popular participation in decision-making? Is there sufficient information to ensure meaningful and informed participation? What steps are being taken to encourage transparency in debates and decision making?
5. How effective and transparent do the governance entities operate?
6. Is there a free and independent media monitoring the processes and performance of governance entities?
7. Are there effective civil society organization and non-governmental organizations participating in decision making and monitoring the performance of governance entities?
8. Is there an existing independent national human rights monitoring body, such as an ombudsman, or a national human rights institution? If so, is it functional and its mandate adequate?
9. Are there appropriate oversight bodies and mechanisms to address corruption and impunity?
10. Are measures in place to prevent and respond to sexual exploitation and abuse of local populations perpetrated by peacekeepers and UN and humanitarian agency personnel, including Codes of Conduct, awareness-raising and training, monitoring, investigation and disciplinary action?
11. Is the juvenile justice system legislated, constituted, and functioning in line with international standards (including court procedures, detention facilities and sentencing)?
12. Do police receive human rights and protection training and do family support units staffed with female personnel exist to handle sexual crimes, domestic violence, and children in conflict with the law?
13. Is the composition of the judiciary and the police representative and inclusive?
14. Do judicial and police personnel receive human rights and protection training?

References:

- Commission on Human Rights resolution 2003/65
- Report of the High Commissioner for Human Rights on the role of good governance in the promotion of human rights (E/CN.4/2003/103)
- <http://www.unhcr.ch/development/governance.html>
- Universal Declaration on Human Rights, articles 7, 21 and 22
- International Covenant on Civil and Political Rights, articles 2, 25 and 26
- International Covenant on Economic, Social and Cultural Rights, article 2
- Declaration on the Right to Development, articles 1, 2, para 3 and 8
- Millennium Declaration, paragraphs 13, and 24 ff
- [General Comment N° 12](#) of the Committee on Economic, Social and Cultural Rights
- [General Comment N° 25](#) of the Human Rights Committee

13. Disarmament, Demobilization and Reintegration and Rehabilitation (DDRR)

1. Are the human rights of all ex-combatants respected at disarmament and demobilization sites, including access to food, water, shelter, and medical care?
2. Are women and children identified at the disarmament stage and processed separately?

3. Are women and children housed in separate, self-contained and safe areas of demobilization camps where specialized services are provided?
4. Are there sufficient funds for reintegration? Are there special funds allocated to women and children ex-combatants and dependants?
5. Are education, vocational training and livelihood programs planned to meet the different needs of men/boys and women/girls? Are the special circumstances of young mothers associated with the fighting forces considered, including the immediate need to provide for their children?
6. What provisions are made for the reintegration of children associated with the fighting forces who bypass or are left out of the formal DDRR process—including those currently residing in neighbouring countries?

III. Checklist on Environment

Note: Example UNEP checklist of environmental issues is taken from the Sudan JAM.

1 Background

The United Nations Needs Assessment (NA) process for Liberia has identified the environment as one of the crosscutting themes to be addressed in all clusters/sectors of the NA. UNEP has been identified as the lead agency for environment. This note describes the proposed UNEP approach and provides specific guidelines to individual clusters on incorporating the environmental issues in their reports.

2 UNEP's Approach

Based on the lessons learnt from the recently concluded Iraq needs assessment, UNEP proposes a focused approach to assess the environmental needs in Liberia and to integrate them into the various sector reports. UNEP will assist in the NA process by:

- Compiling an Environmental Aide Memoir and Response Form to assist in the cross-sectoral identification of environmental issues (See Appendix I)
- Identifying preliminary environmental issues in key sectors (See Appendix II)
- Providing details of UNEP contacts to Focal Points of each sector so that they can draw upon UNEP's expertise (See Appendix III)
- Conduct in-country mission to interact with local stakeholders, country team and other NA team members to identify areas of concerns and possible improvement. (4-15 December)
- Provide feedback to each of the sectors/clusters during/after the mission, regarding environmental issues of importance
- Participate in the review of each of the sectoral NA reports (as and when the reports are available)
- Contribute to the synthesis report on needs assessment by integrating the environmental issues identified in all sectors (Subsequent to the review of the sectoral reports).

Appendix I: Environmental Aide Memoir and Response Form

UNEP has developed an Environmental Aide Memoir and Response Form for use by all the Sector Focal Points and Cluster Co-ordinators in the production of their reports. The *aide memoir* component aims to ensure that the environmental issues relevant to that sector are captured during the compilation of the sector report. During this period, task managers should also consider what are the major constraints to achieving tangible improvements in addressing the identified environmental concerns. In particular, a distinction between whether the bottleneck is lack of good governance structures (legal framework, enforcement mechanism) or resources (infrastructure, funding, technical expertise, know how) will be most helpful in assisting UNEP to propose optimal strategies for intervention.

In addition, by providing short answers (no more than 3-4 sentences per question) the Sector Focal Points will assist UNEP to evaluate factors that are common to all sectors. An analysis of the answers across all sectors will form part of UNEP's Environment Theme Report that will be submitted to the Needs Assessment Coordinator on the 22 December.

AIDE MEMOIR AND RESPONSE FORM: to be completed by all Sector Focal Points and Cluster Co-ordinators and forwarded to UNEP prior to the conclusion of the sector and cluster reports	
A	Environmental Issues
1	What are the four most important environmental issues and concerns associated with this sector? (List only four, in decreasing importance; the issues can be local/regional/international)
2	What are the top three constraints to addressing these issues within this sector?
B	Policy Framework
3	<i>How does the current policy framework applicable to this sector address the key environmental issues identified above?</i>
4	Is this done adequately? If not, what can be done to remedy this in the timeframe envisaged in the Needs Assessment?
5	What are the regional and international commitments of the country associated with this sector?
C	Government Institutions
6	How are environmental issues dealt with by the administrative structure currently responsible for this sector?
7	What is the current status of research/academics dealing with environmental issues associated with this sector?
8	Are there other civil society institutions (both local and international) working with environmental issues in this area?
D	Institutional Resources
9	Do the institutions have adequately qualified staff to manage the environmental issues?
10	Are the resources allocated to this sector sufficient to address the environmental issues?
11	Are the individuals empowered to act on the issues?
E	Links to Other Sectors
12	Which other sectors have linkages with this sector that result in positive or negative environmental consequences?
13	Will policy initiatives in this sector lead to environmental impacts in another sector?
F	Effectiveness
14	Are the environmental issues associated with this sector adequately managed?
15	What are the consequences of not addressing these issues adequately?
16	Are environmental issues associated with this sector a matter of concern needing focused attention and resource allocation?

Appendix II: Preliminary environmental issues in key sectors

Based on the review of the clusters provided by UNDG, UNEP have identified the following sectors where environmental issues are likely to be of importance.

1. Good Governance and Democratic Development, in particular Building of Democratic Institutions and Governance Reform Commission
2. Basic Services (Community water, sanitation and solid waste, Health and nutrition, education)
3. Restoration of productive capacity (livelihoods, employment and community driven development, agriculture and community)
4. Infrastructure (Power, Road, Port, airport, housing and shelter)
5. Economic Policy and Development Strategy (Private Sector Development, investment climate, policy for investment in natural resources (forestry and mining)

A preliminary list of environmental issues in these sectors is presented below.

1 Good Governance and Democratic Development

- Institutional framework for environmental management and linkages between national, provincial and local level environmental authorities
- Environmental policies, laws, and standards
- Improvement of the administration of environmental legislation
- Institutional capacities and expertise for environmental management, environmental inspectorate
- Inter-ministerial coordination and information sharing mechanisms for environmental activities
- Donor coordination and information sharing mechanisms for environmental activities
- State of the environment information (historical and current)
- Land tenure/ownership status of natural resources and land-use planning procedures
- International and regional environmental agreements and transboundary cooperation
- Re-integrating with the environmental management systems of adjacent countries to develop a regional response to environmental issues.
- Environmental stakeholders and civil society organizations

2 Basic Services

2.1 Community Water, Sanitation and Solid Wastes

Availability and access to safe drinking water (quantity/quality)

Sewage collection, treatment and disposal (infrastructure, performance)

Availability of sanitation facilities (access/maintenance etc.)

Solid waste disposal facilities including management (supervisors, funds, crew availability, etc), plant/equipment (collection vehicles, maintenance, dozers, etc.) and disposal facilities (landfill status- open, closed, overfilled)

Availability and suitability of the disposal of clinical waste (including incinerators), demolition wastes (including potential impact of asbestos), hazardous waste (including oil wastes from industry and oil-filled trenches) and military waste (including burnt-out vehicles, UXO, and mines cleared during demining exercises)

Opportunities for recycling and re-use of waste (scrap metal, plastics)

2.2 Health and Nutrition

Prevalence of water borne diseases

Cooking fuels and indoor air pollution,

Occupational health issues in mining industry

Urban air pollution

2.3 Education

Environmental curricula in schools and universities (biology, geography etc.)

Public awareness campaigns on environmental topics

Higher and vocational training for environment protection (as environmental technicians, inspectors, officers etc.)

Media capacity for information dissemination

3 Restoration of Productive Capacity

3.1 Livelihood, employment and community driven development

- Impact of unemployment on natural resource exploitation (illegal logging, mining etc)
- Creating rapid working opportunities on environmental sector (waste collection and treatment, recycling, reforestation)
- Village level environmental rehabilitation, including reforestation
- Community based conservation

3.2 Agriculture and Community

- Environmental management in agro industries (rubber, food processing etc.)
- Use of pesticides and fertilizers (use of illegal/persistent pesticides, awareness of farmers)
- Environmental impacts associated with the clearance of new lands for agriculture and of re-opening farming lands previously abandoned due to the conflict
- Storing and disposal of old pesticides and other agrochemicals
- Ground- and surface water use for agriculture (efficiency of irrigation schemes, dropping of groundwater levels)
- Traditional farming practices, such as slash and burn and impact on environment
- Communal forest management

4 Infrastructure:

4.1 Power

- Environmental Management in Power plants
- Current and potential use of renewable energy
- Environmental norms for new power plants

4.2 Roads, Ports and Airport

- Environmental Assessment for major infrastructure projects
- Infrastructure upgrades and urban congestions

4.3 Housing and Shelter

- Environmental impacts of returning Refugees and IDPs
- Urban environmental problems
- Environmental impact assessment needs for urban development projects
- Environmental impacts of urbanization and transport
- Spatial planning

5 Economic Policy and Development Strategy

5.1 Public Sector, Budget and Financial Management

Assessment of environmental issues associated with economic policies and inter-sectoral linkages, in particular policies relating to:

- Agriculture (fertilizer pricing, agriculture subsidies etc.)
- Transport (fuel pricing, taxes etc.)
- Energy sector (electricity pricing, fuel subsidies etc.)

- User fee for environmental services (waste, sewage)
- Fee for natural resource use
- Ensuring adequate environmental safeguards are present despite the pressure to increase revenue sources (especially from timber) during the reconstruction phase

5.2 Private Sector Development, Investment Climate, Policy for Investment in Natural Resources

- Environmental Safeguards during privatization of logging and mining concessions
- Addressing
- Prevention of deforestation
- Environmental assessment procedures for new investments and environmental norms for the industry
- Environmental impacts associated with unregulated logging (loss of biodiversity and habitat, links between logging and the bushmeat industry)
- Need assessment of specialized environmental infrastructure (industrial waste management centers, common effluent treatment plants)
- Promotion of environmentally responsible investment

IV. Checklist on Security

(to be elaborated by UNDP/UNDG)

Annex 28: Unit cost matrix

(see attached electronic version of excel-spreadsheets)

***Annex 29: Generic guidelines & outline for stakeholder workshops
within PCNA***

Overall Aim:

- Give key partners in the country the possibility to comment on preliminary assessment of a sector within the PCNA

Participants:

- PCNA Coordinator
- Sector Managers and Sector Specialists
- Selected participants from politics, business and civil society

Responsibility for Preparation:

- Sector Manager

Time Frame:

- At least 1/2 day, better one full day

Venue:

- A centrally located venue in the country should be sought which is not connected to a conflict party's premises and allows access and well-being especially for participants from civil society

Background Material:

- Sector results

Material needed:

- Beamer or OHP for introduction of material
- Minimum 3 soft boards and visualization material (cards etc.)
- Flipchart

Outline

Task	Rationale / Objective	Time Frame	Major Steps
Introduction to the Context of the PCNA and the function of the day	Have participants understand the political background mandate for the PCNA and the role of feedback mechanisms	30'	<ul style="list-style-type: none"> ➤ Background to the Political Evolution of the PCNA ➤ Explanation of the workshop outline
Introduction to the PCNA overall results	Make participants understand the general framework and results of the PCNA even if preliminary	15'	<ul style="list-style-type: none"> ➤ Explanation of PCNA results in detail ➤ Short Q and A session
Introduction to the PCNA sector results	Have participants understand key findings of the respective sector team	30-60'	<ul style="list-style-type: none"> ➤ Detailed presentation of sector findings ➤ Explanation of cross-cutting issues
Discussion of results in individual groups	Have representatives express their views on the findings and discuss with team members in groups according to group affiliation or in mixed groups	120'	<ul style="list-style-type: none"> ➤ Divide in several small groups ➤ Encourage people in the groups to comment on the presented results ➤ Document feedbacks
Feedback from discussion groups into the plenary	Have one person per group rapport major discussion lines	15' per group	<ul style="list-style-type: none"> ➤ Short presentation on flipcharts of group feedback ➤ Final comment from the team
Clarification of further proceedings of the PCNA	Explain to representatives how their feedback is further made use of and how the overall process leads up to the donor conference	15'	<ul style="list-style-type: none"> ➤ Overview on berner or OHP of further process ➤ Explanation of the process
Further issues for clarification	Possibility to answer open questions	30'	<ul style="list-style-type: none"> ➤ A.O.B.
Wrap-up and feedback	Get a feeling about usefulness of the workshop and how to further improve it	15'	<ul style="list-style-type: none"> ➤ Short request to participants to give their opinion of the day (“selective flashlight”) ➤ Final words by coordinator

Annex 30: Guidance note on planning and costing⁹

1 Background

The prime objective of a PCNA is to provide a multi-sectoral, technical overview of the main development and reconstruction needs and priorities for peace building and recovery. In doing so, the PCNA will also feed into the budget process, providing information on current and future resource requirements. Within this context, the objectives of the planning and costing exercise are to:

- Identify priority needs and desired results that require urgent attention in order to achieve set development and poverty reduction goals.
- Inform and guide the commitments and pledges at donor conferences.

The scope of the planning and costing exercise will extend to:

- Plan and cost priority needs that should be addressed within the first two years
- Estimating recurrent (including salary) and capital costs

Needs and funding requirements should take account of regional imbalances in access to basic services and productive assets, institutional capacity, security, and living conditions. Absorption capacity should be considered in determining the timing and pace of disbursements and by initiating capacity building programs.

2 Template for planning and costing: Results Based Planning Framework (RBPF)

For the planning and costing purpose a results based approach is used. To this end, a spreadsheet template, the “Results Based Planning Framework (RBPF)”, has been developed. It is to provide a uniform planning and costing format across the sectors and clusters (see annex 31).

The template links the sector goal and target outcomes with interventions and measurable indicators and allows specifying required financial resources. It aims at helping sector and cluster-teams to produce consistent and realistic cost estimates, linked with results.

2.1 The Priority Area Registers (1-10)

2.1.1 The Planning Matrix

The sector teams are asked to use this template to document the identified needs expressed as objectives (development goals, target outcomes and interventions (outputs)) with their corresponding indicators.

Wherever possible, the indicators should be based on the MDGs as well as other internationally agreed-upon targets. In cases where no international consensus on indicators and targets exist, sector specialists have to contribute with “own” key parameters and targets. Where relevant, indicators, targets and the corresponding interventions need to be disaggregated by age and gender as well as by urban and rural areas.

The descriptive chapter on the sectors and clusters in the report has to elaborate in addition on:

1. Critical underlying assumptions and risks for the outcomes and interventions as listed in the RBPF
2. Key actors (national authority or organization) responsible for the achievement of the listed outcomes and the implementation and monitoring of the interventions

The spreadsheet template features the following section to be filled by the sector teams:

⁹ The guidance note profited from templates and notes prepared for the Liberia and Sudan needs assessment by the Transition Recovery Unit of UNDP.

I Outcomes

The needs to be addressed within the post-conflict reconstruction phase are given by the priority areas/issues as derived from the deficit analysis. They should include also capacity building requirements of sector authorities and organizations. For the RBPF they need to be expressed as outcomes¹⁰ and made specific and operational through corresponding indicators with quantified target figures. The format provides for a bi-annual breakdown over a 2 year period.

Each priority area of a sector has its own spreadsheet register ("Priority 1-10"). The envisioned outcome and corresponding indicators are entered for each selected priority area in section I "Outcome(s)".

For monitoring purposes, measurable results or indicators need to be carefully selected. These indicators will be monitored regularly. Selection of indicators should be governed by considerations of relevance, reliability, and availability.

For MDG oriented objectives, annex 36 (MDG Indicators) provides a list of the millennium development goals and their indicators. Various sector objectives and related suitable indicators can further be found in annex 33 (Sector Performance Indicator List). General help on the selection and formulation of indicators is provided in annex 34 (Selecting Indicators).

II Interventions (outputs)

To close the identified gaps i.e. to achieve the planned outcomes, corresponding interventions or programmes (outputs) have to be identified. A comprehensive list of possible interventions for areas covered under the MDGs is given in annex 35 (List of Interventions for MDGs). Orientation for further sectors may be found in annex 33 (Sector Performance Indicator List).

The interventions, broadly defined as the provision of goods and services as well as infrastructure, need indicators (time-bound targets/expected outputs) to help to measure and verify the delivery of outputs. Output indicators are useful to follow up on the progress of implementation. They also provide a suitable basis for costing.

Analogous to the outcomes, target figures for the selected intervention indicators can be entered for bi-annual periods over the 2 year reconstruction phase. In addition a costing field is provided.

2.1.2 Costing

The costing follows a bottom up approach based on the identify interventions. Some principles to guarantee a consistent cross-sectoral costing approach are given in chapter 4.2 of the handbook.

For each listed intervention (section II: "Main Interventions") of a priority area, a field is provided, where the total cost to implement the intervention can be entered. The financial requirements may be spread over a two year period allowing a bi-annual breakdown, concurrent with the indicator targets. Sector specialists will need separate detailed calculations on e.g. local unit costs, population to be reached, etc. to calculate this summary figure. Some hints on detailed costing structures and unit costing are given below.

¹⁰ The outcomes represent the link between the longer-term / higher order goals (strategic sector goal(s): to be described in the report) and the results expected from the suggested interventions. The various outcome statements address the different needs identified during the analysis and are seen as critical to overcome the post-conflict situation and will contribute to achieve the envisaged strategic goal(s). The outcome statement answers the question "What outcome will be achieved if the proposed interventions are carried out?" The outcomes directly relate to the sectoral key areas/issues.

2.2.3 The Finances

Table A: “Priority Area Financial Needs” has to be filed with the financial requirements” resulting from the detailed calculations. The total of each priority sector requirement has to be broken down into three categories (a) Capital Investments, (b) Total Recurrent Expenditures and (c) Technical Assistance. This allows an efficient donor pledge and can support national budgeting.

Table B “Existing Finances” reflect a simple **financing strategy** for meeting the calculated resource requirements. It distinguishes between three sources of funding: (i) out-of-pocket expenditure by households (user fees, duties). (ii) domestic government resources, and (iii) external finance. Where appropriate, a distinction is made between (a) “Capital Investments”, (b) Total Recurrent Expenditures and (c) “Technical Assistance”.

(i) Private out-of-pocket spending

Private out-of-pocket contributions in form of user fees and duties should be considered if they do avoid wasting scarce resources. For example, a strong case can be made that users should pay the marginal cost of providing water and energy services beyond satisfying the most basic minimum needs. But they also should not exclude the poor from critical services.

On this basis, user fees should not contribute to the cost of primary school education, adult literacy programs, improving gender equality, basic healthcare, nutritional interventions, and transport infrastructure. In turn, households should bear some of the cost of agricultural interventions, secondary school education, energy provision, water supply and sanitation.

Due to extreme levels of income poverty in post-conflict countries, where as much as 40 percent of the population can be below the national poverty line, user fees could be targeted and applied to better off population strata only.

(ii) Government spending

Since the estimation of the financial resources for meeting the needs was inclusive (total vs. incremental), current allocation of government spending need to be taken into account. Data can typically be taken from government sector budgets.

(iii) External finance

As domestic resources by governments and households will by far not cover the full cost of interventions required to meet the needs, additional external resources are necessary.

To calculate the external finance required for each sector, domestic resources mobilized by households and governments will be subtracted from the total financing needs. Incremental donor support for the recovery phase is then calculated as the difference between total external finance needs and current donor assistance, such as committed funds through e.g. humanitarian aid (CAP) or ongoing programmes like Food for Oil in the case of Iraq.

Finally **table C “Incremental Financial Requirements”** sums up the actually needed incremental financial resources to finance the planned interventions. To this end, existing funds (table B) are subtracted from the financing needs of the priority areas (table A).

2.2 The sector summary page

While each priority area has its own spreadsheet page (register), it is the first page that summarises the financial requirements for the entire sector.

It is also used to document the overall development goal, towards which the different outcomes will contribute in the short, medium and long term.

2.2.1 Sector Development Goal

To this end the top table has to be filled with the envisaged **development or strategic goal** towards which the sector is undertaking all interventions as described in the different priority area registers.

The first column addresses thus the question of what are the strategic long-term goal(s) to provide the perspective for the reconstruction effort. They reflect wherever applicable MDGs and the commitments, goals and targets of the Millennium Declaration and international conferences, summits, conventions and human rights instruments of the UN system. Orienting the reconstruction efforts towards this perspective gives the exercise an internationally agreed frame and allows development efforts of later phases to build conceptually on the reconstruction phase. Both, the World Bank group and the UN system use the MDGs and related goals as their development visions for their planning frameworks CAS and CCA/UNDAF, respectively.

Indicators of the medium and long term sector goals are documented in the two right most columns. They usually measure the intended impact – such as reduction in poverty levels, GDP growth rates, infant mortality, etc. For the different time horizons the indicators values will have to be adjusted.

To operationalize this vision for the reconstruction phase, the used medium and long term impact indicators are adjusted to levels that can be realistically achieved during the reconstruction phase resulting from the planned interventions. Column 2 thus holds target figures of the impact indicators for the short term vision. The indicators should mention the current baseline figure to be able to measure progress over time.

2.2.2 Finances

The summary spreadsheet page replicates the financial tables of the priority areas, aggregating their figures.

- (1) **Table A “Grand Total Sector Priority Needs”** sums up all financial requirements of the described priority areas.
- (2) **Table B “Grand Total Existing Finances”** summarises the already identified existing financial resources
- (3) **Table C “Total Financial Requirements”** calculates the actually needed total financial resources to be requested by the donors to finance the recovery and reconstruction phase for the given sector/cluster. To this end, existing funds (table B) are subtracted from the gross total financing needs (table A).

3 Breakdown of sector/cluster costs

To arrive at the summary costs of the RBPF, sector specialists will need to carry out separate detailed calculations on the financial demands of the sectors for the planned interventions. For transparency reasons it is important to explicitly document all assumptions used for the calculations.

To be instrumental for the budget planning of the government the following cost categories and items should be considered:

Capital Investments

1. Investment requirements, including estimated procurement cost and local availability. (Expenditures on capital assets, including one-off expenditures on durable goods purchases (construction of schools, infrastructure, durable school equipments, etc).
2. Required purchases and specification of goods & services. Estimation of procurement cost, and country availability.

Recurrent Costs

3. Required staffing; distinguishing between (i) civil servants, (ii) local and (iii) international consultants, detailing:
 - Pay scales for various categories of staff
 - Brief mentioning of staffing qualifications (for cost consistency purposes)
4. Maintenance requirements, including estimated cost and local availability (recurrent expenditures to cover the cost of operating and maintaining capital assets).
5. Recurrent expenditure on non-staff services (transport, telecommunication etc.).
6. Recurrent expenditures on goods purchases, including strategic consumables (medicines, fertilizer, school material such as stationary, etc.).
7. Other recurrent costs.

Exiting Financial Resources

8. Expected revenue from user fees, duties etc.
9. Committed external financial contributions (CAP, TA, bilateral programs etc.).

4 Unit costing and baseline quantities

Unit costs and baseline figures are in most cases needed for calculating costs and needs required for reaching specified target outcomes (in some cases the millennium development goals). Since those figures vary from country to country, they have to be determined in each case either by a core team prior to an assessment or by the sector specialists themselves.

National statistics, sector budgets, existing surveys and other secondary sources can be used to compile this information. Examples of such preparatory work for Ethiopia and Sudan are given in annex 29 (Unit Cost Matrix).

Annex 31: Results-based planning framework

(see attached electronic version of excel-spreadsheets)

Annex 32: Sector performance indicator list

Source: Asian Development Bank, Project Performance Management System (PPMS), Guidelines for Bank Staff, Manila 1999, adopted.)

The information is set out by sector and within each sector, the indicators are portrayed to relate them to possible

- *Project Goal* (also called sector impact
- *Project Purpose* (often called end of project impact or effect)
- and
- *Project Outputs*.

Outputs are taken to refer to infrastructure, institutional strengthening and capacity building or policy. Indicators are not exhaustive but instead representative of possible choices.

Sectors covered are:

Agriculture Communications Energy Education Finance Housing	Industry Population And Health Ports And Railways Roads And Airports Urban Development Water
Cross Cutting Concerns covered are Environment Governance Poverty Regional Cooperation Women in Development	

AGRICULTURE

Project Purpose (or end of project impact)	Indicator
Project Goal (or Sector Impact)	Indicator
Reduce rural poverty	change in the number (or percentage) of rural households below the poverty line change in the average household income of rural households % of poor in the rural sector trend in the number of employed persons in the rural sector
Increase value of agricultural production	agricultural GNP as % of total GNP Agricultural export value as % of all exports population sustained relative to project area
Project Purpose (or end of project impact)	Indicator
Adoption of better farming techniques	cropping intensity increased yields (tonnes /per ha.) per crop type annual irrigation delivery per ha. milk yield per cow per annum % of farming areas devoted to different crops % of farmers taking up new technologies
Better management of the environment	reduction in the kgs of pesticides per ha. (or in total for target area) % change in the deafforestation rate (or % change in the area under forest cover) soil fertility index
Utilisation of previously uneconomic areas	area under cultivation as % of project area
Increase value of agricultural production	agricultural GNP as % of total GNP Agricultural export value as % of all exports population sustained relative to project area
Project outputs	Indicator
<i>Infrastructure</i> construction of irrigation channels and systems, access roads, foot bridges, spillways, water supply, supply of farming equipment, reforest areas,	kms of irrigation channel, kms of roads, number (or length) of foot bridges, meters of spillways, number of water connections, quantity of farming equipment, areas of reafforestation
<i>Institutional Strengthening</i> farmer training, farm extension services, research, market intelligence systems, cooperatives formed, community involvement, rural finance services, computerisation, rationalisation of number of organisations	number of farmers trained, existence and volume of extension services, number of research projects completed, existence of market intelligence system, change in the number of "farming" organisations, increase in the amount of rural finance available, change in the participation rates in community based farming organisations, number of completed cadastral studies, presence of a geographical information (GIS) system etc

<i>Policy</i> tenure and land rights, subsidies to the farming sector,	tenure proposals/law created and passed, pricing structures developed, average \$ subsidy per farmer/rural household varied
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COMMUNICATIONS

Project Goal (or Sector Impact)	Indicator
Economic growth	
Minimum living standards	
Project Purpose (or end of project impact)	Indicator
Improve the quality of services	
Improve access to communications	% change in the number of villages/population per telephone point % volume of traffic (destination-origin surveys)
Improve efficiency of communication service providers	% change in communication tariffs
Project outputs	Indicator
<i>Infrastructure</i> construction of towers, laying of transmission lines, power equipment, subscriber distribution facilities, spares and test equipment, public call office, microwave equipment	infrastructure in place
<i>Institutional Strengthening</i> training, systems, computerisation, downsizing	number of persons trained, systems implemented, reduction in personnel
<i>Policy</i> user pays, private sector delivery of services, regulations, corporatisation, privatisation	policy in place, regulations in place, franchise agreements in place

EDUCATION SECTOR

Project Goal (or Sector Impact)	Indicator
Availability and employment of a skilled workforce	number of graduates/vocational trained persons per 1000 population number of graduates unemployed as % of all graduates number of retrained workers
Minimum education standards	adult illiterates as % of population % population according to educational attainment
Project Purpose (or end of project impact)	Indicator
Improve the quality of education	pupil : teacher ratios average class size % passing final examinations ratio of textbooks to students ratio of qualified teachers to unqualified % schools without facilities (drinking water, toilet, electricity, playgrounds, computers, etc) % of graduates studying overseas
Improve availability of education	unenrolled school age children as % of school age children gross enrolment ratio % enrolled in primary, secondary, tertiary education % enrolled in pre employment training average number of years of schooling
Improve efficiency of education	unit cost per student school drop-outs as % of school population
Improve the equity in education	% enrolments by gender % enrolments by family income level % enrolments by location (urban, rural) (consider regional distributios/comparisons)
Improve effectiveness of industry	hours of vocational training for employed persons
Project outputs	Indicator
<i>Infrastructure</i> construction of classrooms and schools, maintenance of a school network, schools equipment (computers etc), provision of textbooks	number of classrooms meeting certain conditions numbers of computers numbers of textbooks classroom space utilisation rate
<i>Institutional Strengthening</i> teacher training, implementation of better systems, computerisation, curriculum development, staffing levels, parent participation, delegation of authority, setting performance standards	<i>Efficiency</i> % trained/untrained teachers % teachers by years of service % teachers by educational attainment incidence of teacher absenteeism teaching load (hrs pa) per teacher number of pupils per teacher teacher skills match to subjects taught ratio of teachers to all educational staff existence of up to date curriculum existence of competency standards
<i>Policy</i> Teacher-student ratios, fees,	% recoupmnt of education costs

private sector provision,	% students in private sector to all students
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ENERGY

Project Goal (or Sector Impact)	Indicator
Greater industrial activity	% growth in mwh provided to industry
Improve environmental conditions	environmental measures such as clean air, particulates etc
Minimum living standards	average kwh per capita of population
Project Purpose (or end of project impact)	Indicator
Improve the quality of services	time off supply per annum voltage regulation variations extent of load shedding
Improve access to services	% of households connected consumption (kwh) per urban/rural/etc mwh per annum per capita backlog of connections
Improve the tariff structure to achieve economic and equity goals	% change in Tariffs for electricity for different classes of users and/or for different time periods customer cross subsidies eliminated
Improve efficiency of providers	% operating costs recouped by charges employees per mwh or connection unplanned duration of outages per annum % of capacity utilised (peak, offpeak) transmission and distribution system losses (% metered to sent out) average load factor % of power demands met by private sector
Project outputs	Indicator
<i>Infrastructure</i> construction of generation plants, transmission lines, distribution networks, metering, sub stations, communications,	kms of transmission lines, distribution lines, installed MW of capacity,
<i>Institutional Strengthening</i> training, systems, computerisation, downsizing	<i>number persons trained, systems installed, number of providers, fewer staff</i>
<i>Policy</i> user pays, debt servicing, privatisation, corporatisation, legal, regulations	revised published tariffs, program for corporatisation or privatisation, regulations or Acts in place

ENVIRONMENT

Project Goal (or Sector Impact)	Indicator
Improve the environmental living conditions for the target population	reduction in cardiopulmonary diseases water quality
Increase tourism	reduction in damage to historic relics % increase in tourism
Project Purpose (or end of project impact)	Indicator
Improve the quality of air and water,	% pa reduction in coal consumption % pa reduction in TSP emissions % pa reduction in Sulphur Dioxide emissions % reduction in vehicle emissions % reduction in water pollutants
Improve the sustainable productivity of natural resources	
Improve access to parks, waterways,	parkway areas per population
Improve efficiency of environmental regulatory authorities	% gains in energy conservation % change in violations of regulations /prosecutions % cost recovery of EPA function
Project outputs	Indicator
<i>Infrastructure</i> more efficient heating, power systems, monitoring equipment, waste pre-treatment, building more environmentally effective plants, etc	number of physical units in place
<i>Institutional Strengthening</i> establish/improve Environmental Protection Agency, train staff in environmental management,	plans for environment protection
<i>Policy</i> implement Acts and regulations, (on vehicles, sewerage discharges, etc) pricing for energy, charges for polluters,	in place water, waste regulations, air emission standards, revised tariffs, etc

FINANCE

Project Goal (or Sector Impact)	Indicator
Encourage household savings	% of savings by households
Facilitate economic activity through a robust financial sector	% GDP from agricultural sector (rural finance) % GDP from industry sector (commercial finance) % growth in exports % economic growth number of new rural jobs created
Project Purpose (or end of project impact)	Indicator
Improve the quality and range of services	analysis of loans by type equity market operational stock exchange operational bond market in place options and futures in place
Improve access to and supply of finance	number of branches per 10,000 population lending volume and interest rates to rural sector % of directed loans to all loans % of funds for onlending from pension/provident funds volume of finance available to exporters volume of finance available to small business enterprises % finance from foreign currency sources % finance from private sector banks
Improve efficiency and prudential governance of finance sector	financial institution risk ratings supervision program in place costs of administration as % of lending change and level of bank fees % of banks which are private (or being privatised)
Project outputs	Indicator
<i>Infrastructure</i>	
<i>Institutional Strengthening</i> creation of rural credit entities, personnel training, creation of larger units, creation of stock exchange, regulatory bodies, financial restructuring of entities, implement risk management,	% non performing loans existence and application of key processes % of bank failures existence of new/revised/privatised bodies change in time to process certain transactions (ie process loans)
<i>Policy</i> <i>legal framework, regulatory environment, accountability, transparency, foreign exchange controls, interest rate setting, import licensing</i>	Financial Acts, Regulations,

GOVERNANCE

Project Goal (or Sector Impact)	Indicator
Economic growth	increase in the growth of GDP increase in enterprise profitability
Project Purpose (or end of project impact)	Indicator
Greater compliance with good governance practices	% of companies complying with corporate legislation and regulations % increase in public confidence in institutions institutional rankings by international agency % of public bodies complying with practices such as competitive tendering report of the Auditor Commission (or equivalent)
Greater awareness of good governance practices	
Improved capacity to service population	Incidence of use of foreign expertise
Project outputs	Indicator
<i>Infrastructure</i>	
<i>Institutional Strengthening</i> training, improved systems and processes, computerisation, rationalisation	persons trained, governance processes in place, vacancies in key roles filled, audit committees, Cabinet decision making processes, in place institutions for law and order, consumer protection,
<i>Policy</i> Laws and regulations, model company charters, accounting standards promulgated, public sector employment practices,	implementation of laws (ie corporate, bankruptcy) business regulations, cost reflective or competitive prices, monopoly regulations,

HEALTH

Project Goal (or Sector Impact)	Indicator
Increase the life span of the population	average life expectancy at birth infant mortality rate under 5 mortality rate maternal mortality rate fertility rate
Increase the productivity of industry	days lost through accidents days lost through incidence of diseases cost of workers compensation for illness
Project Purpose (or end of	Indicator

project impact)	
Improve health services capacity and quality	physicians per 10,000 population hospital beds per 10,000 population nurses per 10,000 population number of health survey teams
Improve access to health services	% of population served [by region, district] % of the "poor" served average number of medical visits per income group increase in prenatal attendances for pregnant women % change in supervised deliveries
Improve efficiency of health providers	health cost per capita average length of hospital stay backlog of patients awaiting hospital admission drug usage ranking of provinces by health utilisation
Reduce the incidence of specific health conditions	reduced measles incidence reduced respiratory infections reduced incidence and severity of malaria reduced incidence of tuberculosis reduction in low birth weight
Achieve more manageable population growth	birth-rate
Project outputs	Indicator
<i>Infrastructure</i> construction of hospitals, clinics, medical teaching facilities, acquisition of specific equipment, communications, drugs	number of hospitals, number of hospital beds, number of clinics, number of specific pieces of equipment, communication network, health centres, etc
<i>Institutional Strengthening</i> training, systems, computerisation, implement specific programs, decentralisation, hospital classification,	<i>number of doctors, nurses, para-medicals trained</i> <i>medical records, vaccination program coverage,</i> implementation of specific programs, number of specialist teams created, health and hospital boards created, drug procurement processes.
<i>Policy</i> user pays, private sector delivery of health services, regulations, health insurance schemes	policy in place, Acts or regulations in place, number of private sector providers, share of funding for urban/rural, health priorities set

HOUSING

Project Goals (or Sector Impact)	Indicator
Better health standards	(see health)
Minimum living standards	% of population with a set standard of shelter
Project Purpose (or end of project impact)	Indicator
Improve the quality of housing	% change in number of slum units replaced by new housing % change in sq metres per person in household
Improve access to housing	% change in the volume of lending for housing made to low income families (direct and indirect) % change in loans made to home based workers (weavers, cottage workers)
Improve efficiency of housing financial providers	measurement needed
Project outputs	Indicator
<i>Infrastructure housing</i>	housing units
<i>Institutional Strengthening</i> training, systems, computerisation, upgrading office facilities, creation of new entities, improving linkages between housing finance entities	<i>number of people trained preparation of corporate plans, number of computers installed, systems installed (for budgeting, etc), procedures developed (for procurement, disbursement, contract management etc), new organisation structure implemented</i>
<i>Policy</i> user pays, debt servicing, private sector service provision, regulations,	policy in place, regulations in place,

PORTS

Project Goal (or Sector Impact)	Indicator
Economic growth	% growth in Provincial GDP
Minimum living standards in area served by port	% change incomes of households % change in unemployment levels
Project Purpose (or end of project impact)	Indicator
Improve the quality of services	reduction in ship turnaround times % services provided by private sector capacity for bulk/break bulk cargoes capacity for container cargoes
Improve access to markets	increased throughput (million tonnes pa) % increase in specific cargo types % change shown in the origin-destination cargo tonnes
reduce costs of shipping	reduction in freight rates productivity- cargo tonnes/ship-day berth occupancy ratio
Project outputs	Indicator
<i>Infrastructure</i> construction of new berths, widen, deepen channels, creating turning basins, construction wharves, acquiring equipment (cranes, forklifts, tractors, trailers etc) creating road, rail access, land reclamation, environmental monitoring systems	physical assets in place and operational
<i>Institutional Strengthening</i> training, systems, computerisation, upgrading office facilities	<i>number of people trained preparation of corporate plans, number of computers installed, systems installed (for budgeting, etc), procedures developed (for procurement, disbursement, contract management etc), new organisation structure implemented</i>
<i>Policy</i> user pays, private sector delivery, regulations, pricing policy,	policies in place, regulations in place, tariff proposals, privatisation in place

POVERTY

Project Goal (or Sector Impact)	Indicator
Lower incidence of poverty	% of population below the poverty line spread of income by households % of rural dwellers below poverty line average wage of rural laborer
Minimum living standards	% of population with certain basic services (water, sanitary disposal, etc)
Project Purpose (or end of project impact)	Indicator
Improve the employment opportunities for the poor	% unemployment adult literacy rate
Improve access to amenities	% of poor with access to well/piped water % enrolment in schools from poor households infant mortality rate
Improve the living conditions of the poor	floor area per person calorie intake per day
Project outputs	Indicator
<i>Infrastructure</i>	
<i>Institutional Strengthening</i>	
<i>Policy</i> Laws and regulations, pricing of services,	

RAILWAYS

Project Goal (or Sector Impact)	Indicator
Economic development	% change in specific production (ie coal) % increase in employment % GDP from region affected by rail service
Minimum living standards	increase per capita income reduce incidence of poverty to % of population
Project Purpose (or end of project impact)	Indicator
Improve the quality of services	% change in average wagon turnaround times (days) % change in route kilometers
Improve access to services	% change in passenger-kilometers % change in freight tonne - kilometers % change in origin -destination tonnes (to demonstrate provision of services to local suppliers)
Reduce costs of rail services	% change in operating ratio (O&M to revenues) % change in tariffs/prices

Project outputs	Indicator
<i>Infrastructure</i> construction of new rail lines, signalling and other equipment for operation, rolling stock, freight and passenger handling facilities, construction of link roads	km of line, installation of equipment,
<i>Institutional Strengthening</i> training, systems, computerisation, upgrading office facilities	<i>number of people trained preparation of corporate plans, number of computers installed, systems installed (for budgeting, etc), procedures developed (for procurement, disbursement, contract management etc), new organisation structure implemented</i>
<i>Policy</i> user pays, private sector delivery of services, regulations, corporatisation, privatisation	policy in place, regulations in place, corporatisation effective,

ROADS AND AIRPORTS

Project Goal (or Sector Impact)	Indicator
Economic growth through greater production of agricultural products	change in extent of land usage and crop type (shift to commercial from subsistence) judged by change in ha. under different crops and change in total ha. under cultivation. change in commercial tonnage using road network increase in the value of agricultural (could be specific) products
Better health of population served by road network	incidence of specified diseases
Lower poverty in the region	change in the % of families below poverty line change in average rural household income
Project Purpose (or end of project impact)	Indicator
Reduce transport costs	change in passenger fares change in freight rates reduction in average travel time trend in road maintenance costs per km freighting costs of large commercial users roughness index (as a leading indicator) regulatory costs per vehicle
Improve access to social services	change in traffic patterns (by type of vehicle) change in origin - destination patterns social services -visitor origin analysis volume of traffic on market days
Safer travel	accidents by severity by cause per 1000 registered

	vehicles reduction in (road, airport) traffic congestion (key measuring points required)
Project outputs	Indicator
<i>Infrastructure</i> construction of (rehabilitate, strengthen) main, feeder and other roads, build or widen bridges, construct culverts, airport pavements, airport supporting infrastructure, airport access roads, airport equipment, safety barriers, road signage, etc	kms of road, culvert, meters of bridges, sq metres of airport pavement, numbers of pieces of equipment, meters of safety barriers, number of road signs, change in roughness index of project roads passability of roads (duration of road closures due to flooding or pavement failure etc)
<i>Institutional Strengthening</i> technical training, pavement or asset management systems, computerisation, upgrading office facilities, enforcing regulations,	numbers trained, systems made operational, computers installed, reduction in workforce, existence of scheduled maintenance plans, incidence of unscheduled maintenance events,
<i>Policy</i> user pays, road regulations, private sector participation in service delivery	policy in place, regulations in place, % of construction carried out by private sector, % of O&M carried out by private sector, % registered vehicles to all registered vehicles, % of O&M of road network funded by road user charges

URBAN DEVELOPMENT

Project Goal (or Sector Impact)	Indicator
Better health standards	loss of life due to flooding incidence of diseases traceable to poor sanitation incidence of intestinal infections death rate
Minimum living standards	% of population with certain basic services (water, sanitary disposal, etc) average housing price to income ratio parkland area as % of municipality area
Project Purpose (or end of project impact)	Indicator
Improve the quality of services	hours of piped water supply availability per day rubbish collection frequency average traffic travel times (peak hours) between fixed points passable roads (not cut due to flooding) incidence of flooding of premises (number of households affected) household satisfaction index
Improve access to amenities	% of population served % of the "poor" served
Improve efficiency of urban service providers	cost of urban services per population served % annual operating costs recouped by user charges average price per household for urban services average time to provide designated services

	debt servicing charges as % of annual revenues Number of urban staff per 1000 population served number of urban organisations per 100,000 population maintenance costs as % of asset values
Project outputs	Indicator
<i>Infrastructure</i> construction of roads, water supply connections, water storage, metering, landfill sites, street drainage, river bank protection, dredging rivers, bridge construction,	km of road, number of connections, capacity of storage, capacity of landfill sites, km of drainage, km of river bank protection, km of river desilting and dredging, meters of road bridges,
<i>Institutional Strengthening</i> training, systems, computerisation, upgrading office facilities	<i>number of people trained preparation of corporate plans, number of computers installed, systems installed (for budgeting, etc), procedures developed (for procurement, disbursement, contract management etc), new organisation structure implemented</i>
<i>Policy</i> user pays, debt servicing, private sector delivery of urban services, regulations,	policy in place, regulations in place,

WATER SUPPLY

Project Goal (or Sector Impact)	Indicator
Improved health of population	incidence of illness due to water quality
Lower Government subsidies for water supply	\$ subsidy per population
Industry attracted by provision of water and sewerage services	% revenue generated from commercial usage
Project Purpose (or end of project impact)	Indicator
Urban More households with a reliable water supply	% of households with 24 hour connection average per capita consumption of water % of population served by public taps average hours per day supply customer satisfaction surveys
Households pay less for water supply	Change in price per litre % of household income used for purchase of water
More households are served by sewerage systems	% of households connected to sewerage system

Project outputs	Indicator
<i>Infrastructure</i> construction of pipelines, distribution systems, water storage, metering, upgrading of certain assets,	number of house connections kms of pipelines, storage capacity, number of meters,
<i>Institutional Strengthening</i> training, asset management, change in staffing levels, implementation of better systems, computerisation	<i>Efficiency</i> % water losses cost per connection or per m ³ water consumed assets per employee revenue per employee annual cost per capita for capital works
<i>Policy</i> cost reflective tariffs, private sector participation	% of operating costs recovered from user charges % of water volume from private sector

Summary of Project Sector Impact

Project (Sector) Impact	Indicator
Improved health of population	Incidence of illness due to water quality
Lower Government subsidies for water supply	\$ subsidy per population
Greater opportunity for education	increase in school attendance time previously devoted to carrying water now available for schooling
Project purpose (or end of project impact)	Indicator
Rural More households with a reliable water supply	% of population served by piped water supply average hours per day supply % of population served from dug wells/tube wells
More households are served by latrines	% of population served by latrines
Project outputs	Indicator
<i>Infrastructure</i> construction of piped water supplies, dug wells, tubewells, latrines	number of wells, number of latrines, km of piped supply
<i>Institutional Strengthening</i> training, asset management, change in staffing levels, implementation of better systems, computerisation	<i>Efficiency</i> % water losses cost per connection or per m ³ water consumed assets per employee revenue per employee annual cost per capita for capital works
<i>Policy</i> cost reflective tariffs,	% of operating costs recovered from user charges

INSTITUTIONAL STRENGTHENING

Many Projects include proposals to improve the capability and capacity of DMC organisations. They usually address one or more of these aspects of the organisation (s) :

- strategic and operational planning
- policy development
- processes and systems
- personnel skills

and will have responded to observed organisational weaknesses or a belief that the physical aspect of the Project cannot proceed unless the methods and personnel capabilities are also addressed.

Strengthening can have its outputs measured relatively easily (training has taken place, how many trained, systems installed etc) but it presents its own measurement challenge when it comes to assessing impacts.

Those impacts ought to emerge through:

- greater productivity
- faster response times
- improved quality such as fewer errors
- greater achievement than previously recorded of the organisation's performance goals (which may address the above issues)
- self sufficiency (for example, less reliance upon consultants)
- evidence of "best practice" management
- measurable improvement in the organisations' inventory of skills
- greater success rate in the management of Projects and
- acceptable ratings for the organisation when compared (using a generic diagnostic tool) with other organisations within and external to the country.

The measurement tools available to the organisation include one or more of these:

- productivity and quality measures
- skills inventory
- sample group tracking
- total organisation "best practice" diagnostic with scoring
- customer surveys

and these can be applied across the entire organisation or within a specific organisational unit (for example, Engineering Design Department or Finance)

Productivity measures

These are ratios of outputs to inputs so for example, it might be customers served/per staff member or kms of road built per EFT person (or cost). Choice of the measurement elements depends on the Agency. While there are macro measures of productivity used at the country level, this will usually not be familiar to an individual organisation so it is better to use indicators they can clearly understand and how to influence it.

Certain industries like Utilities use common indicators. It is difficult to find one indicator for a total organisation if that entity provides a range of major services (such as both construction and maintenance) although it is often preferable to find one that will substantially do the job as this helps to foster cooperation and shared goals between departmental units.

Quality measures

As the outputs subject to qualitative measurement (reliability of service, health prevention, education passes), usually needs some specification of service quality then that specification should provide the measurement basis. An example of failing to do this is one Project which

discusses improving levels of service and then failed to mention what the current levels are and what the planned levels are expected to be.

Skills inventory

This is possibly appropriate when there is going to be substantial training. What does the training expect to achieve? What competency levels ought to be achieved? After the individuals return to their workplace, what changed behaviour is expected?

Ideally, a Project should specify the competencies expected and establish the current and proposed skills inventory. For example, increase drafting skills from say 30 such people to 50 such people. It is a greater problem with management skills as these are harder to define in terms of competencies.

However, it is possible to consider tracking promotable candidates.

One impact of judging skill acquisition is the extent to which the organisation has to rely on consultants to provide what might be considered as core competencies (not the odd specialist).

Group tracking

This is a form of continuous monitoring of a sample group to assess over time whether

- training led to better performances,
- the individuals were promotable,
- the organisation's has retained their skills
- if any persons left it was not because they had been unable to apply their acquired skills in practice (other barriers like management styles and bureaucratic rules might have frustrated them) or the organisation

Targets could be set for skills retention, employee retention, percentage of senior management promoted from within (100% is not necessarily best) and possibly numbers of staff within certain competency grade levels.

Best Practice Diagnostic

This envisages using a tool such as the Baldrige Award criteria or the Australian Quality Award criteria. These criteria cover all the major facets of an organisation and seek to use qualified assessors or trained organisational personnel to conduct the diagnostic and assess an overall score.

A simplified extract from such a diagnostic will illustrate the coverage, relative significance (as evidenced by the maximum points) and the evidential methods and extract of a questionnaire.

It is set out at the end of this section.

This approach offers the opportunity to be comprehensive in the assessment of the organisation(s) and facilitates comparisons with other organisations. It also allows targets to be set and weaknesses identified more specifically than the generalisations which typically underpin institutional strengthening proposals.

However, it is not a simple case of using existing questions and scoring. Consideration should be given to how such an approach could be simplified and modified to suit the circumstances of DMCs.

This technique would also require a baseline diagnostic as a necessary prerequisite to creating institutional strengthening proposals.

Customer surveys

This is a technique that provides another very important insight into the organisation's effectiveness. It is particularly useful where the customer is reasonably informed as to what are the standards of service they would expect. It need not be confined to external surveying. The Training Unit in an Agency in Bangladesh is considering customer surveys of the Agency's management and supervisors to discover if they see the service provided by the Unit as effective and advancing the achievement of their operational goals.

Guidance on conducting customer surveys is generally available

Signposts of Development

RBM in UNDP: Selecting Indicators

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What indicators tell us about the wind

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What indicators tell us about the wind

*Who has seen the wind?
Neither you nor I.
But where the trees bow down their heads,
The wind is passing by.*

— The Wind, Christina Rossetti, 1830-1894

If we want to know if the wind is blowing, the bowing treetops are a good indicator.

That the treetops are bending may tell us many different things: the coming of a change in seasons; that it is a good day for children to fly kites; or that bird nests may fall down. What it tells us depends on who we are and what we want to know.

For some, however, the fact that treetops are bending may not represent the most important thing they want to know about the wind. In order to steer his boat, the fisherman may need to know the direction of the wind. The farmer, on the other hand, may want to know how strong the wind is, because her crops might be ruined. Or perhaps the farmer is less interested in the wind than in the type of clouds, which may be a better indicator of coming rain.

Whatever the treetops tell us, they will never tell us *why* the wind is blowing. They will not explain the complex meteorological changes occurring in the atmosphere or reveal that the wind is coming from a storm far out at sea.

Indicators then, can tell us that a change we are interested in is happening. And indicators can be framed in a way that is most relevant to us. But they cannot explain why and how that change occurs. They can tell us the wind is blowing, but not why, to what effect or what we should do about it.

1. Introduction

Demonstrating progress towards results

Indicators are signposts of change along the path to development. Indicators are what we observe in order to verify whether – or to what extent – it is true that progress is being made towards our goals, which define what we want to achieve.

Indicators make it possible to demonstrate results. Indicators can also help in producing results by providing a reference point for monitoring, decision-making, stakeholder consultations and evaluation. In particular, indicators can help to:

- Measure progress and achievements;
- Clarify consistency between activities, outputs, outcomes and goals;
- Ensure legitimacy and accountability to all stakeholders by demonstrating progress;
- Assess project and staff performance.

By verifying change, indicators help us demonstrate progress when things go right and provide early warning signals when things go wrong. This assists in identifying changes that need to be made in organizational strategy and practice. The continuous monitoring of indicators also facilitates effective evaluation.

When to use indicators

The purpose of indicators is to support effectiveness throughout the processes of planning, implementation, monitoring, reporting and evaluation – in other words, throughout the full spectrum of results-based management.

Indicators may be used at any point along the results chain of inputs, activities, outputs, outcomes and impacts. They may relate to the actual achievement of the result (target), to the current situation the partners are trying to change (baseline) or to progress or process (annual targets, intermediary benchmarks). Country offices (CO) may apply indicators to any other process or product that is useful to measure (e.g., the formation of new partnerships, the time spent on soft assistance initiatives or the delivery of activities in project work plans).

2. Indicators Only Indicate

Limits and risks

Indicators only indicate; they do not explain. Determining that change has occurred does not tell the story of why it has occurred. Indicators constitute only one part of the logical and substantive analysis needed for development efforts to succeed. In addition, success requires common sense, sound managerial judgment, leadership and creativity – none of which can be replaced by the use of indicators.

The use of indicators can be made into an elaborate science demanding a major workload. Using a large number of different indicators, however, has no merit in itself. The key to good indicators is credibility – not volume of data or precision in measurement. A quantitative observation is no more inherently objective than a qualitative observation. Large volumes of data can confuse rather than bring focus. It is more helpful to have approximate answers to a few important questions than to have exact answers to many unimportant questions.

Practical proxy for change

The fundamental challenge with indicators is to meaningfully capture key changes or “results”. This is accomplished by combining what is substantively valid with what is practically possible to monitor.

In development, it is often difficult to make objective and exact observations of the complex development changes we are addressing. Instead, we frequently rely on observations that approximate intended changes. We use indicators that are commonly understood to be closely related, e.g. share of social expenditures in a government budget as “proxy” for poverty orientation of national policies, or proportion of parliamentarians who are female as “proxy” for empowerment of women in national decision-making processes.

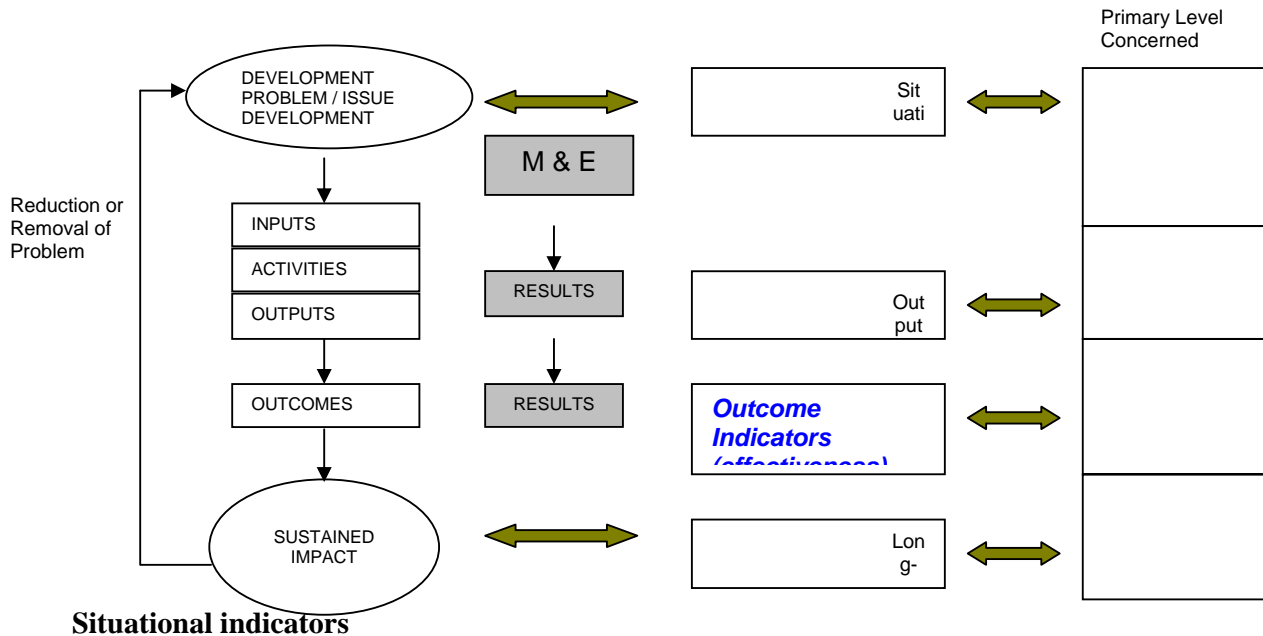
3. Types of Indicators

Three results indicators

Different types of indicators are required to assess progress towards results. Within the RBM framework, UNDP uses at least three types of indicators, also known as results indicators:

- **Situational** (impact) indicators, which provide a broad picture of whether the developmental changes that matter to UNDP are actually occurring (impact indicators and situational indicators are essentially the same, although the former may be more specific and the latter may be more generic);
- **Outcome** indicators, which assess progress against specified outcomes;
- **Output** indicators, which assess progress against specific operational activities.

Figure 1 illustrates the linkages between situational, output and outcome indicators for assessing performance results in terms of results. It also highlights the level of management – project, programme or senior country office – that would find a particular type of indicator most useful, allowing for a degree of overlap among the levels and types of indicators.

Figure 1. Assessing performance along results

Situational indicators describe the national development situation. They relate to the Millennium Development Goals and the SRF Goals and Sub-goals, and reflect long-term development results, or impact. Situational indicators provide a broad picture of country development status (macro baseline). They are most useful to the country office senior management, informing the level at which senior management interacts with partners and develops strategies.

To find examples of situational indicators, refer to the National Human Development Report (NHDR), the Common Country Assessment (CCA) and national statistics. Specific examples of situational indicators include the signature UNDP-initiated development indicators such as the human development index (HDI) and the human poverty index (HPI) as well as others developed by the OECD and adopted by the United Nations system.

Outcome indicators

Outcome indicators help the organization and country offices think strategically about the key results or outcomes they want to achieve. They help verify that the intended positive change in the development situation has actually taken place. Outcome indicators are designed within the SRF framework and the Country Programme, and they are most useful to the country office programme managers who liaise both with the CO senior management on progress towards outcomes and with the project-level management on the contribution of outputs to outcomes.

- An outcome indicator for an advocacy activity aimed at policy change in governance institutions may include observing parliamentary passage of a desirable legal change, and also observing if the new law is backed up by an allocation of financial resources by a certain date.

Examples of outcome and outcome indicators adapted from the Strategic Results Framework (SRF) are listed in Table 1.

Table 1: Examples of outcomes and outcome indicators	
Expected outcome	Outcome indicator
The policy, legal and regulatory framework reformed to substantially expand connectivity to information and communication technologies (ICT) (Poverty, G2-SGN2-SASN3)	Estimated number and proportion of the population with access to the Internet, disaggregated by gender
Increased effectiveness of parliament to perform its oversight functions (Governance, G1-SGN2-SASN1)	Mechanisms for accountability such as a Public Accounts Committee are in place to ensure legislative oversight
Fair and efficient administration of justice (Governance, G1-SGN2-SASN3)	Level of public confidence in the justice system
The national policy framework reformed to achieve universal access to basic services (Poverty, G2-SGN2-SASN2)	Proportion of the poor covered by institutionalized social security and insurance schemes (pensions, health, unemployment) or transitory safety nets (programmes for temporary unemployment, food-based or cash transfers)
Women's organizations enabled to advocate and monitor improvements in the status of women (Gender, G4-SGN1-SASN3)	Existence of national legislation and measures to provide an enabling environment for women's non-governmental organizations (NGOs)
Systematic monitoring of progress in linking national development targets with globally agreed goals (UN Support, G6-SGN1-SASN2)	A comprehensive monitoring and evaluation system created and applied to track progress in the country's human development in the context of PRSP

Source: Adapted from the Strategic Results Frameworks of Gabon, Kyrgyzstan, Nepal, Tanzania and Venezuela, 2001.

Output indicators

Output indicators help to measure and verify the production of outputs. Outputs are tangible results that can be delivered within a short timeframe. This means that the output itself may be measurable and may clearly indicate how to verify that it has been produced. Output indicators are most useful to project managers, who are responsible for the production of outputs and their relevance to the outcome in question.

- For the output “district school teachers trained”, for example, an output indicator could be created simply by adding a target such as “50 teachers trained by end 2001”.
- In the SRF, outputs have annual targets. For the outcome “increased public debate on sustainable human development (SHD)”, one UNDP country office used the following outputs: “seminars for Ministers of Parliament, journalists [...and others]”, “specialized programmes in the media” and “two National Human Development Reports (NHDRs)”. For “Specialized programmes in the media” the target is “promotion of SHD in at least 4 media programmes and Resident Representative interventions on the media, in one year”.

Table 2 illustrates examples of how indicators may be applied for output, outcome and impact for various types of programmes adapted from the SRF.

Table 2: Indicators according to relationship between output, outcome and impact

Area Result	<i>Water supply</i>	Women's empowerment	<i>Environment</i>	<i>Human rights</i>
Output	Number and type of wells installed	Number of loans given and repaid as agreed	Number of species planted properly and surviving	Number and category of people given training or other types of support
Outcome(s)	The number and proportion of population with sustained availability of clean water for proper domestic use	Percentage of women with increased disposable income, expanding their options towards diverse social and economic roles	New areas reforested and sustainable agricultural practices applied Better economic opportunities for indigenous or isolated communities	More active censure of politicians and law-enforcing agencies Greater financial allocation by government to monitor and address human rights abuse
Impact	Reduction in ill health and mortality	Improved economic control, choice and status with respect to men	Retention or increase in forest areas	More transparent, accountable state behaviour with reduction in political arrests

4. Qualitative and Quantitative Expressions of Indicators

Signals and scales

Indicators can comprise a variety of types of “signals”—in other words, how the indicator is expressed—such as numbers, ranking systems or changes in the level of user approval. A signal also features a “scale” of observation. For example, the indicator “65 per cent of enrolled students graduate secondary school” features a percentage signal with a scale of 65 per cent.

Signals and scales lend themselves to indicators that express qualitative and/or quantitative information. Quantitative indicators are numerical. Qualitative indicators use categories of classification. (Some analysts define qualitative indicators as those that are based on individual perceptions, e.g. as given in response to survey questionnaires).

3. Examples of output and outcome indicator signals and scales			
Qualitative/Categorical Indicators			
Signal	Scale	Outcome indicator	Output indicator
Existence	(yes/no)	Local governance act passed/not passed	Policy recommendation submitted/not submitted
Category	(e.g. x or y or z)	Level of SHD policy focus “high”, “medium” or “low”	Poverty analyzed in “region east”, “west” or “nationally”
Quantitative/Numerical Indicators			
	Scale	Outcome indicator	Output indicator
Number	(e.g. 1, 20 or 5,000)	Number of new jobs created in small enterprise sector	Number of entrepreneurs trained
Percentage	(e.g. 12% or 95%)	Percentage share of rural population with access to	Percentage share of government budget devoted to

		basic health care	social sectors
Ratio	(e.g. 1/3 or 125 per 100,000)	Ratio of female to male school enrolment	Ratio of trained female to male members of parliament

No one type of indicator or observation is inherently better than another; its suitability depends on how it relates to the result it intends to describe.

Qualitative measurements of change

When a result is qualitative, it is still possible to develop an indicator that offers **some** measure of the magnitude of change. For example, if the proportion of people who perceive of local government management as “very participatory” increases from 40 per cent to 65 per cent over a certain period of time, this increase provides some measure of the **degree** of qualitative change.

This kind of numerical expression of qualitative considerations may also be obtained through indicators that use rating systems that rank, order or score given categories of attributes. An example might be an **average**, as follows: “With regard to responsiveness to their own needs, on a scale from 1 to 10, people in rural areas give an average score of 2.5 to central government and 6.2 to their local council”. Another alternative is to present a result as a **distribution**, as follows: “With regard to responsiveness to their own needs, the proportion of people in rural areas who rate central government 3 or less is 60 per cent, and the proportion who rate their local council 5 or better is 65 per cent”. A special variant of a distribution is captured by the **Gini Coefficient**, which measures dispersion on a scale from 0 to 1. Where all observations are the same, the Gini coefficient is 0; where they are all different the Gini is 1.

In the example above, outcome-level change is measured in response to public action. This is done through a “proxy” measure: changing levels of end-user approval (or client satisfaction). Such an indicator is particularly helpful when the public actions involve capacity development or direct public service delivery. The perceptions of end-users regarding public service delivery gets straight to the issue of whether the services are wanted, useful and effectively delivered. The satisfaction of end-users (or clients) has the advantage of some comparability. Results may be compared:

- Between different kinds of service;
- Between separate locations;
- Over time.

This approach is not without its problems, however. Clients may not always be easy to identify, and their perceptions of satisfaction with services is subject to influences other than the service itself.

Combining qualitative and quantitative

Indicators may **combine** quantitative and qualitative observations. In a programme aimed at increasing access to social services, for example, the indicator includes a baseline in which 10 per cent of people had access to a particular kind of service (now or some time in the past). The target is for 30 per cent to have access to an improved service, by a certain date in the future. In another example, an advocacy activity aimed at policy change may use an indicator that includes observing parliamentary passage of a desirable legal change (yes/no) and that also includes the new law being supported by an increased allocation of 15 per cent more resources than was previously the case, by a certain date.

An index is a composite indicator, formed by amalgamating two or more different measures into one, such as the Human Development Index. With indices, “weight” must be attributed to components according to their relative importance. In other words, if one of the component attributes is inherently more important than another, it should be assigned a heavier weight or share of the combined measure.

An indicator may be expressed as something to be minimized or something to be maximized, e.g. working to maximize the number of doctors per population of 1,000 is the same as working to minimize the number of people per doctor.

Advocacy and policy results

Qualitative assessments are often required when measuring the success of UNDP efforts related to advocacy, coordination and upstream policy advice and dialogue.

Table 4. Qualitative observation of advocacy and upstream policy results	
Policy result type	What can concretely be observed, Data sources
Change in policy priorities	Change in relative shares/composition of budget Cabinet decision, ministerial policy declarations Accession/signature of UN conventions and international accords
Enactment of new legislation	Passage by legislative body, confirmed for example by the Parliamentary Gazette or Hansard Record of Cabinet decisions
Establishment of new institutions, practices and programmes	Establishment of posts Allocation of budget Commencement/availability of service Revision of public service code Conditions and prices of service delivery Client charter commitments Client satisfaction levels (as surveyed)
Access to information	Availability of publications, records in print, on Internet Access-to-information laws passed
Participation in decision-making	Number of civil society organizations (CSOs) invited to comment on policy drafts Discussion forums convened

If indicators are multi-dimensional, they often need to be **disaggregated**, or broken down, in order to reveal differences between their various components. This separates findings related to gender, geographic location, socio-economic group (age, ethnicity, religion, income level). The level of disaggregation should reflect the area of operation or target group pertaining to a goal or set of interventions.

5. Selecting Indicators

The impact of selection

What type of indicator is best to use? The choice makes a difference. If the wrong thing is measured, or if it is measured in the wrong way, the data may be misleading and the quality of decisions could be affected. The choice also may have unforeseen consequences—some positive some negative. When a country changed its system for hospital funding from one based on the number of drugs doses administered to one based on the number of patients treated, doctors became more friendly to patients but also wrote fewer prescriptions for medicine. And when a police force changed its result indicator from number of arrests to number of convictions, for example, constables became less inclined to detain people on the basis of vague suspicion.

The challenge in selecting indicators is to find measures that can meaningfully capture key changes, combining what is substantively relevant as a reflection of the desired result with what is practically realistic in terms of actually collecting and managing data.

The SMART way to select indicators

The following criteria and questions may be helpful in selecting indicators. As a memory aid, the acronym “SMART” summarizes key criteria, asking “Is the indicator specific, measurable, attainable, relevant and trackable?”

Specific:

- Is it clear exactly what is being measured? Has the appropriate level of disaggregation been specified?
- Does the indicator capture the essence of the desired result?
- Does it capture differences across areas and categories of people?
- Is the indicator specific enough to measure progress towards the result? For example, using the indicator “increase by 20 per cent in number of criminal complaints filed” may reflect a more effective justice system OR an increase in crime.

Measurable:

- Are changes objectively verifiable?
- Will the indicator show desirable change?
- Is it a reliable and clear measure of results?
- Is it sensitive to changes in policies and programmes?
- Do stakeholders agree on exactly what to measure?

Attainable:

- What changes are anticipated as a result of the assistance?
- Are the result(s) realistic? For this, a credible link between outputs, contributions of partnerships and outcome is indispensable.

Relevant:

- Does the indicator capture the essence of the desired result?
- Is it relevant to the intended outputs and outcome? To judge the relevance of indicators, the CO may have to identify the target groups and their needs, expectations and criteria.
- Is the indicator plausibly associated with the sphere of activity?

Trackable:

- Are data actually available at reasonable cost and effort?
- Are data sources known? CO should establish realistic principles, mechanisms and responsibilities for data collection.
- Does an indicator monitoring plan exist?

Be sensible and practical in applying these criteria. No one indicator will satisfy all criteria equally well. Ultimately, the choice of indicator is determined through a holistic assessment of validity and practicality. The selection of indicators is an iterative process, building on consultations between programme managers, stakeholders and partners. The process of selecting an indicator takes several steps including brainstorming ideas, assessing each one and narrowing the list (using the criteria above) and, finally, making an indicator monitoring plan.

Indicator selection criteria	Outcome	Poor proposal for an indicator	Why indicator is inadequate	Possible refinement of indicator (within a given timeframe)
Specific or "Precise meaning"	Better understanding of UN mandates and UN work.	Government officials, social leaders speak about UN.	Who one should consider a social leader is arguable. No baseline/target.	Number of parliamentary or media references to (specified) UN conferences or resolutions up from 10 to 30 per year.
Specific or "Valid "	Job creation through micro-enterprise.	Micro-capital finance available in 5 regions, up from 2.	Availability of finance is a <i>means</i> , not an end result. The <i>purpose</i> is to create employment growth.	Increase from 200 to 500 in number of people <i>employed</i> by trained micro-enterprises.
Measurable or "Practical"	Enhanced capacity of school planning system.	Improved job prospects for those who leave school early.	Job prospects can only be assessed when students graduate – many years from now. No baseline/target.	Increase in school enrolment rate from 85% to 95%.
Attainable or "Clear direction"	Transparency in public sector finances.	Reduced number of corruption cases.	Transparency awareness may (at least initially) lead to number of prosecutions going <i>up</i> – not <i>down</i> . No baseline/target.	Policy and practice changed to make protocols of tender board meetings available for public inspection (yes/no).
Relevant or "Owned"	Local development planning responds to priorities of the poor.	Increase from 50 to 200 in number of community funding proposals submitted to local planning authority.	Beneficiaries do not care about how many proposals are <i>received</i> , but how many are <i>approved</i> .	Percent of local development funds actually allocated to community initiatives (submitted by NGOs, CSOs) increased from 25% to 50%.
Trackable or "Data availability"	Professional standards and independence of media strengthened.	Quality of journalistic coverage in terms of independence, ethics, professional standards as well as coverage of vulnerable groups.	Too many elements in the indicator, all open to subjective judgment. No national data collection. No baseline. Can have professional standards without covering vulnerable groups.	Increase in number of media independently established and financed (from 2 to at least 6). Public survey results with satisfaction with ethical media coverage of at least 40%.

6. Indicators are Practical and Observable

A practical process

The process of selecting indicators can help identify the core issues in a UNDP intervention and translate intangible concepts into more concrete and observable elements. This process may assist managers and stakeholders in carrying out the initial problem analysis and in articulating results expectations.

Even a carefully selected, clearly defined indicator is of little use unless it is actually put to use. A critical test of an indicator is how practical it is to monitor. Thinking about an indicator is one thing; actually finding, recording and presenting the data is another. Indicators need to be approached as a practical tool, not merely as a conceptual or aspirational exercise.

From an RBM perspective, one of the main purposes of indicators is to validate results based on objective observation, facts or actual experience. This is far more concrete than relying on the perceptions of individuals responsible for implementing programmes. In this way, the use of indicators lends credibility to UNDP's results reporting under Strategic Results Framework/ Results-Oriented Annual Report (SRF/ROAR).

Observational criteria

Along with a commitment to actually monitor and use indicators, their effectiveness requires a clear idea about what will be observed and how to do so. This underlies the observational criteria associated with an indicator.

It is important to identify the essential observational criteria, as in the following examples:

- Institution X is operating more **effectively/efficiently**;
- SHD objectives are better **integrated/included/reflected** in policies and plans;
- Measurable increase in client **satisfaction** with ministry Y's services.

For these statements to be valid as indicators, there must be a definition of how one will measure effectiveness, integration or satisfaction – and how data are to be identified in actual practice. An indicator lacking clarity about what and where to observe is meaningless. We need to specify exactly what should count and how it should be counted, with the exception of existing standards that are commonly known. In terms of the SRF/ROAR, it is critical that country offices select indicators for which they know data will be available. Table 6 provides further illustration of how concrete indicators can be crafted with more clarity within an indicator monitoring plan.

Intended result	Result indicator	Data source	Frequency of observation	Monitoring responsibility
Outcomes: Enabling environment for participation by the poor in decision-making	Increase in number of CSOs participating in national development strategy formulation process (by year)	Registrations for Annual Poverty Forum	Annual	Coordination Council for NGOs
Community prospects improved through income generation	New staff taken on by small-scale enterprises (SSEs) trained (number, by date) under UNDP programme	Questionnaire sent trainees 6	Half-yearly	National Chamber of Commerce

		months after training		
Outputs: Civil society organizations' (CSOs) analytical capacities strengthened Training facilities available to SSEs	NGO staff completing training course in poverty analysis (number, by date) SSE advisory centres functional (able to offer training) in 3 regions (by date)	Project records Project records	Quarterly Continuous	Project Director UNDP National Programme Officer (NPO)

7. A Shared Commitment With Partners

External data sources

Many agencies, managers and programmes contribute to the collection of data through the monitoring of indicators. Concerted action by these various groups and individuals is required to ascertain that change has occurred. By sharing data collection with these “external data sources”, UNDP is not required to undertake data collection by itself. Reliance on external data sources is becoming more important with the increasing emphasis on results-based management. Indeed, the individual contributions of partners can rarely, if ever, be objectively determined, meaning that successes are necessarily shared.

When UNDP contributes towards outcomes (development results) in partnership with others, not all monitoring responsibilities fall to UNDP. All partners must agree on which indicators to monitor and who among the partners will take responsibility for monitoring those indicators.

Sharing builds partnerships

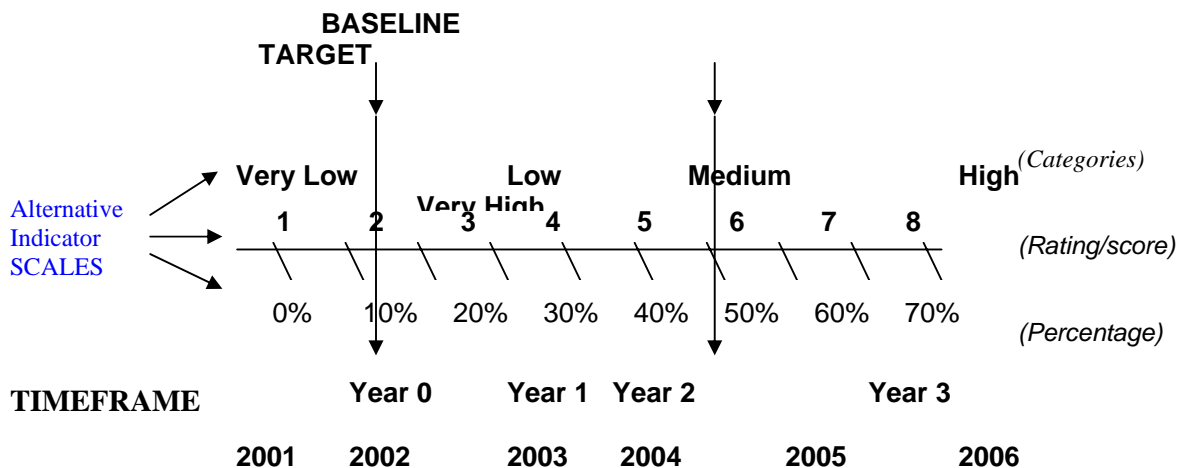
The sharing of indicators can be a valuable exercise in partnership. A commonly agreed upon set of indicators reflects a shared understanding of problems, goals and strategies. (Such sharing of indicators is itself an indicator of partnership.) As mentioned above, the quest for finding common indicators is part of forging consensus among partners. An outsider looking at a set of indicators may ask: who decided that these are the most important ones? Sharing ensures greater agreement among all partners. Without such cooperation, UNDP might use one set of indicators, national authorities a different set and an external partner yet another – reducing the likelihood that all parties are pulling in the same direction.

8. Baseline, Target and Timeframe

Making indicators meaningful

Indicators require a baseline, target and timeframe in order to be useful in verifying the results of a development intervention. This makes it possible to demonstrate change over time. The **baseline** is the situation before a programme or activity, and is the starting point for results monitoring. The **target** is the situation expected at the end of a programme or activity. Between the baseline and the target there may be several milestones that correspond to expected performance at periodic intervals. The **timeframe** refers to observations taken at specified points in time or within a given period of time.

Figure 2: School enrolment as an indicator of access to education



In the figure above, wider access to education is our intended result. The percentage of school enrolment may provide a good outcome indicator. To monitor results, we may start with a baseline of 65 per cent enrolment in 2002 and a target of 80 per cent enrolment in 2005. Along the way, we may establish that 70 per cent is a good result for end of 2003 and 75 per cent for end of 2004.

Establishing a baseline

Ideally, the baseline should be gathered and agreed upon by stakeholders when a programme is being formulated. For many ongoing activities, however, no baseline was specified at that time. In some cases, it may be possible to retroactively ascertain approximately where one was when the programme started, perhaps from data included in past annual review exercises.

When retroactive sources of data do not exist, it still may be possible to obtain a measure of change over time. For example, to establish a baseline pertaining to local governance one might ask a number of people: "Compared to three years ago, do you feel more or less involved in local decision-making?" A clear tendency among respondents towards "more" or towards "less" provides a valid indication of whether change has occurred or not.

When it is impossible to retroactively establish any sense of change, establish a measure of where one is now. This will at least allow for the assessment of change in the future.

Establishing targets

The key to establishing targets is realism. Target-setting must be based on a thorough review of the factors that influence the development problem being addressed, what partners are doing, and what degree of change can realistically be associated with the UNDP contribution. Factors to consider in establishing targets include:

- Past trends, i.e., change observed over previous periods;
- How well others have done;
- Limits to progress; and
- The existence of objective international, sectoral or other quality standards.

Targets need to be commensurate with UNDP's sphere of influence, resources, expertise and partnerships. Overly ambitious targets lead to disappointment when they are not met.

9. Indicator Data Collection

Practical considerations

Indicators should be selected because they are relevant to the results being monitored, and not simply because they are easy to track. This ensures that indicators provide data that are appropriate and useful.

Counterpart institutions receiving UNDP support for capacity development often carry out the collection of data. When entering into a programme of support, it is important to specify exactly how this work will be completed and who will carry it out. Ultimately, UNDP and other partner institutions have a responsibility to ensure that this work gets done.

How to obtain data

Sometimes a simple instrument introduced within the programme management process can provide useful information. For example, to gather data on the indicators "new firms started yes/no" or "purchase of raw materials increased/decreased by X amount", one could send a questionnaire to entrepreneurs six months after they have completed training under a small business development programme. Depending upon what is asked, the responses could reveal whether or not entrepreneurs had started new firms, taken on new staff or how much they had invested in local raw materials and supplies.

Information to track some indicators is available from public records or common knowledge among good managers, such as the passage of a critical piece of legislation. When looking at outputs (assessing progress against specific operational activities rather than overall development results), information is often available from internal records that detail the number of people trained, policy recommendations submitted to national authorities or policy seminars convened, for example.

In other cases, information is not immediately available and may require the development of instruments and/or capacities to capture information.

Sources and tools for data collection include, among many others:

- Administrative records of client service;
- Statistical surveys;
- Awareness/attitude questionnaires;

- Expert panels, trained observers;
- Focus groups and key informant interviews.

Sometimes UNDP obtains data from internal records—for example, number of people trained, policy recommendations submitted to national authorities or seminars held. Often, UNDP obtains data directly from external partners. This kind of data collection is generally commissioned, not carried out, by UNDP. When commissioning data collection by partners, UNDP's major concern is quality assurance, which might be affected by the selection of participants in expert panels or the choice of sampling methods used in questionnaires.

10. Conclusion

Indicators are signposts of change. We should bear in mind, however, that indicators are only intended to indicate, and not to provide scientific “proof” or detailed explanations about change. In addition, we should avoid the temptation to transform the measurement of change into a major exercise with a burdensome workload. It is development change we seek to influence that must remain the driver—not the indicator. Measuring change should not take precedence over programme activities that generate the changes to be measured.

Part of the toolbox

Indicators enable us to verify the status of outcomes, or development changes, that UNDP seeks to influence as well as the progress of products and services for which managers are responsible. The purpose of indicators is to support effective programme planning, management and reporting. Indicators not only make it possible to demonstrate results, but they also can help produce results by providing a reference point for monitoring, decision-making, stakeholder consultations and evaluation. The use of indicators is integral to good management. Indicators are not merely relevant to scientists, statisticians or staff at UNDP headquarters. Indicators support the entire process of managing for results at every level of the organization. They help all of us “keep our eyes on the ball”.

Indicators are part of the toolbox that managers and staff need to bring to their work. This is especially true now that UNDP and other development agencies are being called upon to demonstrate effective results.

Limitations

The critical issue in selecting good indicators is credibility, not precision in measurement. Indicators do not provide scientific “proof” or detailed explanations about change. There is no objective truth or certainty to information represented through indicators. But indicators that are carefully considered and shared among partners are much better than guesswork or individual opinion. An indicator that provides relevant data about progress towards results is very useful. At the end of the day, it is better to have approximate information about important issues than to have exact information about what may turn out to be trivial.

Applications

The important thing, in the end, is how indicators are used as part of the decision-making process. Indicators are intended to provide data that will help managers and staff make better decisions, achieve results and improve organizational effectiveness.

Acronyms

CCA	Common Country Assessment
CO	Country Office
CSO	Civil Society Organization
NHDR	National Human Development Report
NPO	National Programme Officer
NGO	Non-Governmental Organization
RBM	Results-Based Management
ROAR	Results-Oriented Annual Report
SRF	Strategic Results Framework
SHD	Sustainable Human Development
SSE	Small-Scale Enterprises
UNDAF	United Nations Development Assistance Framework

Glossary

Indicator: Signal that reveals progress (or lack thereof) towards objectives; means of measuring what actually happens against what has been planned in terms of quantity, quality and timeliness. It is a quantitative or qualitative variable that provides a simple and reliable basis for assessing achievement, change or performance.

Results-Based management (RBM): A management strategy or approach by which an organization ensures that its processes, products and services contribute to the achievement of clearly stated results. Results-based management provides a coherent framework for strategic planning and management by improving learning and accountability. It is also a broad management strategy aimed at achieving important changes in the way agencies operate, with improving performance and achieving results as the central orientation, by defining realistic expected results, monitoring progress toward the achievement of expected results, integrating lessons learned into management decisions and reporting on performance.

Results-Oriented Annual Report (ROAR): The principal instrument for reporting on performance and progress of results achieved on the entire range of UNDP interventions by operational units. In aggregate, the ROAR provides UNDP with a comprehensive assessment of key results achieved and a review of the resources at the organizational level. It is intended to provide a basis for feedback and continuous adjustment.

Strategic Results Framework (SRF): Represents the development hypothesis including those results necessary to achieve a strategic objective and their causal relationships and underlying assumptions. Establishes a basis for measuring, analyzing and reporting results of the operating unit. Can also be the overall aims and objectives of a country's approach to development based on analysis of problems, and including a statement of priorities. For UNDP, the document that describes the results for an operating unit in terms of outcomes, outputs, partnerships and indicators with specified Goals, Sub-Goals and Strategic Areas of Support.

Annex 34: List of interventions for MDGs

Source: Chapter 12 Lists of interventions in Jeffrey Sachs et.al. (Millennium Development Goals Needs Assessments: Country Case Studies of Bangladesh, Cambodia, Ghana, Tanzania and Uganda, Millennium Project Working Paper, Draft, January 17, 2004.

The lists below summarize the interventions, defined as the goods, services and infrastructure that need to be delivered in each area. Not all of these interventions have been quantified (please see the relevant sections of the document for more details) and some remain to be specified in further detail. This list will continue to be updated and refined based on the evolving findings of the Millennium Project.

MDG 1 Target 2:	
Halve, between 1990 and 2015, the proportion of people who suffer from hunger	
Category	Intervention
<i>Agricultural production</i>	
<i>Livestock production</i>	Improve animal breeds and control diseases
	Introduce soil conservation methods
<i>Pest control</i>	Introduce pest control techniques
<i>Seed and farming inputs</i>	Introduce high yielding seeds
	Introduce mechanized farm implements
<i>Soil fertility</i>	Provide quality tree-germplasm
	Provide manure
	Introduce crop mixing
	Provide chemical fertilizers
<i>Water management</i>	Revive traditional water conservation methods
	Provide pumps
	Provide drip irrigation
	Provide hosepipes
	Provide water harvesting
	Provide storage tanks
	Extend small scale irrigation system across households
	Implement appropriate medium and large scale irrigation projects
<i>Agricultural and irrigation extension service</i>	Provide extension services to smallholder farmers and promote agricultural mechanization, especially female workers
	Strengthen animal health and crop protection services
	Improve land and water resource utilization and management
	Set up training institutes and farmer-to-farmer training services
<i>Land Tenure</i>	Review land tenure systems
<i>Urban Agriculture</i>	<i>(To be specified)</i>
<i>Supporting Rural Income Generation</i>	
<i>Agro-processing and marketing</i>	Promote agro-processing and rural industrialization <i>(to be specified further)</i>
Storage, stocking, shipment and trade	Build and improve storage and trans-shipment facilities
	Provide farm and national level facilities
Testing	Build facilities for quality testing and storing
Promote Agro-Processing	Increase access to technical inputs (such as threshing machines) in rural areas
<i>Access to assets</i>	Start community grain banks
	Build micro finance institutions to create access to credit
	Strengthen rural household links to the formal banking system <i>(to be specified further)</i>

Millennium Development Goals Needs Assessment

Lists of interventions

<i>Rural Infrastructure</i>	
<i>Energy</i>	Extend rural electrification
<i>Communications</i>	Improve rural postal services Build community communications centers
<i>Telecommunications</i>	<i>(To be specified)</i>
<i>Market information systems</i>	<i>(To be specified)</i>
<i>Transportation</i>	Build new rural roads Rehabilitate and upgrade strategic road networks Maintain feeder road network
<i>Improving Nutrition</i>	
<i>General</i>	Provide target subsidies to make nutrient-dense food available to vulnerable Groups Expand, and endorse nutrient-fortification legislation Implement population-wide fortification programs for iron, iodine and Vitamin A
<i>Adolescent girls and women of childbearing age</i>	Provide micronutrient supplements as part of antenatal and post natal care to women Provide community-based nutrition programs for adolescent girls and women Provide micronutrient supplementation programs for adolescent girls and women Launch public awareness campaigns focusing on improving the nutritional status of adolescent girls and women
<i>Children</i>	Introduce school meals through locally produced and fortified food Provide micronutrient supplementation for severely undernourished children
<i>Infants</i>	Promote complementary feeding programs for infants in the 7-24 months
<i>Emergency Food Assistance</i>	Provide direct food assistance (e.g. community kitchens) and food-for-work programs
<i>Strengthening Institutional Capacity</i>	
<i>Ministry-level capacity strengthening</i>	<i>(To be specified)</i>
<i>Agricultural research and data collection</i>	Undertake and expand high quality agricultural research Improve systems of data collection and management
<i>Technical support to farmers</i>	Set up technical advisory services for farmers Train facilitators needed to mobilize local communities
<i>Policy formulation and strategic planning</i>	Supervise and monitor implementation of plans Develop food security policy Develop and monitor product standards regulations Review existing agricultural, trade, micro-finance and land policies and legislation
<i>Disaster Management Systems</i>	Establish flood/drought monitoring stations, early warning systems

MDG 2, TARGET 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling		
Category	Intervention	
<i>Child Preparation</i>	Extend early child development programs	
	Ensure visits and check-ups to schools by health officials	
<i>Primary Education</i>		
	<i>Infrastructure</i>	Build classrooms
		Build girls' toilets
		Install furniture (blackboards, desks, chairs)
		Build teachers' houses
		Provide transportation facilities
	<i>Teachers</i>	Hire teachers
		Hire female teachers
		Provide pre-service training
		Provide in-service training
<i>Materials</i>	Provide textbooks	
	Provide other learning materials (stationery, chalk etc.)	
<i>Demand side incentives</i>	Provide uniforms	
	Provide subsidies to girls	
	Provide school meals	
	Provide take-home rations	
<i>Curriculum Reform</i>	Provide subsidies for vulnerable populations	
	Keep HIV/AIDS orphans in school	
	Design new textbooks	
	Provide learning aids	
	Provide teacher training for new curriculum	
<i>Distance Education</i>	Introduce a communication strategy to disseminate the curriculum changes	
	Introduce distance education for hard-to-reach, out of school children	
	Provide IT equipment and radio	
	Hire teachers/instructors	
	Train teachers/instructors	
	Provide learning material	
	Introduce emergency schooling in conflict areas	
<i>Secondary Education</i>		
	<i>Infrastructure</i>	Build Classrooms
		Build furniture (blackboards, desks, chairs)
		Build toilets
		Build teacher housing
		Develop transportation facilities
		Build libraries
		Build laboratories
		Build sports facilities
	<i>Teachers</i>	Hire teachers
		Hire female teachers
		Provide pre-service training
	<i>Materials</i>	Provide in-service training
	Provide textbooks	

MDG 2, TARGET 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	
Category	Intervention
Demand side interventions	Provide other learning materials (stationery, chalk etc.)
	Provide uniforms
	Provide subsidies to girls
	Develop school meals programs
	Provide take-home rations
	Provide subsidies for vulnerable populations
	Introduce conditional cash transfers
Curriculum Reform	Keep HIV/AIDS orphans in school
	Design new textbooks
	Provide learning aids
	Provide teacher training for new curriculum
	Improve a communication strategy to disseminate the curriculum changes
Adult literacy	Develop adult literacy programs
	Train instructors and volunteers
	Undertake mass media campaigns to increase awareness of the importance of adult literacy
Out-of-school Children	Introduce distance education
	Introduce emergency schooling in conflict areas
System wide Quality Improvements	Create processes for national guidelines <i>(to be specified further)</i>
	Improve monitoring of schools' performance <i>(to be specified further)</i>
Community involvement	Mobilize communities for better school management <i>(to be specified further)</i>
	Scale up pilot programs and undertake evaluations
	Coordinate community schools with Ministry of Education <i>(to be specified further)</i>
Quality	Improve monitoring, accounting and reporting of schools' performance at ministry and district level through school performance systems
Monitoring	Create national guidelines for monitoring quality
	Measure cognitive abilities and learning outcomes
Decentralization	Evaluate current structure of the school system
	Redesign financing mechanism <i>(to be specified further)</i>
	Restructure school system along decentralized structures as necessary
Strengthening Institutional Capacity	
School Management	Improve accounting and reporting mechanisms
	Hire non-teaching and administrative staff
	Train non-teaching and administrative staff
	Increase parents involvement in schools for greater accountability
Ministry of Education	<i>(To be specified)</i>

MDG 3 Target 4:	Eliminate gender disparity in primary and secondary education preferably by 2005 and to all levels of education no later than 2015
Category	Intervention
<i>Systemic support</i>	
Support to Government	Provide budgetary and human resources for national women's machineries
Capacity to promote gender equality and women's empowerment (including implementation of CEDAW and other international women's rights)	Provide budgetary and human resources for gender focal points throughout the system of government
	Provide budgetary and human resources for gender training as a part of in service training for professional bureaucrats at all levels of government
	Provide budgetary and human resources for women elected representatives Provide initial training for newly elected representatives and support for developing capacity on a ongoing basis
	Support the judicial system (including training for judges etc.)
Support to civil society organizations to promote gender equality and women's empowerment (including implementation of CEDAW and other international women's rights)	Provide financial grants to women's organizations
Monitoring and Evaluation	Undertake performance research: epidemiology surveillance, national statistics building, national registration systems
Data Collection and Monitoring	Collect data on gender disaggregated statistics on health, education outcomes, access to assets and infrastructure and conditions of work and employment and political representation and gender specific violence
	Conduct surveys (labor force, household based income/consumption/health, enterprise surveys etc.)
Special country specific focus (e.g. Internally Displaced Persons)	Special focus on the needs of IDPs (<i>to be specified further</i>)
<i>Enhancing women's capabilities</i>	
<i>Health</i>	
Health system interventions	Covered under Health sector analysis
Legislation	Legalize and decriminalize abortion
	Introduce legislation that protects the rights of women to plan families
	Set up regulatory agencies to ensure provision of safe, effective contraceptives
Awareness building and education about the importance of reproductive and sexual rights, targeted to men and women	Produce manuals of good practices and training for medical staff Undertake mass media campaigns (TV novellas, soap opera, radio shows, PSAs, posters, advertisements) Undertake large scale community-based programs to discourage female genital mutilation and other harmful practices
<i>Education</i>	Covered under education interventions specifically targeted to girls at primary and secondary level
Sexuality education	Provide school based sexuality education
	Provide community based sexuality education
<i>Nutrition (Pre-pregnancy to post birth)</i>	Increase food and micronutrient intake and diet diversification
	Undertake supplementation program of iron-folate, iodine, multi-vitamins for women and girls from ages 15-25

MDG 3 Target 4: Eliminate gender disparity in primary and secondary education preferably by 2005 and to all levels of education no later than 2015		
Category	Intervention	
<i>Enhancing women's economic opportunities</i>	Develop awareness campaigns for improving adolescent girls and women's nutritional status	
	<i>Access to Infrastructure</i>	
	Provide equal access to safe drinking water and sanitation Provide adequate access to clean cooking fuels Provide access to energy for household and income generating needs	
<i>Access to assets</i>	Provide access to roads and transportation means for greater mobility	
	Promote legislation to guarantee property and inheritance rights to women and girls	
	Develop sensitization campaigns to train land titling officials	
	Develop gender equitable land titling and registration	
	Develop mass legal literacy campaign for land and housing rights	
	Provide legal aid and counseling for land, inheritance and housing rights	
	Improve systems of issuing ID documents to women and registering them in the official records	
	Provide equitable access to new, innovative financial products and services for poor women (insurance, savings, equity, debt)	
	<i>Equal access to and treatment in work</i>	
		<i>Gender sensitive labor market legislation</i>
Provide equal opportunity legislation (against gender based discrimination)		
Provide legislation providing leave for dependent care		
<i>Implementation and enforcement</i>		
Promote minimum wage legislation and enforcement (<i>to be specified further</i>)		
Promote effective regulatory agencies within labor ministry		
Providing legal literacy (<i>to be specified further</i>)		
Provide manuals of good practices and training for employers		
Provide access to judicial redress (including sexual harassment)		
Ensure that social protection schemes reach women on an equitable basis with men		
Provide pension (public subsidy element+ cost of delivering)		
Provide unemployment benefits (public subsidy element+ cost of delivering)		
Provide disability benefits (public subsidy element+ cost of delivering)		
Provide minimum income transfer schemes (public subsidy element+ cost of delivering)		
Provide child and other dependent (crèches, old-age homes, paid home based) care		
Provide subsidies to maternity and paternity leave and dependent care leave		
Provide vocational or technical skill training to help young girls make the transition to work		
Ensure that training and support programs for SMEs (small and medium enterprises) reach women on an equitable basis (information, training, subsidized credit)		
<i>Enhancing women's political opportunities</i>	Provide measures to promote affirmative action to increase the presence of women in all representative bodies	
	Develop awareness campaigns on opportunities	
	Provide Training and support for women candidates	

MDG 3 Target 4:	Eliminate gender disparity in primary and secondary education preferably by 2005 and to all levels of education no later than 2015
Category	Intervention
<i>Enhancing women's security</i>	
Prevention of Violence	Enact and enforce legislation banning violence against women at the domestic and public level Provide training programs for government agencies Provide awareness campaign to focus on violence prevention Design manuals of procedures for police
Promotion (of awareness of women's rights to a life free from violence)	Develop mass media campaign Provide school-based education Develop community based education campaigns
Protection from violence	Provide services for victims (temporary shelter, health, counseling, hotlines) Provide access to judicial redress and legal services Provide referral services for employment and housing Prepare service providers to detect signs of violence/abuse Provide conciliation and mediation services Provide women staffed police stations
Punishment	Provide sensitivity training for police and legal officers Provide (formal or informal) tribunals to bring perpetrators to justice Provide rehabilitation services for offenders Provide training for adjudicators, police services

MDG 4 Target 5: Reduce by two thirds the mortality rate amongst children under 5	
Category	Intervention
<i>Neonatal Interventions</i>	Manage preterm labor
	Newborn resuscitation
	Ensure skilled birth attendance
	Manage low birth weight
	Manage infection/malformations
<i>Childhood disease prevention</i>	Ensure immunization including the following
	BCG
	DPT
	Hepatitis B
	Hib
	Measles
	MMR
	OPV
	Yellow Fever
	Offer micronutrient supplementation
	Encourage breast feeding
Provide complementary feeding	
<i>Behavior change programs</i>	Increase community awareness of IMCI and CDD
	Provide advocacy and social mobilization for control of diarrhoeal diseases
<i>Childhood treatment</i>	Integrated Management of Childhood Illness comprising medical interventions to treat the following conditions
	Acute respiratory infections
	Causes of fever (e.g., malaria)
	Anemia
	Diarrhea
	Measles
	Malnutrition
	Ear problems
	Bacterial Infections - Infants
Feeding Problem - Infants	

* Health systems interventions, including enhancing community demand, are included separately

MDG 5 Target 6: Reduce by three quarters, between 1990 and 2015 the maternal mortality ratio	
Category	Intervention
<i>Prenatal period</i>	Provide antenatal Care
	Treat complications during pregnancy
	Treat concurrent illness in pregnancy (e.g., HIV, TB, Malaria)
<i>Intrapartum period</i>	Ensure skilled birth attendance (includes neonatal resuscitation, prevention of mother to child transmission of HIV/AIDS (PMTCT))
	Provide emergency Obstetric Care to treat the following conditions
	Eclampsia
	Haemorrhage
	Obstructed labor
<i>Other reproductive health</i>	Sepsis
	Ensure appropriate management of neonatal complications
	Provide postpartum care
	Offer family planning counseling
	Provide contraception (male condoms, female condoms, Deprovera, Intrauterine device, Norplant, Oral Contraception, male sterilization, female sterilization)
	Provide diagnosis and treatment of sexually transmitted infections (including cervical cancer)
	Provide safe abortions & counseling (including care of post-abortion complications)
Ensure appropriate treatment of obstetric fistula	

* Health systems interventions, including enhancing community demand, are included separately

MDG 6 Target 7:	Have halted and begun to reverse the spread of HIV/AIDS
Category <i>HIV Prevention</i>	Intervention Mass media and awareness campaign Voluntary counseling and testing (VCT) Condom social marketing School-based AIDS education Education for out-of-school youth Outreach programs for sex workers and their clients Outreach programs for men who have sex with men Harm reduction programs for injecting drug users Provide sterile needles & syringes Ensure safety of blood transfusions Offer public sector condom promotion and distribution Target sexually transmitted infections for early diagnosis, treatment, prevention and control Ensure workplace prevention programs Prevent mother-to-child transmission (PMTCT) Offer post-exposure prophylaxis Provide needles and support to ensure safe injections Promote universal precautions Policy, administration and research (<i>to be specified further</i>)
<i>HIV Care</i>	Offer palliative care Diagnosis of HIV infection (HIV testing) Treatment for opportunistic infections Prophylaxis for opportunistic infections Offer anti retroviral therapy (ART), including laboratory services for monitoring treatment
<i>Orphan support</i>	Community support for orphan care (<i>to be specified further</i>) Extend operation of orphanages School fee support for orphans

* Health systems interventions, including enhancing community demand, are included separately

MDG 6 Target 8:	Have halted and begun to reverse the incidence of malaria and other major diseases
Category	Intervention
<i>Malaria</i>	
Prevention of mosquito bites	Provide and distribute of insecticide-treated nets
	Provide residual indoor spraying
	Provide household screening/improvement
Prevention of infection	Promote prevention in pregnant women
	Provide intermittent preventive treatment to infants (IPTi)
	Provide Chemoprophylaxis to young children
Treatment	Provide treatment for clinical episodes of malaria
Epidemic control	Provide surveillance and preparedness
	Provide rapid response
Environmental control	Provide intermittent irrigation
	Provide spraying
	Provide drainage
	Provide leveling roads with puddles
<i>TB</i>	
TB Prevention	Provide BCG vaccinations
Programs for people with TB	Directly Observed Treatment Shortcourse (DOTS)

Health System Interventions required for achieving the Health MDGs	
Category	Intervention
<i>Strengthen human resources</i>	Improve planning for human resource needs
	Provide pre-service education and training for health professionals (e.g. doctors, nurses, lab-technicians, pharmacists, etc.) and management staff
	Provide in-service training to ministry of health central and district management staff
	Provide continuing in-service medical education to doctors, nurses, and other health staff
	Review and improve remuneration and incentive packages of health workers
<i>Improve infrastructure</i>	Build new infrastructure
	Invest in non-facility infrastructure
	Rehabilitate existing infrastructure
	Establish systems to manage buildings and equipment
<i>Strengthen system management</i>	Strengthen Ministry of Health and District Health Teams' capacity in planning, budgeting, supervision, drugs and medical supplies management (<i>to be specified further</i>)
	Establish mechanism to ensure transparent & accountable management of financial resources
<i>Improve monitoring, evaluation and quality assurance</i>	Regulate service delivery for public and private sector practitioners
	Develop treatment protocols and implement practice audits
	Formulate policy guidelines for traditional medicine
	Institute or improve health system data gathering
	Institute or improve vital registries and epidemiological surveillance
<i>Enhance community demand and access</i>	Create demand for appropriate health services (e.g. through fighting stigma, providing education on importance of timely diagnosis and treatment); (<i>to be specified further</i>)
	Eliminate user fees for essential services
	Enhance access to clinics and hospitals through improving transportation and communication
	Educate traditional providers about treatment/referral systems
<i>Build capacity for research and development</i>	Design and conduct operational and clinical research studies for priority health areas

This list has been developed by the Millennium Project Task Force on Access to Essential Medicines to translate the principles of human rights relating to drug access into enforceable rights for the individual. Details of some interventions remain to be specified further

MDG 8 Target 17: Provide access to affordable essential drugs in developing countries	
Category	Intervention
<i>Availability of Essential Medicines</i>	
Strengthen innovation	Encourage advocacy for appropriate innovation and priority setting
	Provide policy, funding and infrastructure for research for national priority health needs
	Promote R and/or D for indigenous medicines
	Promote public investment in research for priority health needs of developing countries
	Ensure international standards for ethical research are applied in all countries
Supply systems	Create environment that mandates private sector to contribute to innovation in public health
	Promote all effective supply channels (public, private, NGO) giving priority to sustainable, reliable supply systems
	Provide clear regulations for supply systems
	Ensure judicial system enforces regulations
	Promote information sharing on successful national and pooled supply strategies to enable innovation
	Provide producers with reliable forecasts of priority product requirements
	Promote international standards for procurement agencies
Safety of medicines	Prequalify procurement agents
	Strengthen drug regulatory authority with political support, financing, and staff
	Institute system for monitoring and redressing drug injury
	Enforce compliance with international Good Manufacturing Practice
	Share information about poor quality products and producers
	Set up system for sharing information on benefit-risk assessment and regulatory decisions (e.g., withdrawals)
	Prequalify and monitor priority products and suppliers and share this information (e.g., white list)
<i>Affordability of Essential Medicines</i>	
Financing	Increase public sector budget for essential medicines and ensure equity of access
	Promote prepayment and insurance schemes including employer schemes
	Phase out user fees for essential medicines in favor of more equitable drug financing
	Institute performance based payment for providers
	Promote good donation practices as per international guidelines
	Increase total international financing for essential medicines targeting the poor
	Provide comparative health and other sectoral accounts and pharmaceutical expenditure to encourage fair financing
Prices of medicines	Promote generic and therapeutic competition
	Monitor and regulate the prices of essential medicines
	Remove inappropriate tariffs and taxes and reduce inappropriate distribution and dispensing margins and informal payments
	Adapt and use national legislation to take advantage of TRIPs flexibilities and suspension of pharmaceutical patents for Least Developed Countries as per Doha declaration

Millennium Development Goals Needs Assessment
Lists of interventions

MDG 8 Target 17: Provide access to affordable essential drugs in developing countries	
Category	Intervention
	<p>Develop strategies to ensure production and availability of generic medicines after 2005 and beyond the options that are currently available.</p> <p>Promote equity pricing through company discounts, bulk purchasing, voluntary licensing, compulsory licensing, etc.</p> <p>Promote company differential pricing for public health priorities</p> <p>Monitor impact of pharmaceutical trade agreement on access to medicines and take action if negative</p> <p>Share information on producer prices, mark-ups, tariffs and taxes, fees and other charges</p> <p>Support a competitive international pharmaceutical environment that includes generic and therapeutic competition</p> <p>Ensure that international understandings that support access to medicines are not undermined through regional and bilateral negotiations</p>
<i>Appropriate use</i>	
Prescribing and dispensing	<p>Create essential medicines list based on evidence-based treatment guidelines for prevalent conditions</p> <p>Implement national coordinating policy on activities to improve rational drug use</p> <p>Ensure responsible and ethical drug promotion and availability of independent and impartial information for continuing education of prescribers and dispensers</p> <p>Develop evidence-based treatment guidelines for teaching, monitoring, and evaluation</p> <p>Train, regulate and monitor people prescribing and dispensing medicines</p> <p>Update and enforce WHO ethical guidelines for drug promotion and drug information (e.g., internet)</p> <p>Share, disseminate, and translate independent information on treatment of priority conditions for national adaptation</p>
Use by households	<p>Promote culturally appropriate health literacy and community support</p> <p>Ensure availability of independent and impartial information for households through culturally appropriate means</p> <p>Mobilize and engage communities to improve use of medicines</p> <p>Control direct to consumer promotion</p>
<i>Human resources</i>	<p>Ensure sufficient numbers of trained pharmacy workers of different levels</p> <p>Develop, support, and involve communities own resource persons</p> <p>Continuously update and adapt to needs training curricula for prescribers and dispensers</p> <p>Increase financing for health human resources in low-income countries</p> <p>Institute international agreements and cooperation on health worker migration</p>

Millennium Development Goals Needs Assessment
Lists of interventions

MDG 7 Target 9: Integrate the principles of sustainable development into country policies & programs & reverse the loss of environmental resources	
Category	Intervention
<i>General environmental policies and regulation</i>	Develop national strategy to manage ecosystems, protect biodiversity and reduce pollution
	Strengthen regulatory regime and enforcement of pollution control, set emission standards for water and air quality <i>(to be specified further)</i>
	Ensure environmental appraisal of sectoral policies (e.g. through Environmental Impact Assessments)
<i>Increase institutional capacity for environmental policy making and regulation</i>	Remove environmentally adverse subsidies <i>(to be specified)</i>
	<i>(to be specified)</i>
<i>Strengthen national environmental monitoring systems</i>	<i>(to be specified)</i>
<i>Education and training</i>	Train environmental experts
	Hire and train community workers who can raise environmental awareness and provide community training
	Introduce environmental training in school curricula
<i>Improved land management to assist the fight against desertification</i>	Implement national media campaigns to raise environmental awareness
	Improve land husbandry through soil erosion control and soil fertility improvement
	Reduce unsustainable demand for biomass for energy consumption <i>(see energy interventions for details)</i>
<i>Forest management</i>	<i>(other interventions to be specified)</i>
	Implement sustained-yield forest management techniques
	Develop plantations to meet needs for pulp and timber while reducing unsustainable deforestation
<i>Watershed and freshwater ecosystem management</i>	Reduce the reliance on wood as a source of energy <i>(see energy interventions for details)</i>
	Promote afforestation to reduce soil erosion
	Protect water catchment areas and their vegetation cover <i>(to be specified further)</i>
<i>Management of coastal ecosystems and fisheries</i>	Other interventions to prevent eutrophication <i>(to be specified)</i>
	<i>(to be specified)</i>
<i>Manage and extend protected areas</i>	<i>(to be specified)</i>
<i>Transport-related pollution</i>	<i>(to be specified)</i>
<i>Industrial air pollution</i>	Develop pollution abatement strategy (including emissions inventory and source apportionment analysis)
	<i>(Other interventions to be specified)</i>
<i>Energy-related air pollution</i>	Develop air pollution control technologies for existing energy plants than can be implemented in low-income countries
	Provide infrastructure for delivery of improved fuels to urban population
<i>Water pollution</i>	Increase access to improved fuels
	Extend industrial wastewater treatment
<i>Solid waste and soil pollution</i>	<i>(Other interventions to be specified)</i>
	<i>(to be specified)</i>

Millennium Development Goals Needs Assessment
Lists of interventions

MDG 7 Target 10:	Halve, by 2015, the proportion of people without access to safe drinking water
WSSD Target:	Halve, by 2015 the proportion of people who do not have access to improved sanitation
Category	Intervention
<i>Integrated Water Resources Management (IWRM)</i>	Develop and implement national water resources strategy <i>(details to be specified)</i> Strengthen national and regional institutions for water resource management <i>(details to be specified)</i> Extend hydrological monitoring systems to cover all critical watersheds and groundwater aquifers
<i>Water supply</i>	Provide new infrastructure for water supply using locally appropriate technologies (including protected dug wells and boreholes) Operate and maintain water supply systems Promote safe storage systems for drinking water Repair and upgrade existing water supply infrastructure Introduce alternative water supply technologies at household level (e.g. rainwater harvesting)
<i>Water infrastructure and supply management</i>	Construct water storage systems and extend large-scale water harvesting Improve and extend large-scale water distribution systems Ensure operation and management of water storage and distribution systems
<i>Sanitation</i>	Construct new sanitation systems and infrastructure Maintain and operate sanitation systems Upgrade and repair of existing sanitation systems and infrastructure Construct and operate sewage treatment systems Regularly empty pit latrines, septic tanks, etc.
<i>Behavior Change Programs</i>	Promote hygiene education in schools and at the household level Accompany roll-out of water and sanitation infrastructure with targeted behavior change programs to improve hygiene education Run national awareness campaigns to improve hygiene behavior and promote conservation of drinking water

Millennium Development Goals Needs Assessment
Lists of interventions

MDG 7, Target 11: By 2020, to have achieved a significant improvement in the lives of 100 million slumdwellers	
Category	Intervention
<i>Strengthen institutions for urban management and planning</i>	<i>(To be specified)</i>
<i>Slum upgrading</i>	Upgrade and build new houses
	Upgrade and extend roads & sidewalks
	Provide street lighting
	Provide storm drainage
	Build and extend communication infrastructure
<i>Secure Tenure</i>	Improve land management systems
	Improve legal protection and enforcement of slum dwellers' rights
	<i>(Other interventions to be specified)</i>
<i>City-wide infrastructure</i>	Develop comprehensive transport strategy and plan
	Construct roads
	Construct footpaths
	Construct sidewalks
	Construct bus lanes
	Provide street lighting
	Construct other transport infrastructure (rails, subway, etc)
	Build and maintain water and sanitation infrastructure (addressed under Target 10)
	Ensure maintenance and operation of urban infrastructure
<i>Basic services</i>	Provide refuse collection & solid waste disposal services
	Provide policing and security services
	Provide fire-protection services
	<i>(To be specified)</i>
<i>Improve access to credit</i>	<i>(To be specified)</i>
<i>Public transport system</i>	<i>(To be specified)</i>

Millennium Development Goals Needs Assessment
Lists of interventions

MDG 8, Target 18: In co-operation with the private sector, make available the benefits of new technologies, especially information and communications	
Category	Intervention
<i>Strengthen science advice to policymakers</i>	<i>(To be specified)</i>
<i>Accelerate private enterprise development</i>	<i>(To be specified)</i>
<i>Build human capabilities through improved and expanded higher education</i>	<i>(To be specified)</i>
<i>Invest in national R&D systems outside of the tertiary education sector</i>	<i>(To be specified)</i>
<i>Promote underfunded research on priority areas</i>	<i>(To be specified)</i>
<i>Institute technology forecasting</i>	<i>(To be specified)</i>
<i>Promote information and communication technology</i>	<i>(To be specified)</i>

Millennium Development Goals Needs Assessment
Lists of interventions

Support of all MDGs:	Provide access to clean energy
Category	Intervention
<i>National energy framework</i>	Develop and strengthen regulatory framework to support energy sector development
	Assess and project national energy needs
	Appraise existing infrastructure and project future infrastructure requirements
	Establish Rural Electrification Board for policy direction implementing roll-out strategy
<i>Thermal energy systems</i>	Develop programs to promote improved demand-side energy efficiency, particularly at the industrial level
	Develop strategies for energy service delivery (cooking, heating, energy for productive applications), particularly to rural households, community centers, health facilities, and schools: including installation and maintenance of systems; consumer financing of capital and recurrent costs; payment collection
	Rehabilitate and rationalize the petroleum refining, storage and distribution infrastructure
	Develop distribution system for improved thermal energy inputs to the end user, including charcoal, kerosene, and LPG
<i>Grid-based electricity generation</i>	Develop and disseminate appropriate end-use device technologies, notably for cooking
	Increase installed electricity generation capacity (thermal or hydro, as appropriate)
	Upgrade existing generation infrastructure (including major repairs)
	Maintain and operate generation infrastructure
<i>Electricity grid</i>	Retrofit pollution control technologies to existing power plants
	Develop strategies for energy service delivery (lighting, communications, energy for productive applications) to households, community centers, health facilities, and schools: including connection (installation) and maintenance of systems; consumer financing of capital and recurrent costs; payment collection
	Develop, expand and rehabilitate electricity distribution and transmission systems
	Extend electricity grid by constructing High-voltage lines (including international connections), Medium to low-voltage lines (including end-user connections) and other related infrastructure (e.g. transformer stations), as well as expanding existing grid systems to rural areas
<i>Non-grid based electricity systems</i>	Develop strategies for energy service delivery to households, community centers, healthcare facilities, and schools: including connection (installation) and maintenance of systems; consumer financing of capital and recurrent costs; payment collection
	Provide diesel generators to rural communities
	Provide Hybrid systems (wind-diesel, solar-diesel...) to rural communities
	Develop and distribute solar home systems for very remote areas
<i>R&D on energy technologies and increasing efficiency of use</i>	Strengthen research on renewable and alternative technologies (e.g. wind, geothermal)
	Improve efficiency of fossil-fuel based systems
	(Other interventions to be specified)

Millennium Development Goals Needs Assessment
Lists of interventions

Support of all MDGs:	Provide adequate transport infrastructure
Category	Intervention
<i>Strengthen institutional capacity</i>	<i>(To be specified)</i>
<i>Roads</i>	Undertake environmental audits
	Pave existing roads and build new paved roads
	Rehabilitate, maintain and selectively upgrade existing roads
	Streamline the institutional and policy guidelines to make the roads construction process more effective
<i>Rail</i>	Integrate railway systems
	Lay new tracks
	Upgrade existing tracks
	Introduce new rolling stock
<i>Ports</i>	Modernize and upgrade existing ports
	Enhance physical port capacity for accommodating containerized freight
	Increase coordination with rail and road transport authorities

Annex 35: Millenium Development Goals (MDGs): declaration and indicators

Resolution adopted by the General Assembly

[without reference to a Main Committee (A/55/L.2)]

55/2. United Nations Millennium Declaration

The General Assembly

Adopts the following Declaration:

United Nations Millennium Declaration

I. Values and principles

1. We, heads of State and Government, have gathered at United Nations Headquarters in New York from 6 to 8 September 2000, at the dawn of a new millennium, to reaffirm our faith in the Organization and its Charter as indispensable foundations of a more peaceful, prosperous and just world.

2. We recognize that, in addition to our separate responsibilities to our individual societies, we have a collective responsibility to uphold the principles of human dignity, equality and equity at the global level. As leaders we have a duty therefore to all the world's people, especially the most vulnerable and, in particular, the children of the world, to whom the future belongs.

3. We reaffirm our commitment to the purposes and principles of the Charter of the United Nations, which have proved timeless and universal. Indeed, their relevance and capacity to inspire have increased, as nations and peoples have become increasingly interconnected and interdependent.

4. We are determined to establish a just and lasting peace all over the world in accordance with the purposes and principles of the Charter. We rededicate ourselves to support all efforts to uphold the sovereign equality of all States, respect for their territorial integrity and political independence, resolution of disputes by peaceful means and in conformity with the principles of justice and international law, the right to self-determination of peoples which remain under colonial domination and foreign occupation, non-interference in the internal affairs of States, respect for human rights and fundamental freedoms, respect for the equal rights of all without distinction as to race, sex, language or religion and international cooperation in solving international problems of an economic, social, cultural or humanitarian character.

5. We believe that the central challenge we face today is to ensure that globalization becomes a positive force for all the world's people. For while globalization offers great opportunities, at present its benefits are very unevenly shared, while its costs are unevenly distributed. We recognize that developing countries and countries with economies in transition face special difficulties in responding to this central challenge. Thus, only through broad and sustained efforts to create a shared future, based upon our common humanity in all its diversity, can globalization be made fully inclusive and equitable. These efforts must include policies and measures, at the global level, which correspond to the needs of developing countries and economies in transition and are formulated and implemented with their effective participation.

6. We consider certain fundamental values to be essential to international relations in the twenty-first century. These include:

- **Freedom.** Men and women have the right to live their lives and raise their children in dignity, free from hunger and from the fear of violence, oppression or injustice. Democratic and participatory governance based on the will of the people best assures these rights.
- **Equality.** No individual and no nation must be denied the opportunity to benefit from development. The equal rights and opportunities of women and men must be assured.
- **Solidarity.** Global challenges must be managed in a way that distributes the costs and burdens fairly in accordance with basic principles of equity and social justice. Those who suffer or who benefit least deserve help from those who benefit most.
- **Tolerance.** Human beings must respect one other, in all their diversity of belief, culture and language. Differences within and between societies should be neither feared nor repressed, but

cherished as a precious asset of humanity. A culture of peace and dialogue among all civilizations should be actively promoted.

- **Respect for nature.** Prudence must be shown in the management of all living species and natural resources, in accordance with the precepts of sustainable development. Only in this way can the immeasurable riches provided to us by nature be preserved and passed on to our descendants. The current unsustainable patterns of production and consumption must be changed in the interest of our future welfare and that of our descendants.

- **Shared responsibility.** Responsibility for managing worldwide economic and social development, as well as threats to international peace and security, must be shared among the nations of the world and should be exercised multilaterally. As the most universal and most representative organization in the world, the United Nations must play the central role.

7. In order to translate these shared values into actions, we have identified key objectives to which we assign special significance.

II. Peace, security and disarmament

8. We will spare no effort to free our peoples from the scourge of war, whether within or between States, which has claimed more than 5 million lives in the past decade. We will also seek to eliminate the dangers posed by weapons of mass destruction.

9. We resolve therefore:

- To strengthen respect for the rule of law in international as in national affairs and, in particular, to ensure compliance by Member States with the decisions of the International Court of Justice, in compliance with the Charter of the United Nations, in cases to which they are parties.

- To make the United Nations more effective in maintaining peace and security by giving it the resources and tools it needs for conflict prevention, peaceful resolution of disputes, peacekeeping, post-conflict peace-building and reconstruction. In this context, we take note of the report of the Panel on United Nations Peace Operations and request the General Assembly to consider its recommendations expeditiously.

- To strengthen cooperation between the United Nations and regional organizations, in accordance with the provisions of Chapter VIII of the Charter.

- To ensure the implementation, by States Parties, of treaties in areas such as arms control and disarmament and of international humanitarian law and human rights law, and call upon all States to consider signing and ratifying the Rome Statute of the International Criminal Court.

- To take concerted action against international terrorism, and to accede as soon as possible to all the relevant international conventions.

- To redouble our efforts to implement our commitment to counter the world drug problem.

- To intensify our efforts to fight transnational crime in all its dimensions, including trafficking as well as smuggling in human beings and money laundering.

- To minimize the adverse effects of United Nations economic sanctions on innocent populations, to subject such sanctions regimes to regular reviews and to eliminate the adverse effects of sanctions on third parties.

- To strive for the elimination of weapons of mass destruction, particularly nuclear weapons, and to keep all options open for achieving this aim, including the possibility of convening an international conference to identify ways of eliminating nuclear dangers.

- To take concerted action to end illicit traffic in small arms and light weapons, especially by making arms transfers more transparent and supporting regional disarmament measures, taking account of all the recommendations of the forthcoming United Nations Conference on Illicit Trade in Small Arms and Light Weapons.

- To call on all States to consider acceding to the Convention on the Prohibition of the Use, Stockpiling, Production and Transfer of Anti-personnel Mines and on Their Destruction, as well as the amended mines protocol to the Convention on conventional weapons.

10. We urge Member States to observe the Olympic Truce, individually and collectively, now and in the future, and to support the International Olympic Committee in its efforts to promote peace and human understanding through sport and the Olympic Ideal.

III. Development and poverty eradication

11. We will spare no effort to free our fellow men, women and children from the abject and dehumanizing conditions of extreme poverty, to which more than a billion of them are currently subjected. We are committed to making the right to development a reality for everyone and to freeing the entire human race from want.

12. We resolve therefore to create an environment – at the national and global levels alike – which is conducive to development and to the elimination of poverty.

13. Success in meeting these objectives depends, *inter alia*, on good governance within each country. It also depends on good governance at the international level and on transparency in the financial, monetary and trading systems. We are committed to an open, equitable, rule-based, predictable and non-discriminatory multilateral trading and financial system.

14. We are concerned about the obstacles developing countries face in mobilizing the resources needed to finance their sustained development. We will therefore make every effort to ensure the success of the High-level International and Intergovernmental Event on Financing for Development, to be held in 2001.

15. We also undertake to address the special needs of the least developed countries. In this context, we welcome the Third United Nations Conference on the Least Developed Countries to be held in May 2001 and will endeavour to ensure its success. We call on the industrialized countries:

- To adopt, preferably by the time of that Conference, a policy of duty- and quota-free access for essentially all exports from the least developed countries;
- To implement the enhanced programme of debt relief for the heavily indebted poor countries without further delay and to agree to cancel all official bilateral debts of those countries in return for their making demonstrable commitments to poverty reduction; and
- To grant more generous development assistance, especially to countries that are genuinely making an effort to apply their resources to poverty reduction.

16. We are also determined to deal comprehensively and effectively with the debt problems of low- and middle-income developing countries, through various national and international measures designed to make their debt sustainable in the long term.

17. We also resolve to address the special needs of small island developing States, by implementing the Barbados Programme of Action and the outcome of the twenty-second special session of the General Assembly rapidly and in full. We urge the international community to ensure that, in the development of a vulnerability index, the special needs of small island developing States are taken into account.

18. We recognize the special needs and problems of the landlocked developing countries, and urge both bilateral and multilateral donors to increase financial and technical assistance to this group of countries to meet their special development needs and to help them overcome the impediments of geography by improving their transit transport systems.

19. We resolve further:

- To halve, by the year 2015, the proportion of the world's people whose income is less than one dollar a day and the proportion of people who suffer from hunger and, by the same date, to halve the proportion of people who are unable to reach or to afford safe drinking water.
- To ensure that, by the same date, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling and that girls and boys will have equal access to all levels of education.
- By the same date, to have reduced maternal mortality by three quarters, and under-five child mortality by two thirds, of their current rates.
- To have, by then, halted, and begun to reverse, the spread of HIV/AIDS, the scourge of malaria and other major diseases that afflict humanity.
- To provide special assistance to children orphaned by HIV/AIDS.
- By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers as proposed in the "Cities Without Slums" initiative.

20. We also resolve:

- To promote gender equality and the empowerment of women as effective ways to combat poverty, hunger and disease and to stimulate development that is truly sustainable.
- To develop and implement strategies that give young people everywhere a real chance to find decent and productive work.
- To encourage the pharmaceutical industry to make essential drugs more widely available and affordable by all who need them in developing countries.
- To develop strong partnerships with the private sector and with civil society organizations in pursuit of development and poverty eradication.
- To ensure that the benefits of new technologies, especially information and communication technologies, in conformity with recommendations contained in the ECOSOC 2000 Ministerial Declaration, are available to all.

IV. Protecting our common environment

21. We must spare no effort to free all of humanity, and above all our children and grandchildren, from the threat of living on a planet irredeemably spoiled by human activities, and whose resources would no longer be sufficient for their needs.

22. We reaffirm our support for the principles of sustainable development, including those set out in Agenda 21, agreed upon at the United Nations Conference on Environment and Development.

23. We resolve therefore to adopt in all our environmental actions a new ethic of conservation and stewardship and, as first steps, we resolve:

- To make every effort to ensure the entry into force of the Kyoto Protocol, preferably by the tenth anniversary of the United Nations Conference on Environment and Development in 2002, and to embark on the required reduction in emissions of greenhouse gases.
- To intensify our collective efforts for the management, conservation and sustainable development of all types of forests.
- To press for the full implementation of the Convention on Biological Diversity and the Convention to Combat Desertification in those Countries Experiencing Serious Drought and/or Desertification, particularly in Africa.
- To stop the unsustainable exploitation of water resources by developing water management strategies at the regional, national and local levels, which promote both equitable access and adequate supplies.
- To intensify cooperation to reduce the number and effects of natural and man-made disasters.
- To ensure free access to information on the human genome sequence.

V. Human rights, democracy and good governance

24. We will spare no effort to promote democracy and strengthen the rule of law, as well as respect for all internationally recognized human rights and fundamental freedoms, including the right to development.

25. We resolve therefore:

- To respect fully and uphold the Universal Declaration of Human Rights.
- To strive for the full protection and promotion in all our countries of civil, political, economic, social and cultural rights for all.
- To strengthen the capacity of all our countries to implement the principles and practices of democracy and respect for human rights, including minority rights.
- To combat all forms of violence against women and to implement the Convention on the Elimination of All Forms of Discrimination against Women.
- To take measures to ensure respect for and protection of the human rights of migrants, migrant workers and their families, to eliminate the increasing acts of racism and xenophobia in many societies and to promote greater harmony and tolerance in all societies.
- To work collectively for more inclusive political processes, allowing genuine participation by all citizens in all our countries.

- To ensure the freedom of the media to perform their essential role and the right of the public to have access to information.

VI. Protecting the vulnerable

26. We will spare no effort to ensure that children and all civilian populations that suffer disproportionately the consequences of natural disasters, genocide, armed conflicts and other humanitarian emergencies are given every assistance and protection so that they can resume normal life as soon as possible.

We resolve therefore:

- To expand and strengthen the protection of civilians in complex emergencies, in conformity with international humanitarian law.
- To strengthen international cooperation, including burden sharing in, and the coordination of humanitarian assistance to, countries hosting refugees and to help all refugees and displaced persons to return voluntarily to their homes, in safety and dignity and to be smoothly reintegrated into their societies.
- To encourage the ratification and full implementation of the Convention on the Rights of the Child and its optional protocols on the involvement of children in armed conflict and on the sale of children, child prostitution and child pornography.

VII. Meeting the special needs of Africa

27. We will support the consolidation of democracy in Africa and assist Africans in their struggle for lasting peace, poverty eradication and sustainable development, thereby bringing Africa into the mainstream of the world economy.

28. We resolve therefore:

- To give full support to the political and institutional structures of emerging democracies in Africa.
- To encourage and sustain regional and subregional mechanisms for preventing conflict and promoting political stability, and to ensure a reliable flow of resources for peacekeeping operations on the continent.
- To take special measures to address the challenges of poverty eradication and sustainable development in Africa, including debt cancellation, improved market access, enhanced Official Development Assistance and increased flows of Foreign Direct Investment, as well as transfers of technology.
- To help Africa build up its capacity to tackle the spread of the HIV/AIDS pandemic and other infectious diseases.

VIII. Strengthening the United Nations

29. We will spare no effort to make the United Nations a more effective instrument for pursuing all of these priorities: the fight for development for all the peoples of the world, the fight against poverty, ignorance and disease; the fight against injustice; the fight against violence, terror and crime; and the fight against the degradation and destruction of our common home.

30. We resolve therefore:

- To reaffirm the central position of the General Assembly as the chief deliberative, policy-making and representative organ of the United Nations, and to enable it to play that role effectively.
- To intensify our efforts to achieve a comprehensive reform of the Security Council in all its aspects.
- To strengthen further the Economic and Social Council, building on its recent achievements, to help it fulfil the role ascribed to it in the Charter.
- To strengthen the International Court of Justice, in order to ensure justice and the rule of law in international affairs.
- To encourage regular consultations and coordination among the principal organs of the United Nations in pursuit of their functions.

- To ensure that the Organization is provided on a timely and predictable basis with the resources it needs to carry out its mandates.
- To urge the Secretariat to make the best use of those resources, in accordance with clear rules and procedures agreed by the General Assembly, in the interests of all Member States, by adopting the best management practices and technologies available and by concentrating on those tasks that reflect the agreed priorities of Member States.
- To promote adherence to the Convention on the Safety of United Nations and Associated Personnel.
- To ensure greater policy coherence and better cooperation between the United Nations, its agencies, the Bretton Woods Institutions and the World Trade Organization, as well as other multilateral bodies, with a view to achieving a fully coordinated approach to the problems of peace and development.
- To strengthen further cooperation between the United Nations and national parliaments through their world organization, the Inter-Parliamentary Union, in various fields, including peace and security, economic and social development, international law and human rights and democracy and gender issues.
- To give greater opportunities to the private sector, non-governmental organizations and civil society, in general, to contribute to the realization of the Organization's goals and programmes.

31. We request the General Assembly to review on a regular basis the progress made in implementing the provisions of this Declaration, and ask the Secretary-General to issue periodic reports for consideration by the General Assembly and as a basis for further action.

32. We solemnly reaffirm, on this historic occasion, that the United Nations is the indispensable common house of the entire human family, through which we will seek to realize our universal aspirations for peace, cooperation and development. We therefore pledge our unstinting support for these common objectives and our determination to achieve them.

8th plenary meeting
8 September 2000

Millennium Development Goals (MDGs)	
Goals and Targets (from the Millennium Declaration)	Indicators for monitoring progress
Goal 1: Eradicate extreme poverty and hunger	
Target 1: Halve, between 1990 and 2015, the proportion of people whose income is less than one dollar a day	1. Proportion of population below \$1 (PPP) per day ^a 2. Poverty gap ratio [incidence x depth of poverty] 3. Share of poorest quintile in national consumption
Target 2: Halve, between 1990 and 2015, the proportion of people who suffer from hunger	4. Prevalence of underweight children under-five years of age 5. Proportion of population below minimum level of dietary energy consumption
Goal 2: Achieve universal primary education	
Target 3: Ensure that, by 2015, children everywhere, boys and girls alike, will be able to complete a full course of primary schooling	6. Net enrolment ratio in primary education 7. Proportion of pupils starting grade 1 who reach grade 5 8. Literacy rate of 15-24 year-olds
Goal 3: Promote gender equality and empower women	
Target 4: Eliminate gender disparity in primary and secondary education preferably by 2005 and to all levels of education no later than 2015	9. Ratios of girls to boys in primary, secondary and tertiary education 10. Ratio of literate females to males of 15-24 year-olds 11. Share of women in wage employment in the non-agricultural sector 12. Proportion of seats held by women in national parliament
Goal 4: Reduce child mortality	
Target 5: Reduce by two-thirds, between 1990 and 2015, the under-five mortality rate	13. Under-five mortality rate 14. Infant mortality rate 15. Proportion of 1 year-old children immunised against measles
Goal 5: Improve maternal health	
Target 6: Reduce by three-quarters, between 1990 and 2015, the maternal mortality ratio	16. Maternal mortality ratio 17. Proportion of births attended by skilled health personnel
Goal 6: Combat HIV/AIDS, malaria and other diseases	
Target 7: Have halted by 2015 and begun to reverse the spread of HIV/AIDS	18. HIV prevalence among 15-24 year old pregnant women 19. Condom use rate of the contraceptive prevalence rate ^b 20. Number of children orphaned by HIV/AIDS ^c
Target 8: Have halted by 2015 and begun to reverse the incidence of malaria and other major diseases	21. Prevalence and death rates associated with malaria 22. Proportion of population in malaria risk areas using effective malaria prevention and treatment measures ^d 23. Prevalence and death rates associated with tuberculosis 24. Proportion of tuberculosis cases detected and cured under directly observed treatment short course (DOTS)
Goal 7: Ensure environmental sustainability	
Target 9: Integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources	25. Proportion of land area covered by forest 26. Ratio of area protected to maintain biological diversity to surface area 27. Energy use (kg oil equivalent) per \$1 GDP (PPP) 28. Carbon dioxide emissions (per capita) and consumption of ozone-depleting CFCs (ODP tons) 29. Proportion of population using solid fuels
Target 10: Halve, by 2015, the proportion of people without sustainable access to safe drinking water	30. Proportion of population with sustainable access to an improved water source, urban and rural
Target 11: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers	31. Proportion of urban population with access to improved sanitation 32. Proportion of households with access to secure tenure (owned or rented)

Goal 8: Develop a global partnership for development	
<p>Target 12: Develop further an open, rule-based, predictable, non-discriminatory trading and financial system</p> <p>Includes a commitment to good governance, development, and poverty reduction – both nationally and internationally</p>	<p><i>Some of the indicators listed below are monitored separately for the least developed countries (LDCs), Africa, landlocked countries and small island developing States.</i></p> <p><u>Official development assistance</u></p> <p>33. Net ODA, total and to LDCs, as percentage of OECD/DAC donors' gross national income</p> <p>34. Proportion of total bilateral, sector-allocable ODA of OECD/DAC donors to basic social services (basic education, primary health care, nutrition, safe water and sanitation)</p> <p>35. Proportion of bilateral ODA of OECD/DAC donors that is untied</p> <p>36. ODA received in landlocked countries as proportion of their GNIs</p> <p>37. ODA received in small island developing States as proportion of their GNIs</p>
<p>Target 13: Address the special needs of the least developed countries</p> <p>Includes: tariff and quota free access for least developed countries' exports; enhanced programme of debt relief for HIPC and cancellation of official bilateral debt; and more generous ODA for countries committed to poverty reduction</p>	<p><u>Market access</u></p> <p>38. Proportion of total developed country imports (by value and excluding arms) from developing countries and LDCs, admitted free of duties</p> <p>39. Average tariffs imposed by developed countries on agricultural products and textiles and clothing from developing countries</p> <p>40. Agricultural support estimate for OECD countries as percentage of their GDP</p> <p>41. Proportion of ODA provided to help build trade capacity^a</p>
<p>Target 14: Address the special needs of landlocked countries and small island developing States</p> <p>(through the Programme of Action for the Sustainable Development of Small Island Developing States and the outcome of the twenty-second special session of the General Assembly)</p>	<p><u>Debt sustainability</u></p> <p>42. Total number of countries that have reached their HIPC decision points and number that have reached their HIPC completion points (cumulative)</p> <p>43. Debt relief committed under HIPC initiative, US\$</p> <p>44. Debt service as a percentage of exports of goods and services</p>
<p>Target 15: Deal comprehensively with the debt problems of developing countries through national and international measures in order to make debt sustainable in the long term</p>	
<p>Target 16: In co-operation with developing countries, develop and implement strategies for decent and productive work for youth</p>	<p>45. Unemployment rate of 15-24 year-olds, each sex and total^f</p>
<p>Target 17: In co-operation with pharmaceutical companies, provide access to affordable, essential drugs in developing countries</p>	<p>46. Proportion of population with access to affordable essential drugs on a sustainable basis</p>
<p>Target 18: In co-operation with the private sector, make available the benefits of new technologies, especially information and communications</p>	<p>47. Telephone lines and cellular subscribers per 100 population</p> <p>48. Personal computers in use per 100 population and Internet users per 100 population</p>

The Millennium Development Goals and targets come from the Millennium Declaration signed by 189 countries, including 147 Heads of State, in September 2000 (www.un.org/documents/qa/res/55/a55r002.pdf - A/RES/55/2). The goals and targets are inter-related and should be seen as a whole. They represent a partnership between the developed countries and the developing countries determined, as the Declaration states, "to create an environment – at the national and global levels alike – which is conducive to development and the elimination of poverty."

^a For monitoring country poverty trends, indicators based on national poverty lines should be used, where available.

^b Amongst contraceptive methods, only condoms are effective in preventing HIV transmission. The contraceptive prevalence rate is also useful in tracking progress in other health, gender and poverty goals. Because the condom use rate is only measured amongst women in union, it will be supplemented by an indicator on condom use in high risk situations. These indicators will be augmented with an indicator of knowledge and misconceptions regarding HIV/AIDS by 15-24 year-olds (UNICEF – WHO).

^c To be measured by the ratio of proportion of orphans to non-orphans aged 10-14 who are attending school.

^d Prevention to be measured by the % of under 5s sleeping under insecticide treated bednets; treatment to be measured by % of under 5s who are appropriately treated.

^e OECD and WTO are collecting data that will be available for 2001 onwards.

^f An improved measure of the target is under development by ILO for future years.

Annex 36: Outline of the cluster/sector reports

Part 1: Introduction

- General introduction
- Cluster/Sector priorities
- Methodology
- Assumptions
- Approach to CAP

Part 2: Current Status and Issues

- Overview of the status of the cluster/sector
- Governance and institutional status
- Key vulnerable groups
- Contribution of the cluster/sector to peace-building

Part 3: Transitional strategy and objective

- General transitional strategy
- Specific transitional objective
- Assumptions

Part 4: Priorities, outcomes and benchmarks

- Summary overview of key priorities, outcomes and benchmarks

Part 5: Absorption and implementation capacity

- Key limitations
- Measures to address limitations
- Sector coordination, monitoring and evaluation mechanisms

Part 6: Interlinkages to other sectors and cross cutting themes

- Relationship between the sectors
- Cross-cutting themes (e.g. human rights, gender, environment, HIV/Aids, security)

Annex 37: Generic guidelines & outline for consolidation workshop for PCNA mission

Overall Aim:

- Check the quality of the results obtained
- Develop framework of the overall PCNA report
- integrate cross-sectoral issues in sectoral results

Participants:

- PCNA Coordinator
- Sector / Cluster Managers
- Specialists for cross-cutting issues
- Conflict specialist (moderator function)

Responsibility for Preparation:

- PCNA coordinator and secretariat

Time Frame:

- One full day

Venue:

- A centrally located venue in the country should be sought which allows quiet analytical thinking and debate

Background Material:

- Results for sectors / clusters and cross-cutting issues
- Conflict analysis

Material needed:

- Beamer or OHP for introduction of material
- Minimum 3 soft boards and visualization material (cards etc.)
- Flipchart

Outline of the Workshop:

Task	Rationale / Objective	Time Frame	Major Steps
Introduction to the workshop objective and format	Clarify the importance of the workshop and what needs to be reached by the afternoon	15'	<ul style="list-style-type: none"> ➤ Background to the Evolvement of the PCNA ➤ Explanation of the workshop aim and process
Presentation and discussion of each sector / cluster result	Have participants understand key findings of the respective sector team	30' per sector	<ul style="list-style-type: none"> ➤ Detailed presentation of sector findings ➤ Discussion after each presentation
Presentation, discussion and cross-checking of cross-sectoral issues	Check whether cross-cutting issues have been adequately integrated into sector outputs	30' per issue	<ul style="list-style-type: none"> ➤ Detailed presentation of cross-cutting issues ➤ Discussion after all presentations
Discussion of results in small groups	Reflection of <ul style="list-style-type: none"> a) the connection between different sectoral results b) the adequacy of orientation to the conflict analysis 	60'	<ul style="list-style-type: none"> ➤ Divide in two small groups ➤ Group 1: "where is an additional need to strengthen interrelations between sectoral results?" ➤ Group 2: "Are the sector results sufficiently responding to the conflict analysis?"
Feedback from discussion groups into the plenary	Have one person per group rapport major results of discussion	15' per group	<ul style="list-style-type: none"> ➤ Short presentation on flipcharts of group feedback ➤ Final comment from coordinaator
Clarification and agreement on further analytical work to do	Determine what needs to be done analytically and who will do it	45'	<ul style="list-style-type: none"> ➤ Chart with overview of things to do ➤ Agreement about who will do it with whom by when
Further issues for clarification	Possibility to clarify open questions	15'	<ul style="list-style-type: none"> ➤ A.O.B.
Wrap-up and feedback	Feedaback about usefulness of the workshop	10'	<ul style="list-style-type: none"> ➤ Short oral feedback by participants ("selective flashlight") ➤ Final words by coordinator

Annex 38: Tools for conflict-sensitive consolidation and quality-check of the overall needs assessment

1. Synopsis of sectoral assessments from conflict perspective (quality check)

The sectoral assessments will unvariably produce overlaps, diverging and possibly contradictory peace building priorities, as well as an overall recovery programme well beyond likely donor funding. A conflict-sensitive quality check at this stage can ensure coherence and balance of the overall recovery programme.

The quality check should be based on the following criteria:

- Coherent conflict analysis and capacity assessment
- Clear relation of sectoral priorities to stability and peace building goals
- Clear delineation of sectoral competencies and responsibilities
- Realistic sequencing of recovery objectives
- Conflict-sensitive indicators to measure sectoral achievements

2. Sequencing recovery assistance

Now, the initial formulation and sequencing of overall recovery and peace building goals for the country can be refined and supported by conflict-sensitive benchmarks using the results of the field assessments.

Tab. 1: Overall goals according to post-conflict reconstruction phases

	Stabilisation (12 months)	Transformation (12-36 months)	Consolidation (36-120 months)
Goals			
Benchmarks			

Annex 39: Validation workshop outline

(To be elaborated by UNDP/UNDG)

Annex 40: Outline validation workshop

(to be elaborated by UNDG/UNDP)

Annex 41: Proposed drafting schedule for final PCNA report

Date	Activity	Participants
Day 1	Sector reports due	Task managers to send to co-ordination team
Days 2-6	Reading and commenting	Cross-cutting experts, conflict specialist, drafting team
Days 7-8	Consolidation workshop <ul style="list-style-type: none"> ▪ Quality check ▪ Prioritising and sequencing proposed programmes ▪ Integration of cross-cutting needs 	Task managers, cross-cutting experts, PCNA co-ordination team, drafting team
Days 9-11	Drafting team develops sector and cross-cutting summaries	Drafting team
Days 11-12	Drafting team meeting to review summaries	
Days 13-19	Initial draft	
Days 20 – 23	Review and revisions of initial draft	
Days 24 – 39	Submission of initial draft to national authorities/parties to the peace process for comment	PCNA co-ordination team
Days 40-42	Finalisation of PCNA report	Drafting team
Day 45	Release to donors prior to donor conference	

Annex 42: Reporting format of the post-conflict needs assessment report

Outline

Map of the country

Acknowledgements

Acronyms and abbreviations

Executive Summary

I. Introduction

II. Background to the conflict

III. Vision and overall objectives

IV. Main elements of the recovery strategy

Results-based framework for recovery

V. Sectoral priorities

Sector A

Key issues and status

Priority outcomes

Needs in 200x/200y

Costs

Sector B

Sector C

Cross-cutting issues

National institutional capacities

VI. Financial requirements

Description of approach

Macro-economic assumptions

Table of overall estimate of financial requirements

Detailed sector tables (Results-based framework with costin

Annex 43: Debriefing questionnaire

(to be elaborated by UNDP/UNDG)

***Annex 44: Generic guidelines & outline for lessons learned workshop
for PCNA mission***

Overall Aim:

- Determination and documentation of major insights from the approach, methodology and process of the PCNA

Participants:

- PCNA Coordinator
- Sector / Cluster Managers
- Specialists for cross-cutting issues
- Conflict specialist (moderator function)
- Involved senior management of UNDG, UNDP and World Bank

Responsibility for Preparation:

- PCNA coordinator and secretariat

Time Frame:

- One half day

Venue:

- World Bank or UN office

Background Material:

- PCNA report draft
- (Analysis of) debriefing questionnaires

Material needed:

- Beamer or OHP for introduction of material
- Minimum 3 soft boards and visualization material (cards etc.)
- Flipchart

Outline

Task	Rationale / Objective	Time Frame	Major Steps
Introduction to the workshop objective and format	Clarify the importance of the workshop and what needs to be reached by the afternoon	15'	<ul style="list-style-type: none"> ➤ Background to the PCNA process ➤ Explanation of the workshop aim and process
Brainstorming of issues for lessons learned	Collection of major items for review from all workshop participants	20'	<ul style="list-style-type: none"> ➤ Open brainstorming on lessons-learned issues and collection on flipchart (no discussion!)
Presentation and discussion of feedback from team members	Inform about self-reflection results from the mission team members	30'	<ul style="list-style-type: none"> ➤ presentation of summary of team member debriefing questionnaires ➤ short plenary discussion
Identification of major "lessons learned" issues	Agreement on priority issues for detailed, lessons learned-oriented discussion	15'	<ul style="list-style-type: none"> ➤ group wrap-up of the major items to discuss in-depth from brainstorming and debriefings ➤ priority list on flipchart
Discussion and analysis of issues in small groups	Receive in-depth analysis of identified issues from participants	60-90'	<ul style="list-style-type: none"> ➤ Reflect selected issues in 2-3 small groups (each group discusses different ones) ➤ Document on flipchart or cards
Discussion of small group results in the plenary	Agreement on, and further reflection of, results of small group work	15' per group	<ul style="list-style-type: none"> ➤ Short presentation on flipcharts of group feedback ➤ Open group discussion
Clarification and agreement on further analytical work to do	Determine what needs to be done analytically and who will do it	15'	<ul style="list-style-type: none"> ➤ Chart with overview of issues identified ➤ Agreement about who will write up short notes on which issues
Further issues for clarification	Possibility to clarify open questions	15'	<ul style="list-style-type: none"> ➤ A.O.B.
Wrap-up and feedback	Feedback about usefulness of the workshop	10'	<ul style="list-style-type: none"> ➤ Short oral feedback by participants ("selective flashlight") ➤ Final words by coordinator

Annex 45: Sample budget for past PCNA missions
BUDGET: Post-conflict Needs Assessment for Liberia

ITEM	Cost (USD)
HQ COORDINATION	
SSA Policy Specialist 4 mos.	20.770,00
SSA Programme Associate 4 mos., Part time	5.200,00
L3 Policy Specialist, part time, 1 month (conference coordination)	5.888,00
FIELD COORDINATION	
L3 Coordination Officer (4 months, part-time)	7.748,00
HQ TECHNICAL ASSISTANCE	
Travel to Monrovia (2)	17.475,00
MISC. EXPENSES	
Traveling phone costs	1.500,00
Sub-Total	<u>58.581,00</u>
CORE GROUP	
Travel to DC/NY (3)	1.828,00
DONOR CONFERENCE	
Travel to NY (3)	11.178,00
Conference costs	7.500,00
Sub-Total	<u>20.506,00</u>
SYNTHESIS REPORT	
Travel to NY (2)	8.145,00
Travel to Monrovia (3)	18.152,00
Report Printing	4.000,00
Sub-Total	<u>30.297,00</u>
TOTAL (UNDG)	<u>109.384,00</u>
Personal costs sect.experts	
35 sectoral experts x 42 days x 600 USD	882.000,00
Travel Expenditures	
20 Exp x 42 days x 200 USD	168.000,00
Total PCNA	1.159.384,00

(see also attached electronic version of excel-spreadsheets)