

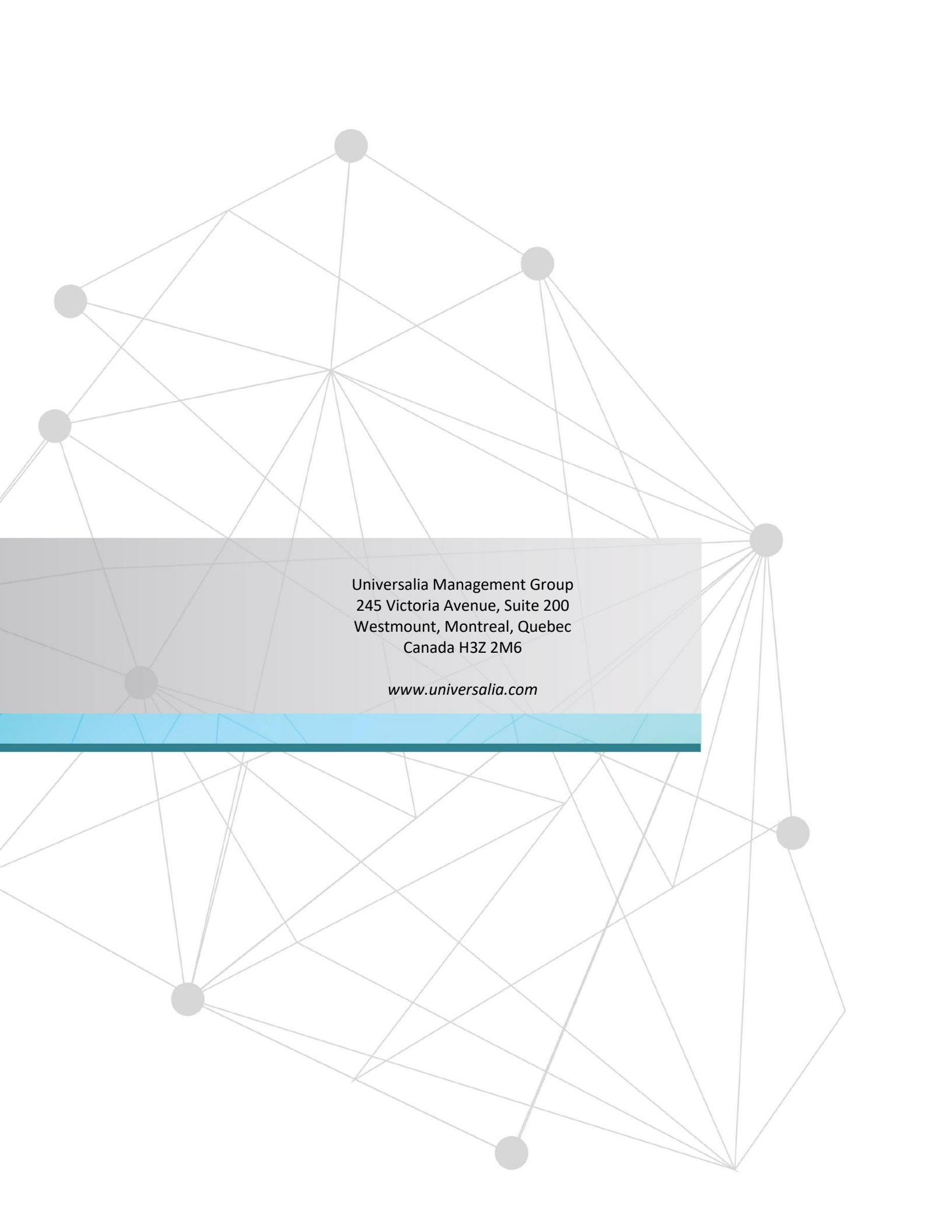
# Evaluation of the UNDAF Cycles 2011-2015 and 2016-2018 in Cambodia – June to November 2017

**FINAL REPORT** | NOVEMBER 21, 2017

Submitted to the United Nations Country Team in Cambodia

**Written by:** Jim Freedman, Mariane Arsenault, Alexandra Buskie and Hong Seng on behalf of Universalialia





Universalia Management Group  
245 Victoria Avenue, Suite 200  
Westmount, Montreal, Quebec  
Canada H3Z 2M6

[www.universalia.com](http://www.universalia.com)

# Disclaimer

The purpose of publishing evaluation reports commissioned by the United Nations (UN) in Cambodia is to fulfil a corporate commitment to transparency through the publication of all completed evaluations. The reports are designed to stimulate a free exchange of ideas among those interested in the topic and to assure those supporting the work of the UN that it rigorously examines its strategies, results, and overall effectiveness.

The contents of the report do not necessarily reflect the policies or views of the United Nations Country Team (UNCT).

The text has not been edited to official publication standards and the UNCT accepts no responsibility for error.

The designations in this publication do not imply an opinion on the legal status of any country or territory, or of its authorities, or the delimitation of frontiers.

The copyright for this report is held by the UNCT in Cambodia. Permission is required to reprint/reproduce/photocopy or in any other way to cite or quote from this report in written form. The Resident Coordinator Office has a formal permission policy that requires a written request to be submitted. For non-commercial uses, the permission will normally be granted free of charge. Please write to Mr Nimol Soth at [nimol.soth@one.un.org](mailto:nimol.soth@one.un.org) for further information.

# Executive Summary

This report goes over findings, conclusions and recommendations of the independent Evaluation of the Cambodia United Nations Development Assistance Framework (UNDAF) Cycles 2011-2015 and 2016-2018 that was commissioned by the United Nations Country Team, and undertaken by an external evaluation firm, Universalia, from June to November 2017.

## Cambodian Context

Cambodia has transitioned recently from a lower income country to a lower middle-income country. There has been a steady increase in mean annual per capita income over a number of years. Progress on meeting the Cambodia Millennium Development Goals has been impressive. Cambodia is one of the very few countries to outperform the Millennium Development Goals targets in a number of areas: targets have been met in eradicating extreme poverty and hunger (1), reducing child mortality (4), improving maternal health and forging global partnerships for development (5).

Even as growth has contributed to a recent rapid decline of those living under the poverty line, poverty remains a critical issue. An estimated 8.1 million are near poor and vulnerable to slipping back into poverty following a natural or economic crisis. There is a striking divide between urban and rural socio-economic conditions. Nine out of ten poor people reside in rural areas and depend on farming for their subsistence.

## Object of the Evaluation

The UNDAF embodies the strategic orientation of the United Nations system in Cambodia. It is meant to correspond to national development priorities. At the same time, it reflects the particular strengths of the United Nations, showing where the UN system can bring its

unique strengths to bear in a variety of areas in order to assist Cambodia to achieve its development goals. The UNDAF is a partnership agreement between the 23 United Nations agencies working in Cambodia and the Royal Government of Cambodia.

An initial UNDAF in Cambodia was planned and executed between 2011 and 2015. It was aligned with the government's own National Strategy for Development Programme (NSDP) Update 2009 to 2013. A subsequent UNDAF was designed and put in place for the period 2016-2018, a shortened time period in order to conclude at the same time as the NSDP 2014-18. The 2016-2018 focuses on:

- (i) Inclusive growth and sustainable development;
- (ii) Social development, social protection and human capital; and
- (iii) Governance and human rights.

## Purpose, Objectives and Scope

According to the terms of reference, the evaluation has two purposes: accountability and learning.

The objectives are:

The objectives of the evaluation are listed in the TOR and can be summarized as follows:

- Assess the effectiveness of the 2011-2015 UNDAF in advancing the national development agenda of the Government of Cambodia;
- Assess the relevance, effectiveness, efficiency and sustainability of the current 2016-2018 UNDAF cycle in terms of both performance and process;
- Examine how the five UN programming principles have been mainstreamed in the

results-based management cycle of the UNDAF 2016-2018; and

- Provide actionable strategic and programmatic recommendations to support the development of the UNDAF 2018-2023.

This evaluation covers two United Nations Development Assistance Frameworks (UNDAFs) in Cambodia, one for the period 2011-2015 and one for the period 2016-2018. The evaluation criteria, used in the assessment of the performance of the two UNDAFs in question, are relevance, effectiveness, efficiency and sustainability. The criterion of impact was not included in the terms of reference for this evaluation.

## Methodology

During the inception phase, the evaluation team developed an evaluation matrix. The matrix is organized around six key questions:

- 1) How effective was the 2011-2015 UNDAF cycle?
- 2) Is the current 2016-2018 UNDAF relevant to national needs, priorities and the changing context?
- 3) How effective is the UNDAF 2016-2018 at mid-term?
- 4) How efficient is the UNDAF 2016-2018?
- 5) How sustainable are the results of the UNDAF 2016-2018?
- 6) What lessons can be learned from the current UNDAF cycle?

The evaluation used a mixed methods approach to strengthen the reliability of data and increase the validity of findings and recommendations. This approach helped to broaden and deepen understanding of the processes through which results were achieved, and how these were affected by the context within which the UNDAF was implemented. The approach also allowed for triangulation of data from a variety of sources. Methods included document review,

interviews, surveys, site visits, tracking of numerical data, and case studies. Data collection took place between the end of June 2017 and the middle of August 2017.

A sample of programmes (or smaller projects) from different agencies were identified for each of the outcomes from UNDAF 2016-2018. The outcome headings for the two UNDAFs were different, but since the programmes were only different in exceptional cases, this approach was able to cover both cycles.

Data reliability was ensured by deliberate triangulation, confirmation from a variety of data sources. Much of the numerical data is from secondary sources and the reliability depends on its origins. The evaluation team triangulated secondary and primary data based on the evaluation matrix.

The evaluation team followed closely the United Nations Evaluation Group Norms and Standards and Ethical Guidelines in selecting interviewees, in interacting with them and in respecting their personal and institutional rights. The evaluation team was unaware of any conflicts of interest for this work.

The main methodological limitations are outlined below:

While the terms of reference were clear that the evaluation would not focus on specific programmes or projects, it was difficult to assess to what extent and how the UNDAF outcomes had been attained without providing references to specific programmes to illustrate the achievements and shortcomings of the UNDAF.

A selection of programmes was made for each of the outcomes covering all of the major themes. In depth inquiries were made for each of these selected programmes.

Three case studies, one from each outcome, were selected for in-depth examination, in order to address important programming issues or themes.

The performance assessment of both the 2011-2015 and 2016-2018 UNDAFs relied on the indicators provided in the UNDAF 2016-18 results matrix along with the data sources suggested. In some cases, the indicators were pertinent and the data sources available. In many cases, however, the indicators due to their limitations, did not inform the assessment of the programmes; in others, the data sources were not available or could not be used to compare contemporary performance with baseline measures.

The terms of reference requested the evaluation team to undertake a review of the effectiveness of the previous and present UNDAF cycles. This posed a unique challenge since the results matrix for the previous UNDAF differed from the results matrix for the present one with the consequence that completing a thorough review of both would mean undertaking two different reviews for two different time periods, one for 2011-2015 and the other for 2016-2018. This was made even more of a challenge given that, for the most part, the constituent programmes and projects are the same; most of the programmes in the present UNDAF were developed in the previous one and have not changed. It would have been difficult to undertake two different assessments against two different sets of criteria at two different time periods of essentially the same set of programmes. The evaluation team, in collaboration with the Resident Coordinator's Office, decided it served the purposes of this evaluation best to assess the performance of the programmes covering both UNDAFs against the results matrix provided in the present 2016-2018 UNDAF. It may not have been the optimum approach, but it did yield a reliable assessment of the programmes and approaches of both UNDAFs.

## Findings

The current UNDAF is very relevant to national needs and priorities. Most programmes and projects are aligned with the National Strategic

Development Plan 2014-2018 and the Rectangular Strategy. Outcome areas 1 and 2 are extremely well aligned with the Royal Government of Cambodia priorities, while Outcome 3 shows a few divergences. UN agencies are perceived as being slightly less relevant in areas of programming that are not aligned with government's priorities, e.g., human rights. This should not mean, however, that support to these areas should be reduced. The UN influence in Cambodia has decreased over the years due to the emergence of new donors and partners. Despite this, the UN has demonstrated its ability to adapt to changing circumstances.

There are several examples of flexible and adaptive programmes in the present UNDAF and interestingly, these are among those with positive track records. These include projects on National funding for contraceptives, or the Cambodia's Climate Change Alliance phase 2 (2014-2019) among others.

In terms of design, the overall coherence of the UNDAF outputs and outcomes is mixed. Coherence and interconnectedness among components varies across the three outcomes; there is strong coherence in Outcome 2, much less in Outcome 1 and almost none at all in Outcome 3. In addition, the current implicit theory of change underlying the UNDAF is not sufficiently robust. Developing a more accurate theory of change in line with the requirements set out of the 2017 revised UNDAF guidance will require UN agencies to be more selective about which key areas they should focus on.

In terms of effectiveness and results achievement, there are areas where there have been real successes and areas where success has been elusive. Most of the programmes in Outcome 1 all have the potential of lifting targeted populations out of poverty or preventing them from slipping back into poverty. Their effectiveness has however been limited by the difficulty of diversifying the economy, improving market chains, overcoming key constraints such as declining commodity prices



and limited access to growth-related education opportunities to increase work force capacity.

The results achieved in Outcome 2 are more impressive than the other outcomes in part because of the interconnectedness of the sectors, in part because of the agencies involved, and in part because of the government support and capacity to deliver services with efficiency. A certain level of achievement can be seen in Outcome 3 and it deserves to be the foundation for further commitments. But Outcome 3 also has programmes with modest achievements.

The measurement of results achieved is limited by the gaps found in available data. The current results framework provides 33 general and broad indicators that can only directly assess the results of 12 UN programmes. The indicators are of limited relevance to the actual socio-economic impact of the interventions. In addition, relevant data for assessing results at the outcome level is not consistently available, limiting the UN's capacity to assess results in a number of instances.

The attention paid to UN programming principles such as gender equality and environmental sustainability is mostly programme or project-specific. For instance, the UNDAF results framework and Consolidated Annual Work Plans do not contain disaggregated indicators tracking beneficiaries by men or women. Impact on women and girls, and gender sensitivity generally, is direct in more than half of the programmes examined for the report. Women and girls are not direct programme beneficiaries across the board, as many of the programmes oriented toward economic growth or law for example are unlikely to have a direct impact on women. Accepting gender as a cross-cutting theme clearly does not mean that there is gender sensitivity in all sector and all outcomes equally. It does mean that the UNDAF has succeeded in according priority to ensuring programmes are gender sensitive.

There are examples of successful partnerships with non-traditional partners and the UN is

considered a trusted source of expertise and partner for the Government in critical areas. At the agency-level however, partnerships between UN agencies, such as joint UN programming, have so far shown limited success. Joint programmes are few in number and agencies are not readily inclined to work closely in tandem and, in any event, it is difficult given quite different corporate cultures.

In terms of efficiency, there are many examples of programmes that have been delivered in a cost-effective manner. However, most UN agencies are experiencing drastic cuts in funding and are either following the money or discontinuing programmes altogether. Declining success in mobilizing resources among agencies has a direct impact on the funds available for UNDAF outcomes. For four of the five outcomes in the previous UNDAF, there were significant funding gaps between the planned budgets and the actual expenditures. At the present time, almost 70 per cent of the funds required to implement the present UNDAF as planned are yet to be mobilized. Most UN agency representatives believe the UNDAF is worth the effort, but many indicated that it did little to serve the specific interests of their respective agencies. Smaller agencies tend to perceive UNDAF processes as a burden.

There is no budget line for formulating and managing the UNDAF. As a result, the coherence and rationale of the UNDAF is limited. The Resident Coordinator's Office would benefit greatly from having a dedicated staff member to manage this complex task.

The institutionalization of UN programmes or initiatives plays a significant role in the sustainability of results. Many programmes are now part of government responsibilities, while others are not due to a variety of factors (e.g., lack of funding or commitment). The emphasis on capacity development has had notable results. However, the lack of internal logic in the UNDAF programmes makes it easy for the Royal Government of Cambodia to pick and choose areas it wishes to support or own.

## Conclusions

Even though this evaluation describes challenges associated with the UNDAF, all stakeholders recognize that there is no going back and know they must work together for the UN to work effectively in Cambodia and to remain relevant. Guidance from the UN and the latest report of the UN Secretary General confirms this trend.

The overall performance of the UNDAF was variable. In spite of some successes, the two UNDAFs have not fully met the standard criteria for development interventions nor the evolving expectations of the UN System in Cambodia. Key issues deserve to be highlighted to assess the past and present UNDAFs as a whole and of critical concern for designing a future one. They are listed below.

- Coherence of the design varies greatly across outcomes;
- The previous two UNDAFs did not benefit from the systematic application of a theory of change;
- Many of the indicators and performance targets of the previous two UNDAFs have only an indirect relationship with the programmes they are supposed to account for;
- All UN agencies are facing budget reductions, some of them severe and some less severe. Reductions have consequences for delivering programmes and ensuring their efficacy;
- The very few joint programmes and the relatively poor performance of these few reflect the low level of collaboration among agencies across the UNDAF as a whole;
- The UNDAF is a complex enterprise that requires resources and full-time capacity to manage. If the upcoming UNDAF is to meet increasingly onerous expectations for coordination and efficiency, there will have to be additional resources dedicated to the Resident Coordinator's Office and adequate staff capacity; and

- The UN's principle of aligning closely with government should not obscure the fact that there are convergences as well as divergences. The preferences of the government are not always those of the UN.

## Recommendations

Based on the findings and conclusions, the following recommendations were developed:

**Recommendation 1:** The UNCT and the RCO in consultation with the Programme Management Team (PMT) should explore ways to assure full-time capacity with a dedicated budget to manage the UNDAF process, to guide its development and maintenance, to promote areas of coordination and joint programming, to ensure all agencies have an appropriate role, reconcile differences and usher in a new sense of common purpose.

**Recommendation 2:** The UNCT and the RCO in consultation with the PMT should assume responsibility for building the next UNDAF on a credible and well-reasoned theory of change, undertaken in tandem with the Common Country Assessment, informed by widely accepted understandings of conditions of inclusive growth documented in the development literature.

**Recommendation 3:** The UNCT and the RCO in consultation with the PMT, in collaborating with agencies, should follow the numerous directives already in place for utilizing the UNDAF to place Agenda 2030 at the centre of UN activities in Cambodia to develop the 2019-2023 UNDAF.

**Recommendation 4:** The UNCT, the RCO and the PMT should take advantage of emerging opportunities for joint programming. These should be the stepping stones for a more coordinated UNDAF.

**Recommendation 5:** The UNCT and the RCO in consultation with the PMT should be particularly cognizant of the considerable commitments the UNDAF requires of all agencies, large and small.



Every effort should be made to ensure that the process is an inclusive one, sensitive to the considerable differences among agencies in size, endowments and expertise.

**Recommendation 6:** The UNCT and the RCO in consultation with the PMT along with collaborating agencies should assume a more constructive, realistic and critical approach to results reporting.

**Recommendation 7:** The UNCT and the RCO in consultation with the PMT should vet the UNDAF and its results matrices to ensure that extra care is taken to propose performance indicators, targets and data collection procedures that are pertinent to programme impact where it is taking place.

**Recommendation 8:** The UNCT, the RCO, participating agencies and the PMT should be particularly attentive to achieving a reasonable balance between supporting economic growth on the one hand, and protecting specific vulnerable populations on the other.

**Recommendation 9:** The UNCT in collaboration with the RCO should build on past programming successes. It is important to meet the challenges posed in the programming areas of governance with programming initiatives that recognize the obstacles and yet that meet these obstacles with renewed attention.



# Acronyms

ACES	Association of Councils Enhanced Services
ADB	Asian Development Bank
BOS	Business Operation Strategy
CAPS	Conservation Agricultural Production System
CARD	Council for Agriculture and Rural Development
CAWP	Consolidated Annual Work Plan
CCCA	Cambodia Climate Change Alliance
CDC	Council for the Development of Cambodia
CDPF	Capacity Development Partnership Fund
CEDAW	Convention on the Elimination of All Forms of Discrimination Against Women
CEDEP	Cambodia Export Diversification and Expansion Programme
CIRAC	Centre de Coopération Internationale en Recherche Agronomique
CMDG	Cambodia Millennium Development Goals
CPIA	Country Policy and Institutional Assessment (World Bank)
CSWP	Contraceptive Security Working Group
D&D	Decentralization and De-Concentration
D&D MT	Decentralization and De-Concentration Management and Training
DAC	Development Assistance Committee
DDLG	Democratic Decentralized Local Governance
DFAT	Department of Foreign Affairs and Trade (Australia)
DOCO	Development Operations Coordination Office
DRIC	Disabilities Rights Initiative Cambodia
DTMT	District Training and Monitoring Team
ECCC	Extraordinary Chambers in the Courts of Cambodia

EISOFUN	Ecological Intensification and Soil Ecosystem Functioning
EMG	Evaluation Management Group
EMOC	Emergency Medical Obstetrics Care
EPI	Environment Performance Index
FAO	Food and Agriculture Organization of the United Nations
FDI	Foreign Direct Investment
GBV	Gender-based Violence
GDP	Gross Domestic Product
GTZ	German Technical Cooperation Agency
IAEA	International Atomic Energy Agency
ICORC	International Forum for the Reconstruction of Cambodia
IFAD	International Fund for Agricultural Development
ILO	International Labour Organization
ITC	Institute of Technology of Cambodia
LIC	Lower Income Country
LMIC	Lower Middle-Income Country
MAFF	Ministry of Agriculture, Forestry and Fisheries
MAPS	Mainstreaming, Acceleration, Policy Support
MEF	Ministry of Economy and Finance
MOE	Ministry of Environment
MOEYS	Ministry of Education, Youth and Sports
MOI	Ministry of Interior
MOSVY	Ministry of Social Affairs, Veterans and Youth Rehabilitation
MOU	Memorandum of Understanding
MSM	Men who have sex with men
NCDD	National Committee for Subnational Democratic Development
NGO	Non-Governmental Organization

NIS	National Institute of Statistics
NSDP	National Strategic Development Plan
ODA	Official Development Assistance
OECD	Organization for Economic Co-operation and Development
OHCHR	Office of the High Commissioner for Human Rights
PADEE	Programme for Agricultural Development and Economic
PEPFAR	President's Emergency Plan for AIDS Relief
PMT	Programme Management Team
PRMS	Partnership and Resource Mobilization Strategy
PWID	People who inject drugs
QCPR	Quadrennial Comprehensive Policy Review
RC	Resident Coordinator
RCO	Resident Coordinator's Office
RGC	Royal Government of Cambodia
RUA	Royal University of Agriculture
SDG	Sustainable Development Goals
SIDA	Swedish International Development Agency
TOR	Terms of Reference
UN	United Nations
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNCDF	United Nations Capital Development Fund
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UNEDAP	United Nations Evaluation Development Group for Asia and the Pacific
UNEG	United Nations Evaluation Group

UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFPA	United Nations Population Fund
UN-Habitat	United Nations Human Settlements Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNODC	United Nations Office on Drugs and Crime
UNOPS	United Nations Office of Project Services
UNREDD	United Nations Reduction of Emissions from Deforestation and Degradation
UNTAC	United Nations Transitional Authority in Cambodia
UNV	United Nations Volunteers
UN-Women	United Nations Entity for Gender Equality and the Empowerment of Women
USAID	United States Agency for International Development
VAW/C	Violence Against Women and Children
WASH	Water, Sanitation and Hygiene
WFP	World Food Programme
WHO	World Health Organization
WLSN	Women Leaders at Sub-National Levels



# Contents

<b>DISCLAIMER.....</b>	<b>I</b>
<b>EXECUTIVE SUMMARY .....</b>	<b>II</b>
<b>ACKNOWLEDGEMENTS .....</b>	<b>XIV</b>
<b>1 INTRODUCTION .....</b>	<b>1</b>
1.1 About this Evaluation Report .....	1
1.2 Context of the Evaluation.....	1
<b>2 OBJECT OF THE EVALUATION .....</b>	<b>4</b>
2.1 UNDAF Coordination Mechanisms.....	5
2.2 UNDAF Resources.....	5
2.3 Key Stakeholders .....	6
<b>3 EVALUATION PURPOSE, OBJECTIVES AND SCOPE.....</b>	<b>8</b>
3.1 Purposes .....	8
3.2 Objectives.....	9
3.3 Scope 9	
3.4 Uses and Users .....	9
<b>4 METHODOLOGY.....</b>	<b>11</b>
4.1 Overall Approach.....	11
4.2 Evaluation Framework .....	11
4.3 Data Collection Methods.....	12
4.4 Analysis.....	15
4.5 Validation of Preliminary Findings and Emerging Recommendations .....	16
4.6 Ethical Considerations .....	16
4.7 Limitations and Mitigating Strategies .....	16
<b>5 FINDINGS .....</b>	<b>19</b>
5.1 Relevance .....	19
5.2 Effectiveness.....	26
5.3 Efficiency .....	32
5.4 Sustainability .....	40
<b>6 CASE STUDIES .....</b>	<b>42</b>
6.1 Cassava Value Chain Project .....	42

6.2	Strengthening of Social Protection Mechanisms .....	44
6.3	Disability Rights Initiative Cambodia .....	45
<b>7</b>	<b>MAINSTREAMING THE LONG-TERM: 2030 AGENDA .....</b>	<b>48</b>
<b>8</b>	<b>CONCLUSIONS .....</b>	<b>51</b>
<b>9</b>	<b>LESSONS LEARNED .....</b>	<b>53</b>
<b>10</b>	<b>RECOMMENDATIONS .....</b>	<b>54</b>

## Figures

Figure 2.1	Stakeholders and their Role in the UNDAF .....	7
Figure 5.1	UN Staff Perceptions of Partnerships with Key Stakeholders .....	32

## Tables

Table 2.1	UNDAF Expenditures and Costing – 2011-2015 Cycle .....	6
Table 2.2	UNDAF Expenditures and Costing 2016 – 2016-2018 Cycle .....	6
Table 4.1	Types and Number of Stakeholders Interviewed .....	12
Table 4.2	Purpose and Number of Respondents for the two Surveys .....	13
Table 4.3	Site Visits Schedule .....	13
Table 4.4	Case Studies .....	14
Table 5.1	Approximate Annual Aid Contributions from a Selection of Development Partners (2008-2017) .....	21
Table 5.3	Perceptions of Utility and Value of the UNDAF – 19 Agencies Responding .....	37
Table 5.4	Joint Programming in UNDAFs 2011-2015 and 2016-2018 .....	38
Table 7.1	A Model for Incorporating SDGs into UNDAF Planning .....	49
Table 11.1	Agricultural Sector Annual Growth Rate 2014 and 2016 .....	115
Table 11.2	Proportion of Total Labour Force by Sector 2009-2014 .....	115
Table 11.3	Consumption Levels in two Lowest Quintiles: Baseline and Present .....	117
Table 11.4	Environment Performance Index Cambodia 2010 and 2016 .....	119
Table 11.5	CPIA Assessment for Cambodia 2005 and 2016 (ranking between 1 and 6) .....	119
Table 11.6	Enrolment Rate in Lower Secondary School 2012-13 – 2015-16 .....	121
Table 11.7	Percent of Stunting in Children Under Five – 2000 and 2014 .....	121

Table 11.8	Percent of Households having Improved Water and Sanitation Facilities, Rural and Urban 2010 and 2015.....	123
Table 11.9	Proportion of HIV Pregnant Women Receiving Mother to Child Prevention Services .....	124
Table 11.10	Attendance at Birth 2010 and 2014 (per cent of all births) .....	124
Table 11.11	Maternal Mortality Ratio – 2005, 2010 and 2014 (maternal mortality ratio per 100 000 live births).....	125
Table 11.12	Contraceptive Prevalence Rate – 2010 and 2014 (per cent of total married women using any modern method - pill, IUD, sterilization).....	125
Table 11.13	Proportion of Employed Labour Force Benefitting from Social Insurance .....	126
Table 11.14	Neonatal Mortality Rate in 2010 and 2014 (per 1,000 live births) .....	127
Table 11.15	Proportion of Current Revenues Allocated to Sub-National Districts .....	128
Table 11.16	Number of Prisoners in Pre-trial Detention .....	128
Table 11.17	Cases Before the Arbitration Council 2003-2015.....	129
Table 11.18	Proportion of Women in Commune Councils 2012 and 2017 .....	130
Table 11.19	Proportion of Seats Held by Women in the National Parliament.....	130
Table 12.1	UNDAF Expenditures and Costing – 2011-2015 Cycle .....	132
Table 12.2	UNDAF Expenditures and Costing 2016 – 2016-2018 Cycle .....	132
Table 12.3	Resources Requirements for UNDAF 2016-2018.....	133

## Appendices

Appendix I	Terms of Reference.....	58
Appendix II	Evaluation Matrix.....	74
Appendix III	Consulted Documents.....	79
Appendix IV	Interview Protocols.....	85
Appendix V	List of Consulted Stakeholders .....	90
Appendix VI	Online Survey Questionnaire.....	94
Appendix VII	Results of the Online Survey.....	101
Appendix VIII	Questionnaire administered in person with UN Agencies Representatives .....	108
Appendix IX	Field Visits Report .....	110
Appendix X	Sampled Programmes and Projects.....	112
Appendix XI	Outcome Assessments.....	114
Appendix XII	Budget Figures and Financial Reporting .....	132
Appendix XIII	List of Findings .....	135
Appendix XIV	List of Recommendations .....	137
Appendix XV	Table of Findings, Conclusions and Recommendations .....	138
Appendix XVI	Evaluation Team .....	143

# Acknowledgements

The evaluation team has benefitted immeasurably from the collaboration of the Resident Coordinator's Office in Phnom Penh, and within the office, it is important to make special mention of Mr. Nimol Soth who spared no effort in facilitating and in some instances guiding the team. The team depended enormously on extensive discussions with agencies, with their heads and deputies and programme managers and field staff, and in every instance, agency personnel participated eagerly, well beyond what might have been expected. Even when the evaluation team visited them twice or three times and badgered them with correspondence and questions, they were uncommonly generous with their time and their knowledge. Thanking them here hardly suffices to show our gratitude. Finally, we hold in the greatest esteem those members of the Royal Government of Cambodia, senior ministerial staff at national and sub-national levels, advisors and statisticians, planners and liaison officers, who were eager to help us with our inquiries. We extend to them our deepest appreciation. The team would also like to acknowledge the support from the evaluation management group for its useful feedback on this report.

# 1 Introduction

## 1.1 About this Evaluation Report

Universalis is pleased to submit this report for the Evaluation of the Cambodia United Nations Development Assistance Framework (UNDAF) Cycles 2011-2015 and 2016-2018, commissioned by the United Nations Country Team (UNCT) and undertaken between June and November 2017. This evaluation was managed by an evaluation management group (EMG), with technical support provided by a reference group and representatives of the United Nations Evaluation Development Group for Asia and the Pacific (UNEDAP).

Assessing the prospects for an efficient and effective coordinated UNDAF is the focus of this evaluation. The assessment of past performance has been designed to point to issues which the UN agencies should address to achieve performance excellence. Similarly examining the formulation and design of the upcoming UNDAF likewise informs how the UNDAF process has worked and how its functionality can be improved.

The report is structured in eight parts. Following this short introduction, the evaluation context is described. Section two describes the object of this evaluation. Sections three and four describe the purpose, objectives, and scope of the evaluation as well as the methodology. Section five provides details of the main findings of the evaluation with regards to the performance of the UNDAF. Three case studies are presented in section seven. Section eight considers the way forward for the UNDAF in the context of Agenda 2030 and the Sustainable Development Goals. The conclusions of the evaluation are detailed in section nine and the recommendations are listed in section ten.

Appendices contain the terms of reference (TOR) for this evaluation as well as evidence and data collection tools.

## 1.2 Context of the Evaluation

### **Ambitious UN agenda for coordination and coherence**

UN agencies in Cambodia confront a unique challenge in formulating the upcoming UNDAF. The expectations articulated in the guidance documents<sup>1</sup> and the instructions from the UN Development Group are ambitious. These expectations seek to usher in a new era of coordination and coherence generally and in the UNDAF process in particular which may be difficult for the agencies to accomplish. There are some elements that are in the UN Agencies' control and some that are not. Reduction in financial resources is one that is not, nor is the inevitable competition for increasingly scarce funds. In addition, convergence with government development programming cannot be assumed in every sector.

---

<sup>1</sup> *United Nations Development Assistance Framework Guidance; Mainstreaming the 2030 Agenda for Sustainable Development: Reference Guide to UN Country Teams*; UNDP, MAPS Mission to Cambodia, Summary Report, October 2016; UNDP, Rapid Integrated Assessment – Cambodia SDG Profile, 2016.

The separate country programmes to which many of the agencies are wedded may be flexible in some cases and lend themselves to the kind of compromise a disciplined focus requires; however, some are not very flexible, and these will stand in the way of achieving the rigor that the theory of change approach recommended in this report demands.

There is a vigorous UN wide effort to make the UNDAF the most important UN planning instrument for all countries. Greater agency coordination is essential if this is to be achieved. Efforts by the Resident Coordinator's Office and by individual agencies to enhance coordination are integral elements in the process of making the UNDAF a more effective planning instrument; the success of these efforts have been important concerns and targets of inquiry for this evaluation. The evaluation's investigations into the management and performance of previous UNDAFs have been designed to inform this issue, one of the most challenging issues that the UN in Cambodia presently faces.

## Cambodian Context

Cambodia has transitioned recently from a lower income country (LIC) to a lower middle-income country (LMIC). There has been a steady increase in mean annual per capita income over a number of years. This transition will require a shift in the type of work carried out by UN agencies, from implementation to upstream work. Progress on meeting the Cambodia Millennium Development Goals has been impressive. Cambodia is one of the very few countries to outperform the MDG targets in a number of areas: targets have been met in eradicating extreme poverty and hunger (1), reducing child mortality (4), improving maternal health and forging global partnerships for development (5).

The country relies heavily on garment production, construction, tourism and agricultural production; for growth to continue, the economy needs to diversify and move up the global value chain. New economic activities along with new markets need to be incorporated in an existing economy that builds on food processing, electronics, and other sectors some of which have been important in the past and some have not. As young people seek to increase their own well-being, many are seeking jobs abroad and providing their families with remittances. This has made a difference but remittances from overseas labor are generally not a foundation for sustained growth.

Cambodia has thus been presented with a number of significant challenges. Industrialization means that the labour force changes from primarily rural to increasingly urban and cities and towns will have to accommodate a non-farm population in need of public urban services and infrastructure. The education system needs to adapt to the changing economy to provide basic education for everyone and transfer of employable skills.

Even as growth has contributed to a recent rapid decline of those living under the poverty line, poverty remains a critical issue. An estimated 8.1 million are near poor and vulnerable to slipping back into poverty following a natural or economic crisis. Although Cambodia has experienced a sharp drop in poverty, from 47 per cent in 2007 to 18 per cent below the poverty line in 2012,<sup>2</sup> multidimensional poverty remains high at 33 per cent.<sup>3</sup> The Gini index which measures the degree of inequality changed little between 2004 and 2011.<sup>4</sup> Issues in health and access to clean water and sanitation remain: over a third of the population lack access to improved drinking water sources and over half lack access to improved sanitation. Large numbers

<sup>2</sup> World Bank, World Development Report, Washington, D.C.: 2014.

<sup>3</sup> OPHI Country Briefing December 2016: Cambodia, 2016.

<sup>4</sup> Asian Development Bank, Cambodia Country Poverty Analysis 2014, Manila: ADB, p. 9.



of children continue to be afflicted with malnutrition. Cambodia ranks at 136 out of 187 countries on the Gender Inequality Index<sup>5</sup>.

There is a striking divide between urban and rural socio-economic conditions. Nine out of ten poor people reside in rural areas and depend on farming for their subsistence. The country has become a net rice exporter and yet, farming is notably under-productive. There are post-harvest losses, a strong risk-averse approach to farming in most cases and marketing systems that disfavor the producers. Women are highly active in the agriculture sector and are responsible for 80 per cent of food production but are mainly concentrated in vulnerable or un-paid employment. Finally, there is the continued prevalence of land mines though as a result of many years of successful removal programmes, this is now much less of a factor. Agricultural growth is largely stagnant when in fact, it could, and should be a significant contributor to the economy.

The National Strategic Development Plan 2014-2018 puts emphasis on the cross-cutting nature of gender equality in policies and programming. Diverse instruments are used by the Royal Government of Cambodia (RGC) to implement and monitor the integration of gender considerations to policies and programming. The Neary Rattanak Strategic Plans intend on mainstreaming gender across government. The Ministry of Women's Affairs produces regular Cambodia Gender Assessments (2004, 2008, 2014) which consist in an analytical overview of gender integration in all sectors. These assessments are the basis for mainstreaming gender in line ministries and guiding overall policy formulation for gender equality. In recent years, a number of laws protecting women's right have been enacted by the RGC, but gender inequalities persist as there is limited capacity in line ministries to do in-depth gender analysis, advocacy or gender mainstreaming. Gender roles in Cambodia are strict and gender-based violence remains an issue. One in five women have experienced physical or sexual violence from an intimate partner, violence is usually experienced repeatedly and in three quarters of cases is severe<sup>6</sup>.

While this is a very brief review of the challenges, it does raise some critical questions, the most important of which being how Cambodia will finance and generate the knowledge resources for undertaking this transition with a measure of success and how the UN system should support the government through this period. The role of the UN in Cambodia as a LMIC will also change, moving to more upstream work, away from procurement and direct implementation.

---

<sup>5</sup> See UNDP Human Development Reports, Gender Inequality Index. Available at: <http://hdr.undp.org/en/content/gender-inequality-index>.

<sup>6</sup> National Survey on Women's Health and Life Experiences in Cambodia, Ministry of Women's Affairs 2015. Available at: <http://asiapacific.unwomen.org/en/digital-library/publications/2015/11/national-survey-on-women-s-health-and-life-experiences-in-cambodia>

## 2 Object of the Evaluation

The United Nations Development Assistance Framework (UNDAF) embodies the strategic orientation of the United Nations system in Cambodia. It is meant to correspond to national development priorities. At the same time, it reflects the particular strengths of the United Nations, showing where the UN system can bring its unique strengths to bear in a variety of areas in order to assist Cambodia to achieve its development goals.

The UNDAF is a partnership agreement between the 23 United Nations agencies<sup>7</sup> working in Cambodia and the RGC. It is aimed at achieving consistency and enhancing coordination of the UN system's operations at the country level. It forms part of the Secretary General's agenda for reforms launched in 1997 and further refined in 2002 and in 2017.<sup>8</sup> Efforts at greater consistency have been aimed at: (i) avoiding overlap and ensuring that different agencies design programmes that complement those of other agencies and (ii) reducing the cost of doing business by reducing multiple and extensive transaction costs incurred by a number of agencies carrying out their own programmes independently by combining their initiatives with other agencies.

An initial UNDAF in Cambodia was planned and executed between 2011 and 2015. It was aligned with the government's own National Strategy for Development Programme (NSDP) Update 2009 to 2013, the foundation of which was the Rectangular Strategy II focusing on growth, employment, equity and efficiency. It was accompanied by a results matrix and a monitoring and evaluation framework, which guided annual monitoring reports and the annual joint review with the government. It was built around five strategic outcome areas:

- i. Economic growth and sustainable development;
- ii. Health and education;
- iii. Gender equality;
- iv. Governance; and
- v. Social protection.

A subsequent UNDAF was designed and put in place for the period 2016-2018, a shortened time period in order to conclude at the same time as the NSDP 2014-18, permitting the UN to synchronize its planning cycle with that of the RGC. A new iteration of the Rectangular Strategy III served as the foundation for the NSDP 2014-2018. The UNDAF, designed in close coordination with the RGC, has reconfigured and reduced its number of outcome areas from five in the previous UNDAF to three:

- i. Inclusive growth and sustainable development;
- ii. Social development, social protection and human capital; and
- iii. Governance and human rights.

The current UNDAF is constructed based on the five UN programming principles: human rights, gender equality, environmental sustainability, results-based management and capacity development. Many

---

<sup>7</sup> Participating agencies are: FAO, IAEA, IFAD, ILO, UNAIDS, UNCDF, UNDP, UNEP, UNESCO, UNFPA, UN-Habitat, UNHCR, UNICEF, UNIDO, UNODC, UNOHCHR, UNOPS, UNRC, UNV, UN-Women, WFP, WHO.

<sup>8</sup> Secretary General Report, Repositioning the UN development system to deliver on the 2030 agenda-Ensuring a better future for all, July 2017.

interventions related to gender equality are included in the UNDAF document. These include capacity building on gender mainstreaming as well as the implementation of the gender scorecard by the UNCT. The Gender Scorecard assesses progress within the UN system on gender mainstreaming and the promotion of gender equality. Outcome 3 focuses on human rights, especially on strengthening the capacity of duty-bearers and rights holders to promote human rights.

Annual monitoring exercises have continued, as have the joint annual reviews conducted in collaboration with the government. In addition, and unlike the previous UNDAF, this current UNDAF cycle undertakes annual work plans for each of the outcomes, which cover the results that the UN expects to achieve over the course of the year.

The implementation status at the time of this evaluation was the middle year of the present three-year UNDAF. The previous UNDAF was completed in 2015. Interventions under the UNDAF cover the entire country.

The evaluation of the present UNDAF takes place at an important juncture. With the adoption of the 2030 Agenda and the Sustainable Development Goals (SDGs) in September 2015, the RGC is incorporating, in its country planning, the Cambodia Sustainable Development Goals (CSDGs) and the framework for this incorporation was expected to conclude by the end of 2017. The Cambodia SDGs are expected to be incorporated into the next NSDP 2019-2023.

## 2.1 UNDAF Coordination Mechanisms

Under the leadership of the UN Resident Coordinator (RC), the UN Country Team (UNCT) in Cambodia is responsible for the implementation and monitoring of the UNDAF in partnership with the RGC and in collaboration with civil society and development partners. The UNDAF Programme Management Team (PMT) supports the UNCT and RC in the coordination of the implementation of the UNDAF, its monitoring and evaluation. The Operations Management Team provides recommendations on common services and business-related issues. Other coordination mechanisms include the M&E Group, the Communication Group, the Disaster Management Team, and UN Theme Groups/Task Forces.

## 2.2 UNDAF Resources

There is limited data available on the use of financial resources for the UNDAF, including the resources required to administer the UNDAF. The Resident Coordinator's Office (RCO) tracks overall expenditures and costing, but no detailed information is available by agency or by output.

The expenditures and costing of the UNDAF 2011-2015 are outlined in the table below. Overall, most outcomes had a major funding gap between their planned budget and actual expenditures. Among the explanations for this gap are changes in the donor environment, in particular cuts in bilateral donor support from a number of previous traditional donors.

**Table 2.1** *UNDAF Expenditures and Costing – 2011-2015 Cycle*

OUTCOMES	TOTAL COSTING 2011-15	TOTAL EXPENDITURES 2011-15	FUNDING GAP
Outcome 1	USD 181,704,696	USD 121,184,845	-33%
Outcome 2	USD 108,403,695	USD 132,676,566	+18%
Outcome 3	USD 32,619,860	USD 27,030,409	-17%
Outcome 4	USD 98,581,100	USD 48,648,973	-51%
Outcome 5	USD 158,026,597	USD 83,209,992	-47%
<b>TOTAL</b>	<b>USD 597,335,948</b>	<b>USD 412,750,785</b>	<b>-31%</b>

The total estimated funding requirements for the current UNDAF cycle (2016-2018) amount to USD 282 million. The financial information available so far only covers fiscal year 2016 as presented in the table below. The disbursements rates are impressive: 87 per cent (Outcome 1), 92 per cent (Outcome 2), and 97 per cent (Outcome 3). Approximately 29 per cent of the total UNDAF budgeted resources were executed during the first year of implementation.

**Table 2.2** *UNDAF Expenditures and Costing 2016 – 2016-2018 Cycle*

OUTCOME	COMMITTED PER OUTCOME		EXPENDITURES PER OUTCOME		TOTAL EXPENDITURES 2016
	CORE	NON-CORE	CORE	NON-CORE	
Outcome 1	USD 4,856,582	USD 15,909,870	USD 4,703,500	USD 13,340,423	USD 18,043,923
Outcome 2	USD 8,748,579	USD 35,701,904	USD 9,251,811	USD 31,863,159	USD 41,114,970
Outcome 3	USD 3,921,708	USD 18,559,500	USD 4,013,119	USD 17,732,086	USD 21,745,206
<b>TOTAL</b>	<b>USD 17,526,89</b>	<b>USD 70,171,274</b>	<b>USD 17,968,430</b>	<b>USD 62,935,668</b>	<b>USD 80,904,098</b>

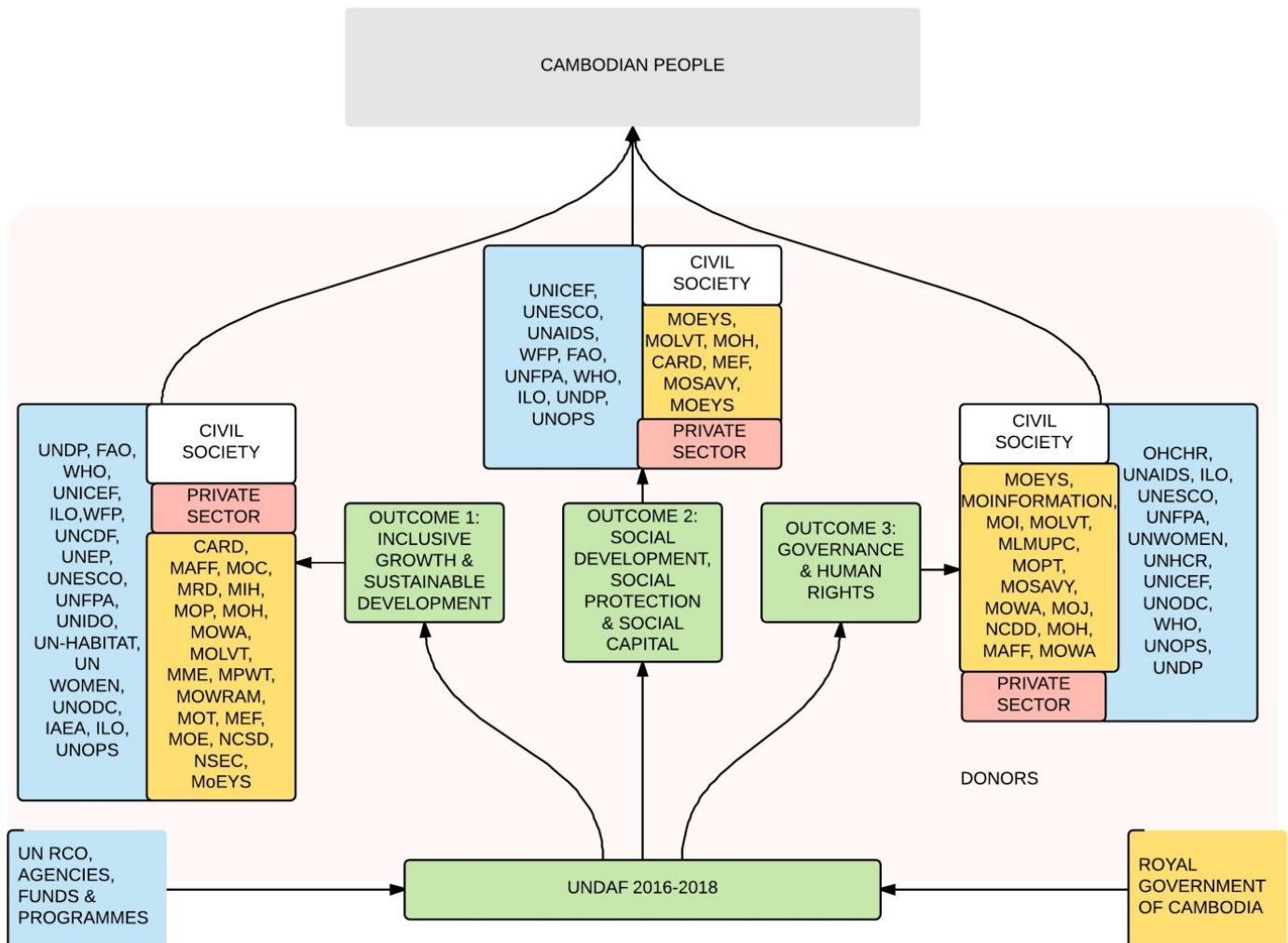
## 2.3 Key Stakeholders

Six major types of stakeholders are involved in the implementation of the UNDAF:

- UN system;
- Royal Government of Cambodia;
- Civil society (including national and international NGOs);
- Private sector;
- Donors; and
- People of Cambodia as the target beneficiaries of the UN system's work.

These stakeholders inform and impact the design, process, implementation and performance of the UNDAF in different ways. The diagram below shows the evaluation team understanding of these key groups of stakeholders and their role in the UNDAF's design and implementation.

**Figure 2.1 Stakeholders and their Role in the UNDAF**



## 3 Evaluation Purpose, Objectives and Scope

The UNDAF guidelines provided by the UN Development Group (UNDG) mandates that an evaluation should be carried out in the course of an UNDAF. This evaluation is an independent evaluation commissioned by the Resident Coordinator and the UNCT in accordance with UNDAF guidelines. It has been carried out in collaboration and consultation with three important groups:

- 1) The EMG composed of members selected from separate agencies with an interest and expertise in evaluation methodology and management;
- 2) The reference group, a group composed of representatives from multiple interest groups including government departments with a direct interest in aid policy and delivery, civil societies in Cambodia as well as a selection of technical and policy members of UN agencies; and;
- 3) The PMT, a group of representatives from UN agencies and the Resident Coordinator's Office charged with overseeing the design and delivery of the UNDAF.

The evaluation comes at crucial time in the development of Cambodia. Both Cambodia and the UN system in Cambodia are presently at important cross-roads. Cambodia has reached a plateau in its progress to reduce poverty and to maintain a high level of economic growth. It is faced with the necessity to devise and implement new modalities of inclusive growth. The United Nations system is presently faced with declining resources and the need to maintain its global stature with reforms that will streamline operations and demonstrate its continuing relevance and comparative advantage as an arbiter and broker for global development.

### 3.1 Purposes

According to the TOR (Appendix I), the evaluation has two purposes: Accountability and Learning. However, the TOR and consultations with key stakeholders also stressed that the evaluation should be as forward looking as possible in order to support the development of the next UNDAF cycle. As such, the evaluation team understands that the evaluation purpose is three-fold:

- To maintain a high level of accountability of the UN System by objectively verifying results achieved in course of both the previous and the present UNDAF and by assessing the sustainability of the strategies and interventions used. This should enable the various stakeholders in the UNDAF process, including national counterparts, donors, civil society and beneficiaries, to hold the UNCT and other parties accountable for fulfilling their roles and commitments.
- To enhance learning from the experience of implementing the current UNDAF 2016-2018 about what works, what doesn't and why. To this end, the evaluation has identified key issues which are both positively and negatively conditioning the results. It has therefore taken into consideration not only what is covered in the UNDAF, but also which design and delivery factors are not covered although they may be relevant to the current and future context.



- To be as forward looking as possible by providing lessons learned that feed into the next UNDAF cycle. This is intended to strengthen programming and results at the country level, specifically informing the planning and decision-making for the next UNDAF programme cycle and especially for improving UN coordination at the country level. The UNCT, the RGC and other UNDAF stakeholders can learn from the process of documenting good practices. The evaluation has paid special attention to assessing the UN architecture and structure and the way the UN in Cambodia functions and how the UN system is governed at the country level.

## 3.2 Objectives

The objectives of the evaluation are listed in the TOR and can be summarized as follows:

- Assess the effectiveness of the 2011-2015 UNDAF in advancing the national development agenda of the RGC;
- Assess the relevance, effectiveness, efficiency and sustainability of the current 2016-2018 UNDAF cycle in terms of both performance and process;
- Examine how the five UN programming principles have been mainstreamed in the results-based management cycle (design, implementation and M&E) of the UNDAF 2016-2018; and
- Provide actionable strategic and programmatic recommendations to support the development of the UNDAF 2018-2023.

This report is most relevant for the UNCT in Cambodia, the main client for this assignment, as well as the Government of Cambodia and UN partners. Other users, such as other UN Country Teams in the region, regional UN offices, bilateral and multilateral organizations, donors, civil society organizations, private sector partners and the Cambodian public may also find this document informative.

## 3.3 Scope

This evaluation covers two United Nations Development Assistance Frameworks (UNDAFs) in Cambodia, one for the period 2011-2015 and one for the period 2016-2018. They have both been designed to align with the government's National Strategic Development Plans (NSDP).

## 3.4 Uses and Users

The primary users of this evaluation are the decision-makers within the UNCT including resident and non-resident UN agencies, UN partners and the RGC, which will use the results to strengthen accountability and learning, both for the implementation of the ongoing UNDAF and for the preparation of the subsequent one. Recommendations will be used to adjust the way the UNDAF is designed and could result in establishing a results measurement framework. Secondary users are other development partners and civil society organizations participating in UN programmes as well as the UN Development Operations Coordination Office (DOCO) and other countries, which are expected to use the evaluation process and results for accountability learning, decision making and improved performance, awareness raising and advocacy purposes. Since DOCO is in the process of developing new guidelines for a new generation of UNDAFs that

will take into account the results and recommendations from the Quadrennial Comprehensive Policy Review (QCPR) 2016, this evaluation can constitute a meaningful perspective on what has worked and what has not.

## 4 Methodology

This section provides an overview of the methodology used for the evaluation. It describes the evaluation approach and framework, and data collection methods. Finally, it describes the evaluation challenges and mitigating strategies.

### 4.1 Overall Approach

The approach to this evaluation combined a utilization-focused and case study approach. During the inception phase, the evaluation team reviewed the UNDAF evaluation objectives as defined in the original TOR, reviewed key documents, and interviewed key stakeholders. This process culminated in the identification of two main issues for the evaluation: performance and process. The evaluation team deemed this approach as appropriate since the issues involved go well beyond those raised in evaluation criteria and helped to bring a stronger narrative to the evaluation beyond listing the criteria. We outlined this proposed structure in the Inception Report and organized the draft evaluation report accordingly. However, feedback provided on the draft version of this report questioned the use of this framework to structure the evaluation report. Subsequently, the evaluation team revised the report and restructured it based on issues of relevance, effectiveness, efficiency and sustainability, taking into account feedback received on the draft report.

The evaluation considered the mainstreaming of the five UN programming principles (human rights, gender equality, environmental sustainability, capacity development and results based management) in specific findings.

### 4.2 Evaluation Framework

The evaluation criteria, used in the assessment of the performance of the two UNDAFs in question, are relevance, effectiveness, efficiency and sustainability. The criterion of impact was not included in the TOR for this evaluation.

During the inception phase, the evaluation team developed an evaluation matrix with reference to the TOR, the approach outlined above and the Organisation for Economic Co-operation and Development/Development Assistance Committee (OECD/DAC) evaluation criteria. The matrix is organized around six key questions:

- 1) How effective was the 2011-2015 UNDAF cycle?
- 2) Is the current 2016-2018 UNDAF relevant to national needs, priorities and the changing context?
- 3) How effective is the UNDAF 2016-2018 at mid-term?
- 4) How efficient is the UNDAF 2016-2018?
- 5) How sustainable are the results of the UNDAF 2016-2018?
- 6) What lessons can be learned from the current UNDAF cycle?

Each question is split into sub-questions, which have detailed indicators, data sources and data collection methods. The full evaluation matrix is available in Appendix II.

## 4.3 Data Collection Methods

The evaluation used a mixed methods approach to strengthen the reliability of data and increase the validity of findings and recommendations. This approach helped to broaden and deepen understanding of the processes through which results were achieved, and how these were affected by the context within which the UNDAF was implemented. The approach also allowed for triangulation of data from a variety of sources. Methods included document review, interviews, surveys, site visits, tracking of numerical data, and case studies. Data collection took place between the end of June 2017 and the middle of August 2017.

### Document Review

Documents fell into the following categories: (i) policy, (ii) programme (including evaluation and monitoring reports and (iii) technical. Policy documents include guidance documents for conducting evaluations and background documents on UNDAF planning and implementation. Programme documents included all documents related to the planning, implementation and reflection on the two UNDAF cycles under consideration. Technical documents include general journal articles and monographs on topical issues in Cambodia such as migration and its relationship to achieving development objectives. The evaluation team reviewed all the documents made available by the RCO. A list of consulted documents is presented in Appendix III.

### Interviews with Key Stakeholders

Semi-structured interviews constituted the core of the investigations, in part because of the emphasis this evaluation places on a consultative, participatory inquiry. Interview protocols used during the interviews are available in Appendix IV. The evaluation team interviewed four categories of stakeholders: UN personnel, RGC representatives working with the UN system, members of civil society working with the UN system; and finally, donors supporting UNDAF programmes. The number of consulted stakeholders is summarized below. See Appendix V for a list of consulted stakeholders.

**Table 4.1** *Types and Number of Stakeholders Interviewed*

TYPES OF STAKEHOLDERS	TOTAL NUMBER OF INTERVIEWEES	# MALE	# FEMALE
UN agencies, representatives and specialists	56	33	23
Government officials	12	11	1
Donors	4	1	3
Civil society	6	6	0
Total	78	51	27
Percentage	100%	65%	35%

## Surveys

The evaluation team sent out a short online survey questionnaire to selected UN staff working in the 23 agencies. The intention was to capture views from a large number of UN stakeholders on essential questions relating to the UNDAF 2016-2018. It contained questions on the overall performance of the UNDAF and the factors contributing to these results, as well perspectives on how well the UNDAF is working, its added value to coordination and its efficiency as a coordination mechanism. The online survey questionnaire is available in Appendix VI. Complete results of the online survey are presented in Appendix VII. The online survey was used as an additional source of data to triangulate the information collected through other means (e.g., interviews, site visits, and document review). The intention with this survey was not to have a representative dataset but to give an opportunity to as many UN stakeholders as possible to express their opinions.

A second questionnaire was administered in person with a representative of each UN agency the evaluation team met with. The survey questions are presented in Appendix VIII. The purpose and number of respondents for each survey is presented in the table below.

**Table 4.2** *Purpose and Number of Respondents for the two Surveys*

SOURCES	PURPOSE	ADMINISTRATION	NUMBER OF RESPONDENTS
UN agencies	Knowledge and attitudes of overall value of the UNDAF process	In person	19
UN staff	Knowledge and attitudes of utility and participation in the UNDAF process	Online	54 <sup>9</sup>

## Site Visits

The evaluation team carried out five site visits in three different provinces. The sites for the visits were selected to cover the work of different UN agencies, in different sectors, in different provinces and some in remote areas. The team also looked for examples of successes and challenges to triangulate the information collected through other means. The field visits programme as detailed below took place over three days. For additional information, see Appendix IX.

**Table 4.3** *Site Visits Schedule*

STAKEHOLDERS/PROJECTS	AGENCY	LOCATION
1. Physical Rehabilitation Center	WHO	Kampong Chhnang City
2. Cassava Farm Association	UNDP	Battambang Province, Sampovlun District
3. EISOFUN project	UNDP/FAO	Battambang Province, Ratanak Mondul District
4. Provincial Department of Education Youth and Sport	UNICEF/UNESCO	Battambang City

<sup>9</sup> The online survey was completed by 54 respondents from 15 agencies. 49 respondents said they had knowledge of the UNDAF and continued through to the rest of the questionnaire, of which 35 completed the survey. 57% of respondents were male, 40% female and 2% preferred not to say (may not =0 due to rounding).

STAKEHOLDERS/PROJECTS	AGENCY	LOCATION
5. Kok Kreul primary school	FAO/WFP	Siem Reap Province, Angkor Thom District

## Tracking Numerical Indicator Data

Numerical data for measuring the achievement of anticipated results are numerous and diverse and an essential part of the investigation. To the extent possible, they were used to determine the progress the UNDAF programming has made toward meeting targeted objectives. Sources of data for this exercise included: Cambodia Demographic Health Survey (2014), Cambodia Socio-Economic Survey (2015), Education Congress Report (2015), Health Management Information Systems (2016), the Inter-census survey (2013), Cambodia Labor Force Survey, CMDG reports and other existing data sets that are currently available.

## Case Studies

The case studies are in-depth examinations of one selected programme from each of the three outcomes. Case studies were used to understand the relationship between progress in results achievement on the one hand and, on the other, a number of key factors such as, for example, delivery efficiency, partnership management, coordination of stakeholders and outcome coherence. The criteria for choosing each case study are presented in the side box. Since only three were chosen, no sampling strategy was applied. The three case studies are summarized in Table 4.4 below.

### Criteria for the Selection of Case Studies

- One case study for each outcome;
- Each case study was a result of direct support from the UN to help distinguish the results as caused by the UN rather than other development partners outside the UN system;
- One of the case studies should be a joint programme;
- Each case study should have a varying degree of success (at least one successful and one less successful programme);
- One case study should have contributed to the issue of economic diversification and at least two of the case studies should be linked to strengthening sub-national administrations;
- The case studies should be on-going and there should be adequate information and data (programme results, M&E) from both government and UN actors to ensure a full understanding of the programme. The key actors must be present in country and willing to work closely with the evaluation team; and
- Each case study should have varying degrees of alignment with the five UN programming principles and attention to vulnerable groups.

**Table 4.4 Case Studies**

PROGRAMME	OUTCOME	RATIONALE
Cambodia Export and Diversification Expansion Programme (CEDEP II) – Cassava	Outcome 1	Inclusive growth
Strengthening Social Protection Mechanism	Outcome 2	Innovative approach
Disability Rights Initiative Cambodia	Outcome 3	Joint programme

The case studies are presented in Section 6.



## 4.4 Analysis

To assess the level of achievements, the evaluation team reviewed the UNDAF 2016-18 results framework. Its three outcomes are segmented into component sectors. The results matrix and the annual work plans treat these sectors separately with separate goals and indicators. Guided by the results matrix and the annual work plans, the evaluation team examined each of these component sectors separately and in an initial analysis considered the extent to which the targets established for each of these sectors had or had not been achieved. The level of achievement of these targets was confirmed during in-depth interviews with relevant stakeholders and through additional review of documents as described below.

A sample of programmes (or smaller projects) from different agencies were identified for each of the outcomes from UNDAF 2016-2018. The outcome headings for the two UNDAFs were different but since the programmes were only different in exceptional cases, this approach was able to cover both cycles. A representative selection of programmes was made by going through all sub-themes, constituent projects and areas of concentration with 18 UN agencies. The selection strategy was:

- 1) To cover as many agencies as was feasible;
- 2) To ensure that all major areas of outcome concern were represented;
- 3) To ensure that the programmes selected provided a concrete and accurate view of the outcome as a whole; and
- 4) To include those projects whose results were in the results matrices for both UNDAFs.

See Appendix X for a full list of sampled programmes.

After identifying the representative programmes, documentation was obtained, questions were posed in a succession of interviews and in some cases, site visits were made. Twenty-three programmes were reviewed, nine for Outcome 1 and seven for each of Outcomes 2 and 3. The questions focused primarily on four evaluation criteria: relevance, effectiveness, efficiency of delivery and sustainability. To the extent possible, up to date information on the indicators chosen by the agencies to account for their programmes were incorporated into these descriptions. An assessment of each outcome was then carried out based on these key performance criteria.

Data reliability was ensured by deliberate triangulation, confirmation from a variety of data sources. Much of the numerical data is from secondary sources and the reliability depends on its origins. The evaluation team triangulated secondary and primary data based on the evaluation matrix. Triangulation methods differed based on criteria and topics.

## 4.5 Validation of Preliminary Findings and Emerging Recommendations

The evaluation team presented preliminary findings and conclusions to the EMG, the reference group and the PMT on July 31, 2017 with a view to identifying factual errors, addressing information gaps and obtaining feedback on preliminary recommendations. The information gleaned through these sessions was used to inform the report.

The EMG reviewed and provided feedback on draft deliverables for approval by the evaluation commission, the UNCT.

## 4.6 Ethical Considerations

The evaluation team followed closely the United Nations Ethical Guide for Evaluation in selecting interviewees, in interacting with them and in respecting their personal and institutional rights. They were assured that no attribution would be made to them if they did not want, they were chosen to ensure a fair representation of views in order to ensure a balanced perspective and, in the rare instances where potentially vulnerable groups were involved (e.g. persons with disabilities) the evaluation team was particularly conscious of compliance with ethical standards in interaction with them. Generally, the evaluation team maintained an awareness of the United Nations Ethical Guidelines.<sup>10</sup>

Informed verbal consent was sought from stakeholders prior to asking any questions related to the UNDAF evaluation. To obtain consent, the evaluation team briefly explained the reasons and objectives of the evaluation, as well as the scope of the questions asked during the interview. Stakeholders had the right of refusal or to withdraw at any time. The evaluation team also ensured respondent privacy and confidentiality. Comments provided during individual and group discussions were aggregated to render impossible the identification of specific stakeholders.

The evaluation team was unaware of any conflicts of interest for this work.

## 4.7 Limitations and Mitigating Strategies

The evaluation encountered some challenges and employed strategies to mitigate or limit their effects, as described below.

- *Access to all Essential Informants.* In order to have a comprehensive appreciation of how the UNDAF functions, it was necessary to have in-depth discussions with all agencies with a presence in Cambodia. This would be difficult in the best of circumstances as some do not have representatives in Phnom Penh, some are small with busy representatives and some of the representatives were either absent or not available. The evaluation team confronted this limitation by conducting some interviews by Skype. In some instances, the evaluation team conducted repeat visits in order to confirm information with staff members and to ensure country representatives' views were fully incorporated. In the end, 19 agencies were consulted.

<sup>10</sup> United Nations Evaluation Group (UNEG), *UNEG Ethical Guidelines for Evaluation* ((UNEG/FN/CoC [2008])).

- *Adequately Covering all UNDAF Programmes.* The evaluation team's UN interlocutors for the evaluation (the reference group, the PMT and EMG) had high aspirations for the evaluation. While the TORs were clear that the evaluation would not focus on specific programmes or projects, it was difficult to assess to what extent and how the UNDAF outcomes had been attained without providing references to specific programmes to illustrate the achievements and shortcomings of the UNDAF. A selection of programmes and projects was made for each of the outcomes covering all of the major themes. In depth inquiries were made for each of these selected programmes. Three programmes, one from each outcome, were selected for in-depth examination, in order to address important programming issues or themes. A rationale for choosing each case is presented at the beginning of each one. The evaluation team extended its time in Cambodia to be sure to cover all necessary bases. Despite this, a limited selection of programmes was unavoidable given the scope of this evaluation.
- *Making Use of Results Matrix Indicators.* The performance assessment of both the 2011-2015 and 2016-2018 UNDAFs relied on the indicators provided in the UNDAF 2016-18 results matrix along with the data sources suggested. In some cases, the indicators were pertinent and the data sources available. In many cases, however, the indicators due to their limitations, did not inform the assessment of the programmes; in others, the data sources were not available or could not be used to compare contemporary performance with baseline measures. It could be concluded that revision/ updating of indicators would improve their usefulness for assessing performance. To compensate for challenges, the evaluation team [occasionally] included proxy indicators provided by agencies or sought additional programme performance information from supplementary data sources.
- *Differences between the two UNDAF Cycles.* The TOR requested the evaluation team to undertake a review of the effectiveness of the previous and present UNDAF cycles.<sup>11</sup> This posed a unique challenge since the results matrix for the previous UNDAF differed from the results matrix for the present one with the consequence that completing a thorough review of both would mean undertaking two different reviews for two different time periods, one for 2011-2015 and the other for 2016-2018.<sup>12</sup> This was made even more of a challenge given that, for the most part, the constituent programmes and projects are the same; most of the programmes in the present UNDAF were developed in the previous one and have not changed. It would have been difficult to undertake two different assessments against two different sets of criteria at two different time periods of essentially the same set of programmes. The evaluation team, in collaboration with the RCO, decided it served the purposes of this evaluation best to assess the performance of the programmes covering both UNDAFs against the results matrix provided in the present 2016-2018 UNDAF. It may not have been the optimum approach, but it did yield a reliable assessment of the programmes and approaches of both UNDAFs.

<sup>11</sup> UNCT Cambodia, Terms of Reference for the Evaluation of the United Nations Development Assistance Framework (UNDAF) Cycles 2011-2015 and 2016-2018 in Cambodia, April 2017, 6-7.

<sup>12</sup> Many of the indicators are the same for the two UNDAFs, but in a few instances, they are not. In some cases, judging 2011-15 UNDAF projects against 2016-18 UNDAF indicators is inappropriate. An important example is the present UNDAF project – Association of Councils Enhanced Service (ACES) programme. While its predecessor, the Democratic Decentralized Local Government (DDLG) project had many of the same objectives, it differed in the specifics of what it was to achieve. Measuring the success of the DDLG project by the indicators chosen for the ACES project does not give a fully accurate picture of what it achieved.

- *Gaps in Reporting.* The UNDAF reports do not indicate implementing agencies, duration or location of programmes supporting the UNDAF Outcome, information which is essential for identifying them and obtaining additional details to support the evaluation's findings. The evaluation team mitigated this challenge by inferring from the broad programme descriptions in the reports the specific programmes and verifying this with agencies before pursuing further programme level investigations. This was clarified during a UNCT meeting that this was to show that it is a 'combined UN' and not individual agencies executing the UNDAF.
- *Data Limitations.* For the most part, the indicators rely on encompassing data sets, national surveys or accessible reports and records. The challenge the evaluation team faced is that reports and national surveys may or may not have much to do with the specific interventions such as school gardens, labour arbitration or export promotion for high value commodities. As much of the numerical data is from secondary sources, the reliability depends on its origins.
- *Private Sector.* The evaluation team did not have the time nor a strong mandate to look at interactions with the private sector.

# 5 Findings

## 5.1 Relevance

The current UNDAF is very relevant to national needs and priorities. Most programmes and projects are aligned with the National Strategic Development Plan 2014-2018 and the Rectangular Strategy. Outcome areas 1 and 2 are extremely well aligned with the RGC priorities, while Outcome 3 shows a few divergences. UN agencies are perceived as being slightly less relevant in areas of programming that are not aligned with government's priorities, e.g., human rights. This should not mean, however, that support to these areas should be reduced. The UN influence in Cambodia has decreased over the years due to the emergence of new donors and partners. Despite this, the UN has demonstrated its ability to adapt to changing circumstances.

The overall coherence of the UNDAF outputs and outcomes is mixed. Coherence and interconnectedness among components varies across the three outcomes; there is strong coherence in Outcome 2, much less in Outcome 1 and almost none at all in Outcome 3.

**Finding 1:** The alignment of UNDAF outcomes with national development needs and priorities is very high. The RGC is, however, less inclined to endorse human rights and good governance programmes and pushes for more support for economic growth.<sup>13</sup>

Most programmes and projects under the UNDAF are in line with the government's priorities expressed in its National Strategic Development Plan 2014-2018 and more specifically in its Rectangular Strategy.

- The focus of Outcome 1 on agricultural production and economic diversification fall clearly under the second (job creation through economic growth) and third (public sector efficiency) of the four rectangular pillars, and environment protection is integral to the fourth (protection of natural and cultural resources). They are also integral to any objective assessment of the principal challenges to Cambodia's continued growth. The rate of agricultural production has slowed, and the government is committed to finding ways of increasing the productivity of economic activities in the rural areas. Economic growth, economic diversification, strengthening marketing chains and job creation all are high government priorities. And while the government may not assume full responsibility for acting on its environment protection obligations in practice, it does so in principle.
- The initiatives under Outcome 2 on health and education figure prominently among the Government of Cambodia's NSDP, as well as among the priorities of the United Nations and the agencies involved. They are designed to ensure that they provide services to the most vulnerable. Delivering health and education and social protection programmes is high on the government's social service agenda. The extent to which the programmes in this outcome achieve their targets, some of the relatively ambitious, testifies to their relevance. The government ministries

<sup>13</sup> The views expressed in this finding are based on (i) an analysis of the congruence between RGC/NSDP and two previous UNDAFs, (ii) numerous claims in UN documentation of support for RGC development strategies and (iii) a succession of interviews with CDC on congruencies and divergences in UN and RGC development approaches.

responsible for this outcome's interventions – Ministry of Education, Youth and Sports, Ministry of Economy and Finance and Ministry of Health – are strong agencies with national level influence because they carry social responsibilities that the government readily supports.

- Initiatives under Outcome 3, such as reducing numbers of children in residential care facilities or resolving labour disputes under the arbitration council, implement programmes supported either by law or by inclusion in the National Strategic Development Plan. There are others programmes, such as tracking human rights adherence or reducing the number of pre-trial detainees, which may figure as national priorities in principle<sup>14</sup> but not in practice; court reform under a more independent judiciary is a pressing need in the country's development but has more theoretical than practical relevance to official government policy. This does not diminish their importance, on the contrary; in some cases, it enhances their importance. It does, however, affect the likelihood of UN agencies having a significant impact in these areas.

Overall, the UNDAF did very well with the integration of vulnerable populations across all three outcomes, in line with the principle of the Agenda 2030 of leaving no one behind. However, it does not define who the vulnerable groups are other than being “women, orphans, youth, elderly, migrants, persons with disabilities”, etc. It is important to note that not all women or youth are vulnerable. Different UN agencies may also have distinct definitions of vulnerable populations depending on their mandates. A more precise definition or detailed analysis at the national, regional or community level would be useful to target these groups more effectively.

There are important differences between the UNDAF programming preferences and those of the government, particularly with regards to governance and human rights. The UN places a strong emphasis on partnering with civil society; in large numbers of programmes, civil society organizations participate as implementers and advocates, which may not be the same vision of the government, given its Law on NGOs. Differences like this can have an impact on the agency's activities, as demonstrated by the delaying of the signing of a memorandum of understanding between OHCHR and the Government. Based on interviews and documents reviewed, the evaluation team believes that the relevance of programming in governance and human rights is beyond question. These areas of programming, however, pose unique challenges to UN agencies. The difficulty in garnering government support is a factor in the efficiency of their delivery. It is also a factor in achieving the targets identified in the results matrix and in ensuring continued support for meeting these targets. This should not mean, however, that support to these areas should be reduced because of the difficulty in meeting their goals. On the contrary, it means that continued support is even more important.

The government has further indicated it would prefer the UNDAF to provide more support for economic growth, either in the form of economic diversification, industrialization or by assisting high value commodity market chains to function better. The government's view is that there needs to be a better balance between social protection to the most vulnerable and technical support for those capable of building a stronger economy.

---

<sup>14</sup> Good governance, including preventing corruption and enhancing the competence, independence and impartiality of the judiciary which is crucial for strengthening the rule of law, figure in the Rectangular Strategy. In this regard, reducing the number of pre-trial detainees, for example, is implicitly addressed in the Government's strategy to disseminate knowledge of laws and procedures to the public with the aim of improving awareness and proper enforcement of the laws.

**Finding 2:** The UN as a government partner is experiencing a weakening of influence and capacity to shape policy in comparison to new donors. Despite that, UN agencies have been able to adapt their programming to the changing context in Cambodia.<sup>15</sup>

UN agencies in Cambodia and elsewhere have experienced significant shifts in the resources mobilized and influence secured with implications for their ability to maintain their capacity to influence policy in critical areas.

China and Korea have joined the ranks of development partners in the past decade. In 2007, the body coordinating the provision of Official Development Assistance (ODA), the International Forum for the Reconstruction of Cambodia (ICORC) was restructured and for the first time China was officially included. Since then, China's Foreign Direct Investments (FDI) and ODA have grown rapidly. China is now the largest and perhaps the most influential bilateral donor among the present donor group, followed by Japan and this followed by the joint programme of the European Union (EU) and the 11 members participating in the European Joint Programme. As the aid envelope of the UN diminishes, the foreign aid budgets for China, Japan, Asian Development Bank (ADB) and other bilaterals from non-traditional donors are increasing, shifting the balance between contributors. The evaluation team has found it difficult to obtain precise figures since the aid database of the Council for the Development of Cambodia (CDC) does not make it easy to extract annual aid contributions. The following table gives the approximate annual aid contributions (of all types) for a selection of contributors.

**Table 5.1** *Approximate Annual Aid Contributions from a Selection of Development Partners (2008-2017)*

CONTRIBUTOR	APPROXIMATE ANNUAL AMOUNT IN MILLION <sup>16</sup>
Asian Development Bank	USD 166.9
China	USD 136.2
Japan	USD 86.3
United Nations (14 agencies)	USD 80.45

**Source:** CDC donor database. CDC's data on contributions over the past ten years lists the amount and the number of years of the commitment. The variation in number of years for each contribution makes a comparison difficult. In order to facilitate a comparison, the amount given by each partner is divided by the number of years of the commitment and this average yearly amount is given in the table above as the average per year commitment for the listed development partners.

The UN's capacity to shape policy has rested in part on its reputation established during the United Nations Transitional Authority in Cambodia (UNTAC) period and the Paris Peace negotiations when its role in conflict abatement was heroic. Large numbers of agencies were welcome, and the budgets were commensurate with the UN's substantial reputation. The reputation remains to some extent but its aid budget, like the aid budget for traditional contributors generally, trends downward. This clearly affects programme quantity, but it also affects the shape, quality and impact of its programming.

<sup>15</sup> The views expressed in this finding are based on (i) interviews with a selection of donors all on the issue of declining UN influence, (ii) interviews with the CDC and other government staff on the impact of declining UN resources and capacity to influence policy and (iii) academic literature (cited in the report), on the rising influence of new donors while the influence of traditional donors decline.

<sup>16</sup> Average amount over the listed years of disbursement.



The UN has played an important role in democratic reform, an avowedly political agenda and the evidence of its impact, while difficult to measure precisely, is apparent.<sup>17</sup> There are advocates of human rights in key government positions. Advocacy NGOs have been able to find funding within UN programmes. Disenfranchised and vulnerable populations have benefitted from UN programming and in the process, are more politically aware. This democratic awareness in the country expands the political space for democratic dialogue and the ability of activist NGOs to voice their concerns. However, the proliferation of alternative donors with different policy agendas – such as China, Japan and Korea – is impacting on the UN's status as a main donor.

Inevitably, this has influenced UN programming and relevance. Its scope is reduced, and its shape changed. The reduction in scope is commensurate with the reduced funding. UNDP programme is reduced by a third. Agencies have to make choices and it is in the choices they make that a different shape is given to the UN programming as a whole. In most agencies, choices will favour those that allow agencies to maintain their staff and their stature in country and, in most instances, this means moving their approaches toward programmes where funding is available. In Cambodia, in most instances, this moves the UN agencies toward technical interventions – climate change, medical responses to violence against women – and away from good governance. This shows how UN agencies have been able to adapt to changing circumstances in Cambodia.

**Finding 3: There are examples of flexible and adaptive programmes in the present UNDAF and interestingly, these are among those with positive track records.<sup>18</sup>**

Three UNDAF programmes are reviewed briefly here as illustrations of how the adaptive approach functions and why it is worth considering in planning subsequent UNDAF components.

### *National Funding for Contraceptives – Flexibility in Action*

When UNFPA first raised the idea in 2007, ten years ago, that the government should make contraceptives universally available, the government listened but did not respond. Advocacy persisted using every opportunity to remind the government of the importance of public investments in family planning. UNFPA did not hurry the matter but did make clear on a number of occasions that the UN could not fund the provision of contraceptives indefinitely. Meanwhile between 2010 and 2012 as government revenue increased and donor resources diminished, the Australia Department of Foreign Affairs and Trade (DFAT) stepped in to provide bridge funding. This allowed the government time to consider their decision once this funding stopped. Meanwhile Thailand and Vietnam began to fund their own programmes. The Ministry of Health came on board but to convince the Ministry of Economy and Finance (MEF), it was necessary to show that it was more advantageous to fund contraceptives than not to. This took time. One step led to another in an incremental process. Transition plans were put in place, the government was frequently advised when funding would stop and what might be the consequences. Important decision-makers were flown to Copenhagen to enable them to learn about the electronic ordering systems and procurement processes available to them. The process that began in 2007 resulted in the MEF creating a specific budget line that allocated a total of USD 100,000 in 2014, USD 200,000 in 2015 and USD 2.2 million in 2016. The process took

<sup>17</sup> Michael Sullivan, "China's Aid to Cambodia," in Caroline Hughes and Kheang Un (eds.) *Cambodia's Economic Transformation*, Copenhagen, Nordic Institute of Asian Studies Press, 2011, 50.

<sup>18</sup> The views expressed in this finding are based on (i) a document review of existing joint programmes, (ii) analysis of liabilities in the execution of joint programmes for two previous UNDAFs and (iii) analysis of the benefits of non-formal collaborations, their evolution and results.



ten years but in 2017, the government allocated USD 2.6 million that made contraceptives universally available in the country.<sup>19</sup>

### ***Cambodia's Climate Change Alliance phase 2 (2014-2019) – Casting the Net Widely***

With funding from UNDP, EU and the Swedish International Development Cooperation Agency (SIDA), the Cambodia Climate Change Alliance (CCCCA) has embraced a programme whose results amount to a search for optimal climate change responses. In lieu of a programme with specific modalities and objectives, it is a programme in search of preferential modalities and objectives. A Cambodia Climate Change Strategic Plan was elaborated that designated a number of areas a climate change programme should cover, and ministries associated with these areas of concern were asked to prepare a climate change action plan. A first window of financing made funds available for initial projects to kick-start these action plans. There were government bodies whose functions were not immediately related to the areas of climate concern covered by the first window, and a second window of financing made funds available to these bodies for research relevant to their function; the MEF undertook a study of existing and possible sources of financing for both climate change mitigation and adaptation. A third window of financing made funds available to NGOs, universities as well as government bodies if they wished to undertake studies and experiments exploring innovative climate change responses. Many of the funded ventures may come to very little. Others may suggest novel avenues of inquiries and approaches. Others may direct the Ministry of Environment and its National Council for Sustainable Development to look into novel and unanticipated effective responses. Instead of a directed programme to adapt to and mitigate the effects of climate change, this is a programme with multiple directions making it possible to examine the best of a range of possibilities.

### ***School Gardens for Better Nutrition – Inviting Convergence***

FAO's programme with the Council for Agriculture and Rural Development (CARD) and the Ministry of Education, Youth and Sports (MOEYS) guides primary school teachers to engage their students in planting gardens as part of the curriculum. A body of evidence shows that involving students in growing food is an effective way to improve nutrition, it encourages them to eat more nutritious foods and has a ripple effect in their families where what they learn in school has an effect on the food provided in the households. School gardens can contribute to improving dietary and nutritional wellbeing of children, and impact in an indirect way, future generations. The initiative designs a manual, trains teachers and trains a large number of trainers with the hope that these trainers will introduce the programme as widely as feasible.<sup>20</sup> It supports expanded gardens in the school with the intention of making these expanded gardens a permanent fixture. When choosing the 30 pilot schools, moreover, FAO deliberately included 20 schools that were also schools where WFP maintained a school feeding programme, providing meals for students.

<sup>19</sup> UNFPA, Advocacy for the Allocation of National Budget for Contraceptives, Lessons Learned from Cambodia, Phnom Penh, unpublished paper.

<sup>20</sup> Julia Boyle, School Gardens for Improved Nutrition, Cambodia Country Case Study Report, Phnom Penh: FAO, August 2017.

## Coherence of the Design

**Finding 4:** The UNDAF overall presents a unified approach but coherence in the design of the framework as whole is not robust. Outcome 2 is the most internally coherent component, while the programmes undertaken in Outcomes 1 and 3 have less connection to each other.<sup>21</sup>

Coherence and interconnectedness among components varies across the three outcomes; there is strong coherence in Outcome 2, much less in Outcome 1 and almost none at all in Outcome 3. Overall there is limited coherence across the UNDAF as a whole. Instead of piecing the components of an UNDAF programme together according to a logical strategy agreed in advance, a strategy was elaborated after the fact.

The result is a programme whose coherence is fortuitous. There is the appearance of a unified approach and in one of the outcomes, there appears to be a well-structured strategy. The strategy needs improvement, marked by an overall plan with interconnected elements. There are challenges in engaging all agencies to ensure their programmes reinforce each other within the UNDAF as a whole, and there needs to be more emphasis on collaboration.

There is bound to be some common ground since all UN agencies have at least the common goal of protecting against vulnerability, improving public services and reducing deprivation. Outcome 2 has a coherence that inheres in the closely linked mandates of the agencies involved. Here the three themes - improving schools, providing critical health services and building a social protection framework - easily interconnect. Better run schools are inclined to assist deprived children, and this attention to deprived children provides opportunities to protect against malnutrition. These interventions are favourable to expanding the coverage of social protection to include children of poor families in schools.

This is less true for the combination of farm productivity, market diversification, protection of urban labourers and climate change covered in Outcome 1. Expanding markets for specific commodities may or may not affect farmers directly and in some circumstances, they may have little to do with one another. Assisting labourers in garment factories helps urban populations for the most part but there is no intrinsic relationship between arbitrating labour disputes and improving the profitability of small scale farmers. A connection could be made: urban industrial development that attracts members of rural households may possibly impact rural farm families and in the long term contribute to an industrializing economy. But such a connection should be built in.

Outcome 3 interventions range from court reform to child protection to services for disabled persons and promotion of women's participation in electoral politics. On their own, each of these has considerable value but since their connection to each other is generally remote, they have little, if any, coherence as a group. The challenges in this area to achieving improved UN coordination and synergies are evident.

The connections between the outcomes need to occur from the inception and design of the UNDAF process. Preventing illegal logging may well have a connection to justice sector reforms but, again, not unless the connections are forged deliberately and not unless separate agencies are committed to undertaking ventures collaboratively and making them a part of the UNDAF process.

<sup>21</sup> The views expressed in this finding are based on an (i) an analysis of synergies (or lack thereof) in recent UNDAFs overall and at outcome levels, (ii) multiple testimonies from diverse stakeholders and (iii) response by government and agency implementers regarding drawbacks of UNDAF frameworks.

## Theory of Change

**Finding 5:** The current implicit theory of change underlying the UNDAF is not robust. Developing a more accurate theory of change in line with the requirements set out of the 2017 revised UNDAF guidance will require UN agencies to be selective about which key areas they should focus on.<sup>22</sup>

As described in previous findings, the overall coherence of the UNDAF lacks robustness. This probably explains why the same could be said about the implicit theory of change. The 2016-2018 UNDAF did not require the development of a TOC.

The theory of change incorporates a great diversity of initiatives that have little connection to each other rather than providing a tight, more accurate strategy for achieving key objectives.

It is important for the UNDAF process to not only judge what elements are essential for the outcomes selected to be realized but also to not select those elements which may be relevant yet not so essential. 2017 updated guidelines for developing the UNDAF make developing a theory of change one of the top priorities in how to proceed. UNDAF planners are urged to develop theories of change as indispensable exercises in designing both the UNDAF as a whole as well as its separate outcomes to show “how it is assumed that UNDAF strategic priorities will support achievement of national priorities and the SDGs.”<sup>23</sup>

Developing a theory of change involves making judgments, not only about the connectivity of development factors but also about which connections are more important than others. Choices have to be made, some initiatives have to be included and some not. Some participants in the process may wish the UNDAF to invest heavily in all levels of education when in fact, once a reasonable level of success has been achieved at primary grades, vocational training for entering the job market might become more important. Some participants may strongly advocate for a programme to make contraceptives widely available and, indeed, this has some degree of priority, but not as much as an intervention which works on a scheme to provide social protection that accurately targets the elderly and poor women and children. To do otherwise will result in an UNDAF that struggles to represent something of what everyone advocates.

The value of doing this, as many have noted, is nevertheless considerable. The result is a tighter and more accurate strategy for achieving the objectives one starts with. This strategy may be some variation on poverty alleviation – making sure no one is left behind is one such variation – and there are some valuable resources, experts and their writings, for reducing poverty in countries with varying burdens and types of poverty. *The Chronic Poverty Report 2014-2015* – notably because it has been used by UNDP Cambodia and because it is designed to help make choices for a viable theory of change is a good reference point.<sup>24</sup> Approaching a theory of change guided by informed sources makes the outcomes – inclusive growth for example – more likely to be achieved as well as achieved with fewer resources and is recommended for the UN.

<sup>22</sup> The views expressed in this finding are based on an (i) evidence of the disinclination expressed by key actors in UNDAF planning to be guided by an explicit theory of change exercise, (ii) evidence from agency reports of the negative consequences for UN poverty programming because of the neglect of a theory of change perspective and (iii) review of an attempt by EMG personnel to elaborate a theory of change for UNDAF programming.

<sup>23</sup> United Nations Development Group, *United Nations Development Assistance Framework Guidance*, updated March 2017.

<sup>24</sup> *The Chronic Poverty Report 2014-2015*, *Chronic Poverty Advisory Network*, London: Overseas Development Institute, 2014; see also: World Bank, *Cambodia Poverty Assessment 2013*, Washington: World Bank Group.

## 5.2 Effectiveness

In terms of results achievement, this section shows areas where there have been real successes and areas where success has been elusive. Most of the programmes in Outcome 1 all have the potential of lifting targeted populations out of poverty or preventing them from slipping back into poverty. Their impact on poverty is, however, difficult to demonstrate; this is due, in part, to these programmes' reliance on national level data rather than on data relevant to these programmes. Their effectiveness has been limited by the difficulty of diversifying the economy, improving market chains, overcoming key constraints such as declining commodity prices and limited access to growth-related education opportunities to increase work force capacity.

The results achieved in Outcome 2 are more impressive than the other outcomes in part because of the interconnectedness of the sectors, in part because of the agencies involved, and in part because of the government support and capacity to deliver services with efficiency. A certain level of achievement can be seen in Outcome 3 and it deserves to be the foundation for further commitments. But Outcome 3 also has programmes with modest achievements.

The attention paid to UN programming principles such as gender equality and environmental sustainability is mostly programme or project-specific. For instance, the UNDAF results framework and Consolidated Annual Work Plans do not contain disaggregated indicators tracking beneficiaries by men or women. The same thing could be said for environmental sustainability; it is not systematically integrated into all UN interventions as specific results or indicators. The UN staff survey brought out strong results on the integration of gender and human rights across the agencies. However, 16 per cent of respondents did not know whether environmental sustainability was adequately incorporated into the UNDAF implementation and 21 per cent disagreed that it was (see Appendix VII for full survey results).

### Programme Relevant Data

**Finding 6:** The current results framework provides 33 general and broad indicators that can only directly assess the results of 12 UN programmes. The indicators are of limited relevance to the actual socio-economic impact of the interventions.<sup>25</sup>

A more cohesively constructed UNDAF based on a robust theory of change will demand differences in how the UNDAF functions, not the least of which is a greater demand for reliable and relevant data. Having data is consequently an essential step toward strengthening the UN system as a whole, and toward the kind of evidence based reflection that leads to programme clarification and improvement.

This evaluation has reviewed the indicators in the present UNDAF's results matrix, the sources used and the accessibility of the data. For the most part, the indicators rely on encompassing data sets, national surveys or accessible reports and records. The consolidated annual work programmes were developed to provide output level indicators to help operationalize and monitoring UNDAF implementation at a lower level. However, these were often restatements of what the project intended to provide. In the case of training programmes, it might be the creation of a training manual. In the case of training medical personnel to care appropriately for women victims of violence, it might be the creation of a plan to treat women victims of violence. These are only minimally informative. There needs to be higher level outcome indicators linked to

<sup>25</sup> See footnote 22.

the impact, at a school level, hospital level or commune level of these interventions. There is a gap between a restatement of project objectives and broad data sets to which the interventions may or may not contribute. Thirty-three indicators are given in the results matrix and only 12 are capable of assessing specific programme results.

In some instances, the indicators proposed, and the data they entail, are of immediate relevance to the results. The number of prisoners detained without a trial, for example, is known for every year. UNFPA's programme to reduce infant mortality by training health workers to carry out emergency birth services keeps a close eye on the national health birth records. Other indicators have inherent limitations, such as using the percentage of women in parliament as a measure of the women's empowerment programme, which is only a very indirect reflection of the programme's activities. And the proportion of persons employed in the formal sector has only a remote relationship to the activities promoting economic diversification.

**Finding 7: Relevant data for assessing results at the outcome level is not consistently available, limiting the UN's capacity to assess results in a number of instances.**

Challenges relating to having programme relevant information extends beyond the present UNDAF. It will also be a concern as the next UNDAF incorporates the SDGs. The Mainstreaming, Accelerator and Policy Support (MAPS) mission has devoted a section of its recent report to the need for a more thoughtful approach to the UN's use of data in Cambodia. It inquired into the extent available data is capable of keeping track of the targets proposed for the SDG and interestingly, it concluded that only a modest proportion (31%) of the data required to measure the SDG targets are available in the country. Cambodia's National Institute of Statistics (NIS) does collect basic information in the Cambodia Socio-Economic Survey and does collect demographic data in the Demography and Health Survey.<sup>26</sup> There are censuses at regular intervals. Some data on a limited number of common indicators are clearly available. But – and this is particularly relevant for meeting the SDG data requirements – there is a need for a more concerted effort to improve data collection in the country. The report proposed that a National Strategy for Development of Statistics be elaborated in order to direct the efforts of the subgroup within the Technical Working Group for Planning and Poverty Reduction, known as Data for Development.<sup>27</sup>

The MAPS report has served to call attention to the need for a more focused attention to data collection as the SDGs are integrated into the country's development planning. Although the approach may be different, the same applies to the UNDAF data requirements. The indicators and the data sets here are much smaller and are focused on the specific interventions undertaken under the auspices of the UNDAF. In many cases, they need to be more focused on the programme in question; this is not true in all cases since in many cases, very pertinent data is available. In other cases, there is a real need for the data to reflect the interventions more specifically. National poverty measures are useful, but they do not reflect the impact of a programme that covers only a target population.

While the data collected by some agencies for some projects track programme results at the outcome level, this is not consistently the case. It is important to make data available for UNDAF programmes capable of assessing performance at the output and outcome levels for all programmes, not just a portion of them. Data collection on impacts should be treated as an essential function across the board. This may involve

<sup>26</sup> A National Strategy for Development of Statistics is, however, under elaboration by the Ministry of Planning, with the NIS in the lead. A Roadmap to develop it was launched in February 2016.

<sup>27</sup> UNDP, *MAPS Mission to Cambodia, Summary Report*, October 2016.

ensuring that programme budgets have adequate data collection provisions or, additionally, it may involve building capacity in government partners for tracking outcome results.

## Achievement of Results

**Finding 8:** The performance of the UNDAF as a whole is mixed. Outcome 2 is on track to achieving its targets, while the performance of Outcome 1 is moderate, and the performance of Outcome 3 is low.<sup>28</sup>

The UNDAF is a framework but its success or failure depends largely on the success or failures of specific interventions. The extent to which results were achieved or on track to being achieved is inextricably linked to the overall performance of the framework. The evaluation team, in agreement with the RCO and EMG, chose to conduct an assessment of outcomes of the two UNDAF cycles under review based on a review of 23 programmes or projects to illustrate the results achieved. This assessment provides a partial basis for the performance assessments given for each outcome. Information from these reviews is supplemented by UNDAF reporting, interviews and in some instances, site visits. Complete reviews of these programmes are provided in Appendix XI where there are descriptions, additional evidence and observations relevant to the critical concerns of this evaluation.

- Under Outcome 1, achievements are not uniformly positive. In a few critical instances, programmes in this outcome have not achieved the targets specified in the UNDAF results matrix. Some of these targets may have been overly ambitious. Agricultural production is not growing as fast as anticipated despite efforts by the government to increase production. Changes in crop yields as a result of the programmes in Outcome 1 are apparently not tracked leaving this assessment to rely on national level statistics. The experience with expanding export levels of selected commodities has not been fully successful because of the numerous factors that influence export levels even though the foundation for expanding exports of selected commodities has nevertheless been laid. Projects to reduce deforestation and to engage the government more fully in responding to climate change have made substantial gains even though the needed collaboration among government institutions continues to be lacking.
- For the most part, interventions under Outcome 2 have achieved their targets. Clean water and sanitation are more widely available, the proportion of pregnant women with HIV/AIDS receiving treatment to prevent mother-child transmission has increased significantly, the contraceptive prevalence target levels have been reached as has the target for the midwifery program to ensure a qualified attendance at births nationwide. Maternal mortality rate has declined, and considerable progress is being made on social protection. Efforts to reduce under-five stunting and to increase both genders' enrolment in secondary schools are not as successful. Both of these – post-primary education and early childhood nutrition – are more complex issues. Reducing the level of stunting in Cambodia requires changes in hygiene and dietary habits which need a multi-pronged approach that relies on investment in changes in behaviours, attitudes and practices. Increasing enrolment in secondary schools will occur only when it is shown to be more beneficial for students than entering the work force. This will require changes in the structure of the economy. Making progress on these more recalcitrant issues means assistance that addresses broader political and economic reforms. Overall, the considerable achievements in this outcome are laudable.

<sup>28</sup> The views expressed in this finding are based on (i) a comparison of the level of achievement across three different outcomes based on the extent to which constituent programmes have achieved planned targets, (ii) self assessments by agencies of outcome by outcome performance and (iii) comparison of outcome by outcome performance by a selection of RGC personnel.



- Achievement of results is uneven under Outcome 3. There are some clear successes and the arbitration council is one of them. Its case load has increased year by year and it now serves an indispensable role in employer to worker relations within the garment industry. The devolution of responsibility for delivering public sector services in a few select ministries is underway, evidenced by the modest increase in percentages of national current revenues transferred to provinces, districts and communes. Achievements are less in other areas. For various reasons, and despite serious efforts, the number of pre-trial detainees held in prison has increased instead of diminished as hoped. The programme to empower women leaders has had mixed results when measured by the indicators and targets chosen for the results matrix; the proportion of women elected to commune councils declined between 2012 and 2017 while the proportion of women elected to national parliament increased. Results achievement is significantly less in this Outcome 3 as compared with others. While this is partially to be expected since achieving results in good governance can be more difficult than in the less political sectors, the level of effectiveness in this Outcome is notably.

The RCO in collaboration with the UN agencies are diligent in producing reports on the achievement of results.<sup>29</sup> For the most part, the reports give a broad and positive picture rather than a picture that realistically shows the dynamics of implementation and achievement of targets. For readers, this yields mainly an inventory of achievements with less indication of what obstacles had to be overcome. An effective and full assessment of the challenges is necessary to identify necessary inputs, resources, approaches and corrective measures required. Currently, there are few suggestions for how programming and partnerships with the government could be improved, and how, as a group, the UN agencies as a group could collaborate among themselves in specific interventions to make them more effective. This poses a limitation on the effectiveness of the reporting process.

## Gender

The following table indicates, for each of the 23 programmes selected for review in this evaluation and arranged by outcome, whether the impact on women and girls are: (i) direct, (ii) potential or (iii) indirect. The totals provide a rough indication of the proportion of programmes where the welfare of women and girls are directly targeted, where they could potentially benefit and where the impact is only indirect. Every effort has been made to ensure that the programmes selected for examination broadly represent programming emphases for the two UNDAFs under consideration.

<sup>29</sup> These include the *Joint Annual Review Meeting Report* compiled in association with the RGC and the *Annual Joint Results Report*; in addition, the *Consolidated Annual Work Plan* exercises, while not a report, provides a review of UNDAF activities outcome by outcome.

**Table 5.2 Impact on women and girls in programmes selected for review: Direct, Potential, Indirect**

OUTCOMES	NO.	DIRECT	POTENTIAL	INDIRECT
Outcome 1: Sustainable, inclusive growth and development	9	2	1	7
Outcome 2: Social development, social protection and human capital	7	7	-	-
Outcome 3: Governance and human rights	7	4	3	-
<b>Total</b>	<b>23</b>	<b>15</b>	<b>4</b>	<b>7</b>

Impact on women and girls, and gender sensitivity generally, is direct in more than half of the programmes examined for the report. Women and girls are not direct programme beneficiaries across the board, however, as many of the programmes oriented toward economic growth or law for example are unlikely to have a direct impact on women. Accepting gender as a cross-cutting theme clearly does not mean that there is gender sensitivity in all sector and all outcomes equally. It does mean that the UNDAF has succeeded in according priority to ensuring programmes are gender sensitive.

## Partnerships

**Finding 9:** There are examples of successful partnerships with non-traditional partners at the agency-level, but partnerships between agencies, such as joint UN programming, have so far shown limited success.<sup>30</sup>

Partnerships under the UNDAF may take different forms, and may involve relationships between UN agencies, government, or NGOs among others. The UNDAF is perceived as a platform to leverage partnerships, in particular to reduce duplication of efforts and leverage funding. The Partnership and Resource Mobilization Strategy (PRMS) was developed by the UNCT in 2016 as a guide to the UNDAF to nurture and forge innovative relationships. In the context of decreasing core resources, the PRMS looked into new types of partnerships with non-traditional partners/donors from the private sector, emerging donor countries, or South-South cooperation.

Partnerships with donors vary greatly across UN agencies. The improved development status of Cambodia requires UN agencies to reposition themselves to attract new sources of funding. Emerging donors (China, Korea or India) demand partnerships that are different from traditional donors. These new donors have shown more interest in investment projects with private sector than in technical cooperation projects with government or NGOs, or in supporting the UNDAF. The UN as a whole is currently exploring new avenues

<sup>30</sup> The views expressed in this finding are based on (i) an assessment of joint programme effectiveness involving inter-agency partnerships, (ii) solicitation of the views of representatives from 19 agencies on the effectiveness of inter-agency and other forms of partnerships, (iii) discussions with RCO personnel on the functioning of different forms of partnerships and (iv) a review of evaluation reports carried out by UN agencies.



for funding with non-traditional donors such as foundations or the private sectors, but with limited success so far.<sup>31</sup> The successes that have been realized are mostly at the agency or programme level.

UNIDO, ILO, UNDP and UNESCO have all successfully developed partnerships with private sector organizations. For instance, UNESCO partnered with SMART during the 2011 Global Action Week for Education to send out SMS during an advocacy campaign. The partnership has since evolved and is now formalized through an MoU. Although SMART does not provide direct financial contributions, it does give access to its network by giving out SIM cards during literacy campaigns, for example. This successful partnership remains exceptional as there are no coherent or coordinated efforts at the UN level to systematically pursue partnerships with non-traditional donors to raise resources. This is reflected in the online survey with UN staff, which found that 31 per cent of respondents felt that coordination with the private sector was “non-existent”, while 54 per cent reported that it was “fair” and 9 per cent felt it was “good”.

The UNDAF process has had experience with joint programmes and even though they are strongly encouraged in UNDAF guidance documents, joint programmes are few in number. Agencies justify their reluctance noting they are difficult. Agencies are not readily inclined to work closely in tandem and, in any event, it is difficult given quite different corporate cultures. The experience with joint programming, however much it is promoted, seems plagued by difficulties.

**Finding 10: The UN has developed into a trusted source of expertise and partner for the Government in critical areas.<sup>32</sup>**

Relationships with the RGC have changed significantly over recent years. With economic development proceeding rapidly, the UN has focused more on upstream interventions to advance the capacity of government partners through improved service delivery and policy. The central government has shown interest in continuing and further developing its partnership with UN agencies. However, it appears clear that the UN is often perceived as a competitor in accessing funding since the government would much rather receive direct budget support.

On a more positive note, the government generally trusts the UN as a source of expertise and partner in critical areas. UNICEF is frequently called upon by the government for advice and is described as a “private advisor.”<sup>33</sup> Indeed, 77 per cent of respondents to the online survey with UN staff indicated that they had a “good” relationship with central government, with 20 per cent stating that it was “fair”. The majority (77 per cent) also agreed that the UNDAF had increased the capacity of UN agencies to engage with the government on critical UN matters. See Figure 5.1 for more details regarding the perceptions of stakeholders with regards to partnerships, captured through the online survey with UN staff. The fact that UN agencies are well respected by the government has allowed them to act as a bridge in certain situations between the government and civil society organizations.

In the short term, UN agencies will have to think of ways of making their partnership with the RGC closer as their leverage diminishes while other donors are increasing their contributions and influence. This has

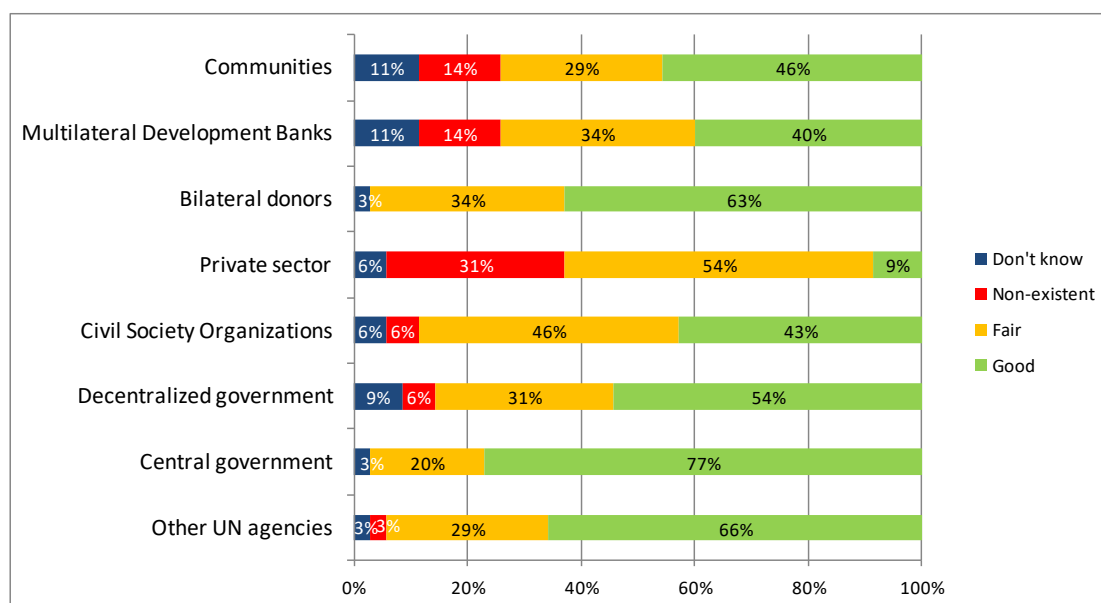
<sup>31</sup> According to the Partnership and Resource Mobilization Strategy (2016), Private sector engagement has been mostly absent from UN Cambodia resource mobilization efforts.

<sup>32</sup> The views expressed in this finding are based on (i) views of multiple UN Agency and RCO stakeholders, (ii) views expressed in internal UNDAF reporting and evaluations and (iii) views expressed by RGC staff on functioning and competencies of UN Agencies operating in Cambodia.

<sup>33</sup> UNICEF. (April 2017). Reducing Stunting in Children under Five Years of Age: A Comprehensive Evaluation of UNICEF’s Strategies and Programme Performance. Cambodia Case Study.

implications for advancing the government's SDG orientation as the UN may not have sufficient weight to work on some of the critical issues in partnership with the government. These closer links could happen at a different level as sub-national government partners have become increasingly important especially with the push towards decentralization. However, UN agencies may still lack experience or policy guidance to work through commune councils or villages which may constitute a limitation to more effective partnerships at sub-national level<sup>34</sup>. As reported by a WFP evaluation, coherence at the district and community implementation level does not match the level of coherence seen in joint UN planning documents and coordination meetings at the central level.<sup>35</sup>

**Figure 5.1** *UN Staff Perceptions of Partnerships with Key Stakeholders*



## 5.3 Efficiency

Many programmes have been delivered in a cost-effective manner. However, most UN agencies are experiencing drastic cuts in funding and are either following the money or discontinuing programmes altogether. Declining success in mobilizing resources among agencies has a direct impact on the funds available for UNDAF outcomes. For four of the five outcomes in the previous UNDAF, there were significant funding gaps between the planned budgets and the actual expenditures. At the present time, almost 70 per cent of the funds required to implement the present UNDAF as planned are yet to be mobilized. Most UN agency representatives believe the UNDAF is worth the effort, but many indicated that it did little to serve the specific interests of their respective agencies. Smaller agencies tend to perceive UNDAF processes as a burden.

<sup>34</sup> WFP. *A Mid-Term Evaluation of WFP's Country Programme 2011-2016*. June 2014.

<sup>35</sup> Ibid.

**Finding 11: The efficiency of the UNDAF varies across outcome areas. Resource utilization, management and availability of resources have all affected efficiency.<sup>36</sup>**

Many of the programmes and projects in Outcome 1 have been delivered in a cost-effective manner. Others, however, have had to overcome difficulties in delivering results. Expanding export levels for silk, rice, marine fisheries products and cassava in a region with highly competitive and expanding economies is risky and has not had anticipated results, in part because of difficulties in mobilizing key stakeholders. Mobilizing Cambodian institutions to have an effective and common response to climate change has also experienced delays in the past – the UN REDD programme for example – in large part due to less than expected collaboration among key ministries as well as blocked initiatives to prevent land use changes and illegal logging.<sup>37</sup> While these impediments are not strictly due to resource utilization, management and availability of resources has been a factor. As the National Institute of Statistics remains a small, modestly equipped organization and as funding is not sufficient, the next population census is delayed as the Ministry of Planning looks for funding alternatives to the UN.

Programme staff have shared with the evaluation team their concerns regarding the inefficiencies of Outcome 2, for instance, the delivery of therapeutic feeding and other strategies for lowering the incidence of stunting would benefit from better coordination. But overall, the delivery of this outcome's programmes by the agencies and government bodies involved has been comparatively strong.

For some programmes under Outcome 3, the reduction of pre-trial detainees and the treatment of victims of gender-based violence for example, a great deal has been achieved with modest budgets. In other cases, stakeholders complained of the inefficiency of the disability rights initiative due to high salary and administrative costs. There are instances of impressive efficiencies alongside instances of inefficiencies. Some programmes and projects have been affected by budget cuts: The Empowerment of Women Leaders at Sub-National Levels is an instance, and here the scope of the project is less than what was proposed. One of the rationales of enhancing coherence is the increase in efficiency brought about in outcomes where programmes support each other in achieving their linked objectives. The benefit has not been realized in this Outcome 3 where disparate programmes benefit little from interlinkages.

## Resource Adequacy

**Finding 12: Most UN agencies are experiencing drastic cuts in funding and are either following the money or discontinuing programmes altogether.<sup>38</sup>**

It is difficult to draw a straight line between trends in funding for UN programmes and the consequence these trends have for the effectiveness and efficiency of their programming, but they are connected. Nor is it clear how a group of agencies ought best to respond with new approaches to development financing; there are alternative sources of funding and novel notions for making up for the reduction in donor funding with contracts with the private and public sector but even with these, it seems inevitable that the trend of

<sup>36</sup> The views expressed in this finding are based on (i) examination of achievements against expended resources for a selection of programmes, (iii) assessment of agency programmes by representatives from 19 agencies and in-depth assessment of whether resources were used to the maximum benefit in a selection of cases.

<sup>37</sup> Nelson Gapare and Try Thuon, Final Evaluation of the UN-REDD National Programme, FAO, UNDP, UNEP, July 2015, p. 26.

<sup>38</sup> The views expressed in this finding are based on (i) an in-depth review of resource availability and its impact on programming for a selection of four agencies, (ii) numerical analysis of aid flows using data provided by CDC and examination of OECD DAC data on aid flows to Cambodia.

reduced resources and their broad consequences for UN agencies will continue in Cambodia. Some examples specific to agencies will illustrate the scope of the challenge.

- UNDP: For the three fiscal years between 2014 and 2016, the resources available for programming dropped from USD 30,830,000 to USD 23,100,000, a reduction of 25 per cent. Staff complement has dropped from 124 to 88, a reduction of 29 per cent. While there is a diversity of views on what have been the consequences of reducing programming and staff by almost a third, one clear consequence has been to move programming away from direct poverty reduction – economic diversification and support for gender equality – and toward climate change programming. UNDP has moved to where funds are more available. It is impressive how the Cambodia Climate Change Alliance, a pooled fund that supports small innovative ventures, has been able to direct funds toward programmes where poverty reduction and climate policy can be twinned but there is little doubt that the reduction has significantly diluted the focus UNDP has previously maintained on poverty alleviation interventions.
- UNFPA: For the three years between 2014 and 2016, core funding has dropped from USD 4,500,000 to USD 1,700,000, a reduction of 62 per cent. Staff complement has been reduced from 30 to 25, a reduction of 16 per cent. This has severely limited their collaboration with NGOs in a number of areas and in particular has cut to a significantly degree their collaboration with the Ministry of Interior working closely with sub-national entities preparing them to assume responsibility for reproductive and maternal health programmes. While these are the programmes which have been directly affected, all of their programming areas have been affected including midwifery training, contraceptive use, maternal and child health and developing a broad based social and medical response to violence against women and children.
- UN Women: For the two years between 2014 and 2015, the regular core and non-core resources were reduced by nearly 20 per cent from USD 651,000 to USD 527,000 per year. The 2016 budget was then increased to USD 839,000. The staff complement has been reduced from 25 to 15 in 2016, a reduction of 40 per cent.

There are exceptions to this pattern. The Office of the High Commission for Human Rights (OHCHR) responded to the trend three years ago and proceeded to mobilize funds both locally and internationally. This has been successful and the OHCHR has maintained a core complement of 38 staff with a budget that has remained more or less constant at approximately USD 3 million per year.

For the UN, there can be both supply and demand side responses to diminishing resources. A supply side response would seek to benefit from previously untapped funding sources. It is not easy to determine whether new sources of funding – private sector, government contracts, mobilization campaigns – will make up for the cuts in conventional sources. One can therefore count on funding reductions as a permanent state of affairs. If indeed there are some successes in development funding, agencies can continue to supply development services in their areas of expertise, only less than before.

A demand side response would make the services offered so valuable and so focused on relevant initiatives that both the government of Cambodia and other interested stakeholders will express a greater demand for UN agency services. This can be done. Much depends on well-informed agency coordination, the elaboration of a cogent, unified approach whose results are sufficiently compelling to generate continued support. There will be different ‘buyers’ of UN services with expectations that are different from the ones that previously shaped UN policy. One irreducible feature of this will be a more direct focus on growth; it may be pro-poor, and it may be designed to reduce inequalities, but it will have to embrace growth as a priority.

Declining success in mobilizing resources among agencies has a direct impact on the funds available for UNDAF outcomes. For four of the five outcomes in the previous UNDAF, there were significant funding gaps between the planned budgets and the actual expenditures. At the present time, almost 70 per cent of the funds required to implement the present UNDAF as planned are yet to be mobilized. Precise budget figures along with commentary on financial reporting by agencies, data availability and the contribution of the Business Operation Strategy in maximizing resource availability is provided in Appendix XII. In the online survey undertaken with UN staff involved in the UNDAF, only 49 per cent of respondents agreed that their agency had mobilized enough resources to achieve the UNDAF outcomes, with 43 per cent disagreeing and 3 per cent strongly disagreeing with the statement.

## Resources: Human and Financial

**Finding 13:** The coherence and rationale of the UNDAF is limited by the absence of a dedicated budget line or full-time capacity.<sup>39</sup>

The suggestion, offered in this section, that assembling and managing a very different UNDAF requires a full-time capacity should not be interpreted to mean that the present Resident Coordinator is not giving full attention to the UNDAF. On the contrary. The present Resident Coordinator is deeply committed to a more coherent UNDAF that contributes to a unified UN programme. The suggestion here is that the existing commitment of the present RCO would benefit greatly from having a dedicated staff member to manage this complex task.

There is no budget line for formulating and managing the UNDAF. When there is a need for funds, as when there is an evaluation or when a new UNDAF is being planned and costs are anticipated (developing a theory of change, planning workshops etc.), the RCO circulates a budget among the agencies and asks them to chip in. Sometimes the costs are shared equally and sometimes the larger agencies are asked to contribute more, as needs arise.

For this evaluation, the UNCT and the RCO, along with interested parties, assembled a budget of USD 100,000 and decided that since all 23 agencies were equally affected they should share the costs equally. The majority of agencies went along although many of them did so reluctantly. A few refused and as a result, the resulting budget for the evaluation was less than the one planned. Now that a new UNDAF is being planned and there is once again a need for funds, a similar process is underway; a budget of USD 64,500 has been drafted and circulated, and again it is decided by the UNCT and the RCO that the costs should be shared equally, and the process is underway to raise funds from the agencies to meet the requirements.

The UNDAF is a complex operation to be managed with voluntary contributions and part-time direction. There is the initial formulation which requires extensive consultation and guidance; but then there are activities, meetings of the PMT charged with monitoring the functioning of the UNDAF. There are on-going regular interactions with the government's Council for the Development of Cambodia (CDC) and interaction with other UNDAF operations in the region. Challenges arise regularly such as how to link the UNDAF process and performance with the 2030 Agenda and this requires consultation and reflection to ensure decisions are appropriate to Cambodia and link the UN in Cambodia to regional resources and programming

<sup>39</sup> The views expressed in this finding are based on (i) extensive in-depth interviews with 19 residents and non-resident agency representatives on the advantages and disadvantages of existing UNDAF development and management arrangements, (ii) examination of how specific projects that support UNDAFs are presently funded and managed and (iii) discussion with RCO spokespersons on benefits and limitations of UNDAF development and management.

possibilities. Coordination among agencies at the formulation stage requires dedicated leadership, one that is informed and able to guide agencies through the process of creating common goals. Coordination is also needed to find non-traditional sources of funding for joint programmes. And yet there is no budget line for these activities and costs for specific functions are met only on an *ad hoc* basis by occasionally piecing together a budget and asking agencies to pitch in.

The UNDAF process presently relies on the willingness of agencies to participate voluntarily and contribute mainly on an *ad hoc* basis. This informal approach has significant limitations, especially given the high expectations for the up-coming UNDAF.

The chances for a new UNDAF to achieve a level of coordination and realize the benefits of its comparative advantages more than before are greatly enhanced if the process is entrusted to full-time capacity within the RCO. A recent report of the Secretary General has articulated the need for country teams to reconfigure its operations, notably to strengthen and reposition the UNDAF “as the single most important UN planning tool in all countries with tangible implications for guiding UN support and presence and progressively taking precedence over individual entity country programmes and plans [...] UNDAFs must become a system-wide response to national priorities.”<sup>40</sup>

Strengthening the capacity of the RCO as well as expertise and authority of the Resident Coordinator’s technical advisors in order to meet the emerging challenges of agency coordination within the UNDAF is central to the direction the Secretary General has charted.

Part of the structural reforms proposed system wide would be to strengthen the role and resources available to the RC to provide a more robust coordinating function. There should, then, be more resources for managing the resource, perhaps even a dedicated staff member, as well as more authority to impose, where needed, a more coherent, collaborative and more tightly rationalized UNDAF than previously.

## Perceptions of the Value of the UNDAF

**Finding 14:** Most agency representatives believe the UNDAF is worth the effort, but many indicated that it did little to serve the specific interests of their respective agencies.<sup>41</sup>

The evaluation team administered a brief survey to a ranking member of each of 19 agencies<sup>42</sup>. A score was assigned to each question by the evaluator, not the respondent, since it was necessary to take into consideration the full discussion on the question. The results for all the agencies are given in Table 5.2.

<sup>40</sup> United Nations, *Report of the Secretary General: Repositioning the UN development system to deliver on the 2019 Agenda – Ensuring a Better Future for All*, Economic and Social Council, 30 June 2017, 12.

<sup>41</sup> The views expressed in this finding are based on (i) a survey of representatives of 19 Agencies on the pros and cons of participating in the previous UNDAFs, (ii) follow up interviews with survey respondents to clarify and expand on views expressed.

<sup>42</sup> For the most part, the survey questions were administered to a country representative or a deputy if the representative was not available. Ten questions were posed about the value of the UNDAF process. In posing the questions, it was made clear that agencies should answer for themselves and not consider how other agencies might respond. A numerical score was given to their answer and to make sure the score closely approximated the answer, there were occasionally lengthy discussions on the topic. The scoring followed this scheme: 1 = Not at all; 2 = Very little; 3 = To some extent; 4 = To a considerable extent; 5 = Fully.



**Table 5.3** *Perceptions of Utility and Value of the UNDAF – 19 Agencies Responding*

HAS THE UNDAF...	AVERAGE SCORE FOR ALL AGENCIES OUT OF 5
1. Contributed to meeting agency goals?	2.1
2. Enhanced synergy with other agencies?	2.4
3. Ensured relationship of trust with RGC?	2.0
4. Enhanced level of collaboration among agencies?	2.1
5. Contributed to clarifying your own programme designs?	2.0
6. Reduced administrative/transaction costs?	1.7
7. Increased donor confidence/interest in your programmes?	1.9
8. Contributed to UN programming innovations?	2.5
9. Contributed to identifying lessons learned?	2.6
10. Been worth the effort?	3.1

There are a number of conclusions. Firstly, despite the negativity discussed below, most felt that the process was worth the effort. This finding is supported by the responses to the online UN staff survey, in which 66 per cent said that the value of the UNDAF process outweighs the effort required to administer it.

Most of the respondents felt the UNDAF did little to serve their interests and one fifth of those responding to the survey believed that the process did not outweigh the effort required. Only one or two felt that it helped in articulating and achieving their goals, a few more felt it helped identify areas of synergy with other agencies, but none of those asked felt it helped, to any significant degree, in their relationships with donors or government. Overall, respondents felt that the UNDAF process contributed to their programming either “not at all” or “very little”. Similar findings were seen in the results to the online survey with UN staff

The larger agencies – UNDP, WHO, UNICEF, WFP – differ from, and are generally more positive, than the smaller specialized ones. This may be due to the fact that smaller agencies do not have the resources to meet the UNDAF process requirements and, at the same time, get less out of the process. The larger agencies may be marginally less concerned about the burden of participating in UNDAF planning even though they, too, find it difficult to spare staff for the task. This is an illustration of the inequity among agencies and its impact on the smaller agencies to participate. It should also be noted that while the average of larger agencies shows a somewhat greater tolerance of the process, in fact, there was a great deal of variation in the responses of the larger agencies.

## Coordination and Collaboration

**Finding 15:** There are currently few incentives for agencies to initiate joint programmes. There are no overarching rationale steering agencies towards combining their unique contributions toward identifying and achieving a specific common goal.<sup>43</sup>

The coordination of agencies and national partners as well as civil society is an important element in achieving a pressing objective, i.e. to find ways of linking the efforts of agencies and their partners in a common development enterprise.

The *United Nations Development Assistance Framework Guide* devotes an important section to joint programming and the development of joint workplans as part of agency participation in the UNDAF.

Joint programming is the collective effort through which UN organizations and national partners work together to prepare, implement, monitor and evaluate activities aimed at effectively and efficiently achieving the SDGs and other international commitments within the framework of the UNDAF and the joint workplans.<sup>44</sup>

Joint programming is a means to achieving the ultimate concern of the UNDAF to link the accumulated knowledge and delivery experience for agencies and partners in a network to achieve development goals. Joint programmes are furthermore regarded to be accelerators in the SDG process since a combination of agencies is able to address a number of SDGs through a single programme.<sup>45</sup>

The 2011-2015 and 2016-2018 UNDAFs have together had two formally structured joint programmes with a third in the planning stage. These are given in Table 5.4.

**Table 5.4** Joint Programming in UNDAFs 2011-2015 and 2016-2018

JOINT PROGRAMME	PARTICIPANTS	STATUS
Disability Rights Initiatives in Cambodia	UNDP, WHO, UNICEF	Shortened and reduced
UNREDD	FAO, UNDP, UNEP	Recently concluded
United for Youth Employment in Cambodia	ILO (convening agency), UNDP, UNESCO, UNICEF and UNV	Implementation starts in September 2017

While these joint programmes are positive initiatives, they represent a relatively small number given the large number of programmes and the scope for more. The concern is that the initiative and the interest among participating agencies at present is not as fulsome as it might be. This is in spite of the fact that the online survey with UN staff shows that there is a consensus among respondents towards increasing

<sup>43</sup> The views expressed in this finding are based on (i) a review of the incidence and perceived performance of existing joint programmes including review of documentation, interviews and site visits (ii) a review, more generally, of agency inclination toward collaboration based on an inventory of perceived advantages and liabilities for collaboration and (iii) an analysis of the variation in attitudes toward joint programming among 19 Agencies.

<sup>44</sup> United Nations Development Group, *United Nations Development Assistance Framework Guidance*, New York: United Nations Development Operations Coordination Office, 2017, 30.

<sup>45</sup> UNDP, *MAPS Mission to Cambodia, Summary Report*, 2016, 15.



collaboration (77 per cent), that it has helped to create complementarities among UN agencies (78 per cent) and that it has contributed to achieving better synergies among the programmes of the UN agencies (69 per cent).

For there to be joint programmes, however, agencies need to ask themselves during every planning exercise whether programming alliances with other agencies might be feasible; at present, they do not. The data suggests a number of reasons:

- **Absence of a Rationale:** Agencies do not agree on how their unique contributions can effectively combine with others to achieve the objectives the UN seeks to achieve. There is the 2030 Agenda ideal: no one left behind. It is widely pronounced and a broadly accepted ideal. But as applied to Cambodia, there needs to be a clear articulation of how this is defined and what it means for the initiatives required to achieve it. Presumably a first step is the reduction of multidimensional poverty in a way that is broadly inclusive. Once this is agreed, the most efficient strategy for achieving inclusive poverty reduction can be identified. Agencies can then find their niche and can focus on occupying this niche and not others. This rationale is lacking at present.
- **Authority Preservation:** Consulted agencies stakeholders reported that agencies are inclined to carve out domains of programming in order to position themselves better for funding and prominence. The consequence is perceived competition for funding and the desire to present their organization as uniquely positioned to implement proposals. They do this even if boundaries between mandates end up overlapping. Agencies will claim domains, and understandably so, even if it means that two or three similar programmes are undertaken by different agencies. Similar programming in environment protection by both UNDP and UNEP is a case in point. Agencies may well shy away from opportunities to engage jointly with other agencies in interests of protecting or expanding the areas which their country programmes cover.
- **Agency Diversity:** Numerous opportunities for joint programming have been mentioned by smaller or non-resident agencies. As an example, UN-Habitat and UNICEF both work on water, sanitation and health programmes and it would seem sensible for them to join forces. However, differences in procurement procedures, in culture, in size, in approaches to advocacy and in endowments limit efforts, as well as the challenge of getting funding.

The task of achieving greater coordination in the UNDAF planned for 2018 will rely on an effective operational structure with ample resources. The present operational structure for UNDAF governance includes occasional inputs from the Resident Coordinator's Office staff, members of the Programme Management Team who assemble regularly, and occasional contribution from theme groups. It is the view of the evaluation team that this operational structure, constituted largely of committee members who volunteer their time and staff in the RCO who work on UNDAF governance on an as-needed basis, is not adequate to the task. The UNDAF has become a more complex task as expectations of it have increased considerably. The present contributions from the Programme Management Team have their value but they would have a greater value if there was greater resolve within these groups to further UN coordination in a serious way. At present coordination groups collaborate in elaborating UNDAFs as the need arises and, to the extent they are able, but the differences within them regarding real commitment to achieving a new level of UN coordination in Cambodia appears, to the evaluation team, to be lacking. The existing operational structure does not appear able, at this juncture, to meet the rising expectations for achieving a new level of UN coordination in programming.

## 5.4 Sustainability

The institutionalization of UN programmes or initiatives plays a significant role in the sustainability of results. Many programmes are now part of government responsibilities, while other are not due to a variety of factors (e.g., lack of funding or commitment). The emphasis on capacity development has had notable results. However, the lack of internal logic in the UNDAF programmes makes it easy for the RGC to pick and choose areas it wishes to support or own.

**Finding 16:** Prospects for sustainability of results by outcome areas are mixed. Many programmes and initiatives have been institutionalized and are part of on-going government responsibilities, while other experience delays and lack of funding.<sup>46</sup>

The sustainability of programmes under Outcome 1 is mixed. The programme to build better factories by increasing wages and working conditions is institutionalized in thriving work unions and here the gains are durable. The same can be said for the climate change response programmes where a significant programme feature is strengthening institutions; at present the environment programmes are housed in the Ministry of Environment and operate under its authority. The sustainability of programmes to augment economic diversification appears to have less prospects for sustainability. The present support to export growth and market chains (i.e. cassava, milled rice and marine fisheries) is modest. The same goes for UN's support for vocational education. More needs to be done for the UN's contribution to economic diversification to have sustainable consequences. There is finally the question of how and whether support to the National Institute of Statistics will continue. At present, this appears doubtful.

The constituent programmes in Outcome 2 are of pressing concern to the government. In the area of reproductive health, the government has agreed to assume responsibility for making contraceptives available in the country. Responsibility for providing skilled birth attendance has been assumed by key health providers in all of the provinces. Despite opposition from the various quarters, the MOEYS committed itself to allowing provincial offices of education to assume responsibilities for planning education reforms and managing them. The government has assumed responsibility for carrying forward plans to provide social protection and social insurance programmes. There are exceptions but for the most part, it appears that many of this outcome's programmes have become on-going government responsibilities. Even as funding to these programmes diminishes, it seems likely that educational, health and social protection initiatives will continue.

A few of the programmes and projects in Outcome 3 have become so valuable that they find support, financial or otherwise, in either the private or public spheres. The Arbitration Council provides valuable services to the private sector and is now an integral and on-going part of the interaction between workers and employers. The GBV Programme has developed protocols for Health Sector Response to Violence and these have been disseminated to all 25 provinces where, reportedly, they guide health workers in treating violence against women. Both of these are permanent fixtures in their respective areas. Support to preparing sub-national government entities for assuming decentralized responsibilities is invested in the National Council for Decentralization and Deconcentration (NCDD), but the slow pace of progress in this

<sup>46</sup> The views expressed in this finding are based on (i) an assessment of degree of ownership (by RGC) and expression of long-term support for a large selection of UNDAF programmes disaggregated by outcome areas, (ii) interviews with agencies on sustainability successes and failures for programming in different outcome areas and (iii) inquiries among RGC staff, specifically staff in select ministries, regarding why some programmes are integrated into government budgets and some not.

area raises questions about real government commitment. Other programmes have far less prospects for sustainability. According to information from consulted stakeholders, the components of the Disability Rights Initiative in Cambodia are not likely to continue. Neither are the components of court reform without the continued intervention of the implementers. The scope of leadership training for women will be greatly reduced, if it continues at all, without on-going external support. Prospects for sustainability of Outcome 3 as a whole are not very great.

**Finding 17:** The UNDAF's emphasis on building government capacity has had notable results in areas like improving the quality of schools, climate change and contraceptives.<sup>47</sup>

UN Agencies are committed to a close collaboration with the government and the UNDAF is a reflection of this collaboration. The UNDAF, on most matters, is aligned with the government. A Joint Annual Review of the UNDAF is conducted every year with the government and though many of the points raised do not go into real depth, reporting together is a strong sign of their collaboration. The UNDAF through its various programmes strongly encourages the government to assume responsibility for those programmes it finances and does so with a strong emphasis on building capacity within government ministries for this purpose. This is an admirable feature of UNDAF implementation in Cambodia and it has had notable results. In its support to improve the quality of schools, the Capacity Development Partnership Fund, administered by UNICEF, supports education reform by supporting education departments at national and sub-national levels. UNDP's support for climate change programmes is now based out of the Ministry of Environment where it works under the National Sustainable Development Council. UNFPA has turned over all contraceptives purchasing and policy formation to the Ministry of Health. The government has indeed assumed administrative and financial responsibility over a large number of programmes that have been initiated under the auspices of the UNDAF. Increasingly, UNDAF components are providing policy and capacity building support in lieu of field level project implementation.

Gaps between the government and the UN programming priorities have implications for the extent to which the government fully endorses and 'owns' the UNDAF programme. And the extent of government endorsement or lack thereof has a direct negative impact on performance. The refusal of the government to allow OHCHR to provide meaningful technical assistance in any other than administrative aspects of court procedure limits their capacity to effect significant justice reform.

On a policy and diplomatic level, the government continues to treat the UN agencies as favoured partners and regard the UNDAF as a valuable summation of their collaboration with the UN. In many concrete circumstances in the health, education, climate change and inclusive growth areas, the collaboration is unquestioned. In other areas that involve governance, rule of law and human rights the inclination for the government to endorse and adopt UN programme initiatives is significantly less. At present, it is easy enough for the government to withhold support without infringing on the logic of the UNDAF since at present, the UNDAF has very little internal logic; the government can easily pick and choose the elements of the UNDAF it wishes to 'own' and those it does not wish to 'own' since the UNDAF programmes are not really linked. One can dismiss one element in health without severely detracting from the governance elements. This could be changed if the logic of the UNDAF were more tightly inter-woven, if environment initiatives were more closely linked to justice interventions and if child protection programming were, in the UNDAF, more closely linked to specific programme interventions in support of human rights or social protection generally.

<sup>47</sup> The views expressed in this finding are based on (i) inquiry among agencies and RGC staff on the effect of UN's emphasis on building capacity, (ii) review of documentation on programmes where building capacity is reviewed.

## 6 Case Studies

### 6.1 Cassava Value Chain Project

#### Background Information

The Cambodia Export and Diversification Expansion Programme (CEDEP) is now in its second phase. The first phase focused on promoting the export of two high-valued exports, (i) milled rice and (ii) high value silk. These commodities are part of a group of 19 products chosen for promotion by the Ministry of Commerce and its Department of International Cooperation that is responsible for enhancing overseas trade. CEDEP II, in its second phase, focuses on three additional commodities, each with its own implementing entities. These are cassava for export implemented by UNDP, marine fisheries for export implemented by UNIDO and tourism focusing on training in culinary skills implemented by the Royal Academy of Culinary Arts represented in Cambodia by the NGO, Shift 360.<sup>48</sup>

The three of them together are funded in part by the Enhanced Integrated Framework (a WTO fund to promote international trade in low income countries) which has provided USD 3.3 million for this programme; this amount is supplemented by government funds, funds from the respective private sectors involved and contributions by other donors and partners totaling another USD 3.3 million amounting to a total of USD 6.6 million over three years. Of this USD 6.6 million, USD 1.3 million is dedicated to the cassava export project over three years.

The first of the three, the cassava for export programme has encountered characteristic challenges for projects targeting trade and income generation: the market for cassava waxes and wanes and a project like this must accept significant risks. It also has considerable advantages, not the least of which is that it offers, potentially, a source of income for low income farmers that they would otherwise not have, it builds a marketing chain that offers jobs at every stage and it involves the creation of market actors in the country that previously do not exist. Cassava is an ideal target commodity. It is known in Cambodia, but it needs a marketing system. And perhaps most important, the programme provides an opportunity for a collaboration between the UN and the government on the one hand and the private sector on the other.

Cassava is the second largest agricultural crop in Cambodia. Prior to the programme its production had been increasing and in 2009 it seemed it would double within a few years. There had been discussions between UNDP and the Chinese about supporting cassava primarily because China is potentially a major importer where it is used for biogas production. Because of a growing demand for biogas production, much of the cassava crop (ca. 80 per cent) is transformed into chips or pellets and stored in silos to be sold for ethanol production. It can also be transformed into starch or flour for export or for local consumption (ca. 20 per cent) and there are at present four cassava processing plants in the country. Because of the market potential and the growing demand and, assuming a constant price, a conservative estimate of projected profits from international trade has been given at between USD 200 million and USD 300 million per year.

This Aid-for-Trade initiative is important as an attempt to balance income growth on the one hand and protection of the vulnerable on the other. A divergence is apparent within the UNDAF Process between

<sup>48</sup> UNDP and UNOPS, Project Document: EIF Cambodia Tier 2 Project, CEDEP II Cassava Project, 2012

agencies concerned to grow the economy and agencies concerned to guarantee all populations – especially the most vulnerable – protection against penury and other social misfortunes. For the moment, the UNDAF Process errs on the side of protecting marginalized populations. In fact, growth and attention to the vulnerable are not incompatible. Protection of vulnerable populations clearly relies on public services that shield them from marginality. But it also relies – and perhaps even more so – on an energetic economy that generates income and jobs. At present, the growth potential of the Cambodian economy relies narrowly on the garment and tourism sectors and this narrow base exposes the economy to the kinds of shocks experienced during 2008 and 2009. These shocks can be just as devastating as natural calamities. There is therefore a need for economic diversification, to create other industries and economic activities which serve not only to keep the economy on its upward growth trajectory but also to allocate to the private sector its proper role in tackling poverty by providing jobs and by providing resources to the government to afford greater public services.

## Results

This UNDAF programme facilitated the organization of marketing associations and provided support to them through linkages with government, through accurate analysis of marketing constraints and opportunities and potential international marketing destinations. It also facilitated the organization of farmer/grower organizations providing extension services, marketing services and linking the grower associations with each other as well as with both the chip processors and those processors using cassava for the production of manioc flour, ethanol and animal feed. An anatomy of the value chain was carried out and a manual prepared for the information of growers and processors. The project began in 2014 and there was every expectation that by 2016, the production of cassava would increase, and trade linkages would be created.

An oversupply of alternatives to biogas unexpectedly brought down the price for cassava chips by 30% between 2013 and 2017.<sup>49</sup> This happened to cover the period of the project and meant there was little motivation among growers to increase cassava production significantly or to take advantage of the marketing infrastructure or promotion by the growers' associations already in place. It would be easy to dismiss the value of the programme with these unimpressive results. But that would be wrong. The infrastructure is in place. The price for cassava chips and flour will increase and when it does, farmers will be equipped to take advantage.

## Lessons

There are a few essential accelerators for transforming Cambodia from a rural society with a narrow economic base to an increasingly urban one with a diverse economic base. Developing niches of production and marketing that fit well with Cambodia's resource base and have market potential is one of these accelerator strategies. Not every one of the ones that are tried will be immediately successful; some will have modest returns, and some will have substantial returns, but it is on these diverse trials that a serious campaign to reduce poverty in the country relies.

<sup>49</sup> The Thai Tapioca Trade Association, June 2017

## 6.2 Strengthening of Social Protection Mechanisms

### Background Information

There is no specific project or programme under the rubric of social protection to which the collection of agencies involved belong or under which they collaborate. Many of them do support programmes that fall under this rubric of social protection and their efforts have converged recently in the drafting of a Social Protection Policy Framework, a ground-breaking government overview of all the aspects of social protection they intend cover in the long term. In the short term, there are champions in various ministries who have given the long term and the short term thought and support. There is no joint programme. There is, however, a technical working group on social protection where a number of agencies involved – WFP, ILO, WHO, UNICEF and others – interact with government planners on social insurance and social protection schemes. Even without a formal structure of collaboration, agencies have, in their separate ways, nudged a transformative programme toward realizing one of the central tenets of a poverty reduction strategy.

One of the many positive trends in Cambodia to which the UN has contributed is an awakening of the populace to their social and economic rights. In its interaction with government budget officials and policy makers, the evaluation team has heard of the pressure the government feels to respond to these growing demands for services and fair treatment emanating from an increasingly aware population. The government is now making budget provisions for social insurance and social protection.<sup>50</sup> They have, for the most part, become convinced that the costs of not doing this is greater than the yield of alternative investments.<sup>51</sup>

### Results

Perhaps the most distinctive achievement is the government decision to go beyond supporting insurance schemes in which members make regular contribution to support assistance schemes for poor and vulnerable populations who do not make contributions. These are welfare programmes which provide assistance for poor populations with the objective of preventing extreme poverty. The various agency initiatives, such as WFP's feeding and cash transfer programmes for poor school children and UNICEF's advocacy for providing monetary assistance to pregnant mothers and children, the elderly and the disabled, have provided concrete examples for the broader policy reflections of the government. They are part of the agencies' commitment to assisting the most vulnerable. At the same time, they have served as demonstration projects as the government, since 2010, has reflected on the value of broad scale assistance programmes. The commitment of these agencies and the apparent value of their programmes have informed the government's growing interest.

The joint meetings of the agencies involved, and the government champions have brought these two streams – insurance, contribution-based and welfare, non-contribution programming – together and provoked the consideration of one interacting mechanism in which the one, social insurance, works in tandem with the other that protects the more vulnerable against extreme poverty.

The government's recently completed *National Social Protection Policy Framework* is unique in its recognition that protecting the vulnerable and driving economic growth are not only compatible but they both depend on a unified approach to social protection.

<sup>50</sup> Interview with H.E. Ung Luyna, Supreme National Economic Council, 11 July 2017.

<sup>51</sup> Sann Vathana, *Building not only Cambodian Home, but a Home for Cambodians*, Social Assistance Policy Framework, Power Point presented to the Food Security Forum, 26 July 2016.



The Royal Government's long-term vision for the social protection system development is to build an efficient and financially sustainable social protection system which serves as a policy tool for reducing and preventing poverty, vulnerability and inequality. It also contributes to the strengthening and broadening of human resource development as well as stimulating national economic growth.<sup>52</sup>

## Lessons

The UN agencies' concern with social protection has a distinctive common goal and one that is strongly endorsed by the government. This is in contrast to the collaboration in the disability rights programme where three separate agencies worked on different initiatives leading towards a common goal and where the government did not agree to support rehabilitation services as the programme had hoped. This is important to keep in mind when designing the next UNDAF.

## 6.3 Disability Rights Initiative Cambodia

### Background information

The Disability Rights Initiative in Cambodia (DRIC) joint programme is, in many regards, a microcosm of the UNDAF writ larger. It is a joint programme, one of two in the UNDAF, with a broad common goal – realization of the Conventions of the Rights of Persons with Disabilities in Cambodia. The agencies involved – UNDP, WHO and UNICEF – managed their programmes separately. A mid-term review expressed concern about coordination among agencies and the 'silo' effect.<sup>53</sup> Other stakeholders have done the same. Those who benefit from the programme view the programme as either a UNDP programme, a UNICEF programme or a WHO programme and not one that involves a coordinated effort to move the government toward better serving persons with disabilities.

The programme has four elements. The first two managed by UNDP support government implementation of the Convention on the Rights of Persons with disabilities along with support to disabled people's organizations to raise the profile of the issue; the third managed by WHO supports the strengthening of rehabilitation services through the medical system and was expected to assist in transitioning the rehabilitation services from relying on international NGO support to being supported by the government; the fourth, managed by UNICEF provides awareness training to communes and small grants to civil society organization at community level to provide assistance of various sorts to disabled persons.

It is important to emphasize that promoting the rights of disabled persons in Cambodia is something of a particular matter. It finds its justification in the principle that the UN focuses on vulnerable groups and to that extent it is relevant and appropriate for the UN and its donor partners as well as certain interests in the government.

### Results

The joint programme was originally designed for implementation over five years with a budget of USD 12.7 million. Recently, it has been re-scheduled to end in four years, late 2017, with a budget reduced by

<sup>52</sup> Royal Government of Cambodia, *National Social Protection Policy Framework 2016 – 2025*, March 2017, xiv.

<sup>53</sup> Maya Thomas, Mid-Term Review of Disability Rights Initiative Cambodia, Department of Foreign Affairs and Trade (Australian Government, May 2016; see also: Joint Management Response to Mid-Term Review Report, 2016.

approximately 35 per cent and administratively restructured to have one programme under the rubric of vulnerability. This change reflects diminishing resources, but it also reflects a concern by the donor, DFAT, regarding the capacity of the UN agencies to work closer together. In response to a Mid-Term Review of the program, efforts have been made to strengthen coordination.

These limitations, confirmed by almost all stakeholders, should not obscure the appropriateness or achievements of the separate programmes. UNDP has worked closely with the government in revising its original 2009 law on support to disabled persons and has supported the creation of an NGO network with representation in each of the provinces. WHO may not have been able to facilitate the transition to government funding for rehabilitation services, but it has at least made quite clear what the challenges are, and it has been quite honest about the prospects. Clarity about funding prospects would not have been possible without their interventions. UNICEF has worked with communities and commune councils and according to reports, been successful in raising awareness and giving assistance locally to disabled persons.

As one evaluator has noted, however:

The outcome of the programme, empowering people with a disability through enhancing their rights' knowledge is only indirectly linked to poverty reduction. The outcomes are not clearly defined and are hard to measure in a quantifiable way. As noted by the beneficiaries the rights knowledge is useful, but it does not help to boost livelihoods directly. The programme is currently only sustainable at a low-level of coverage; there is a need for more structured and secure funding and ownership by government.<sup>54</sup>

It is a joint programme that has committed stakeholders. It was not designed, however with an approach or a strategy or a commitment that is shared by everyone. While the approaches to the DRIC programme by different agencies were potentially complementary, in practice the agencies pursued their own objectives.

## Lessons

The lessons of this joint programme are ones that bear directly upon the elaboration of an UNDAF. First is that joint programmes – and the UNDAF is a joint programme writ large – requires grounding in a clear rationale for the separate parts with a clear understanding how each component will contribute to a common goal. Without this it is three separate programmes instead of a joint one. The DRIC programme evaluator made appropriate reference to the need for a theory of change describing the linkages to each other and to the programme.<sup>55</sup>

Second, the development funding environment is changing and donors, like DFAT, expect UN agencies to work in close coordination. This might have meant that there should have been a different design from the beginning, one that explicitly linked local and national NGOs, national and sub-national government entities, national and provincial health services all together. It would have been a challenge, but there would have been distinct advantages. A prudent and judicious model for sustainability would have probably emerged; as it was, the programme was fragmented, it was far from sustainable; it was large and expensive and while the government has supported some of the initiatives, it seems quite unlikely that the measures introduced and supported by the programme will become part of government-supported services.

<sup>54</sup> David Abbott and Sophal Chan, *Thematic Poverty Evaluation*, UNDP Country Office, Cambodia, November 2016, 15.

<sup>55</sup> A theory of change was drafted but it did not prioritize one strategy over another or showed their inter-linkages.



Far more important is the lesson that emerges regarding how agencies must link with each other in the future. Present assumptions do not seem to be workable. A paradigm shift is required that not only encourages, but guarantees a very different level of collaboration.

## 7 Mainstreaming the Long-Term: 2030 Agenda

The UNDAF is to be a vehicle for making the SDGs the centerpiece of the UN's development strategy in Cambodia. The UNCT has received ample guidelines and directives on how to accomplish this, that is, how to make the SDGs the organizing elements for the UNDAF. Challenges have been identified in these guidelines, steps have been enumerated and in at least two documents, approaches to incorporating the SDGs in the UNDAF are tailored specifically to Cambodia.

The guidance documents provide relatively straightforward directions. The relevant documents are listed below with a brief reference to the directions they offer.

- 1) *Mainstreaming the 2030 Agenda for Sustainable Development*<sup>56</sup> is a reference resource for country teams that gives eight practice areas for them to adopt in preparation for the process. Each of these practice areas are areas of engagement for country teams to follow as they prepare to commit their programmes to the SDG framework. They include, for example raising awareness, bringing together multiple stakeholders to inform planning and finding gaps between the national strategies and the SDGs.
- 2) *United Nations Development Assistance Framework Guidance*<sup>57</sup> describes the principles for developing an SDG-informed UNDAF. Steps and minimum requirements for developing an UNDAF are given. These steps include (i) identifying those priorities which are expected to contribute most to achieving SDGs, (ii) preparing a theory of change, (iii) preparing a results matrix, (iv) launching joint programmes, (v) identifying optimal financing arrangements and (vi) creating a management structure capable of managing this complex process.
- 3) *Rapid Integrated Assessment – Cambodia SDG Profile*<sup>58</sup> provides an analysis of the SDG targets that are and are not addressed in the current NSDP of Cambodia. It is a helpful gap analysis for knowing where and to what extent the current development directions in Cambodia do not address important SDGs. This is to help in establishing strategic priorities, areas where SDGs are covered and areas where they are not.
- 4) The *Mainstreaming, Acceleration and Policy Support Mission to Cambodia*<sup>59</sup> tailors all of these directives for application to Cambodia showing what is needed in the area of awareness raising, how to close the gap in policy alignment, where assistance will be needed in getting monitoring data and what all this implies for required coordination mechanisms.
- 5) *Repositioning the UN Development System to Deliver on the 2030 – Ensuring a Better Future for All* includes the expectations that the Secretary General holds for country teams in undertaking a

<sup>56</sup> United Nations Development Group, *Mainstreaming the 2030 Agenda for Sustainable Development: Reference Guide to UN Country Teams*, 2016.

<sup>57</sup> United Nations Development Group, *United Nations Development Assistance Framework Guidance*, 2017.

<sup>58</sup> UNDP, *Cambodia, Rapid Integrated Assessment – Cambodia SDG Profile*, 2016.

<sup>59</sup> UNDP, *MAPS Mission to Cambodia, Summary Report*, October 2016.

reform of its structure and procedures for restructuring country teams to be more in line with the requirements of efficient implementation of the SDGs. Among these reforms is a repositioning of the UNDAF to be the “single most important UN planning tool in all countries with tangible implications for guiding UN support and presence [...]”<sup>60</sup>

If the UNDAF is in the service of the SDGs, then it only makes logical sense for its outcomes to be the Goals themselves. It remains a matter of choosing which of the SDGs most appropriately represent the programmes unique to Cambodia. Since it is not feasible to list them all, the country team will have to choose those which best encapsulate what they do or hope to do. There will be the argument that country teams must be committed to addressing all of them; the SDGs are in principle ‘indivisible’ and should not be taken apart. But this is to carry the notion that the SDGs are ‘indivisible’ too far. Country teams may wish to establish a first tier of SDGs, no more than 5 or 6 which characterize what they wish to accomplish and then a second tier of ancillary SDGs which stand to benefit from a clear focus on the first-tier goals. The first tier SDGs serve then as accelerators (SDG 1 is an obvious choice since it impacts most of the others) for the SDGs in the second tier. This approach allows country teams to select a few concrete outcomes and, at the same time, adhere directly to the UN’s SDG doctrine.

A preliminary choice of some first and second tier SDGs for the Cambodia country context could feasibly look something like the following in Table 7.1 It is important to stress that the specific first and second tier SDGs, serving as outcome and sub-outcomes, are no more than suggestions. It is the format of the exercise and the process for elaborating an UNDAF implied in the table that is more important.

**Table 7.1 A Model for Incorporating SDGs into UNDAF Planning**

TIER ONE		TIER TWO	
SDG#	Name	SDG#	Name
1	No poverty	10	Reduced inequalities
		9	Industry, innovation and infrastructure
3	Good health and well-being	6	Clean water and sanitation
		2	Zero Hunger
5	Gender equality	16	Peace, justice and strong institutions
		9	Decent work and economic growth
4	Quality education	15	Life on land
		17	Partnerships for the goals
8	Decent work and economic growth	9	Industry, innovation and infrastructure
		12	Responsible consumption and production
13	Climate action	11	Sustainable cities and communities
		7	Affordable and clean energy

<sup>60</sup> United Nations, *Repositioning the UN development system to deliver on the 2030 Agenda – Ensuring a Better Future for All*, Economic and Social Council, 30 June 2017.

The process is relatively straightforward except for one critical precondition. These SDG outcomes may be familiar currency for the UN country team agencies and their staff but may not be so familiar or even desirable for the planning staff within the Royal Government of Cambodia. This is a critical concern because even though this close identification of outcomes and SDGs may be an article of faith within the United Nations, it is far less so with the government. The UNDAF must closely reflect the government's own development strategy. Which is to say, this approach, while serving the interests of UN agencies in Cambodia, also relies largely on the Royal Government of Cambodia adopting the SDGs, or some close approximation of them, as its development framework.

The MAPS Mission to Cambodia reports that the Royal Government of Cambodia “has formally embraced the 2030 Agenda along with the SDGs, which is aligned with the country’s vision to transition from lower to upper middle-income country by 2030.”<sup>61</sup> It is indeed true that Ministry of Planning is responsible for localizing the 17 Cambodian SDGs, essentially for making them an integral part of Cambodia’s development plan. It is the impression of this evaluation, based on discussions with key government interlocutors however, that the government is far from integrating the SDGs into its development framework and indeed remains somewhat unclear about how to proceed and somewhat less enthusiastic than the MAPS mission report implied.

Selecting specific SDGs as UNDAF outcomes will serve the UN agencies well in meeting the expectations of the UN system. It will, at the same time, diverge from the ideal of supporting the national development agenda. In the end, the SDG outcomes may be less a reflection of the national development agenda and more a stimulus to the national plan to move closer to an SDG format.

---

<sup>61</sup> UNDP, *MAPS Mission to Cambodia, Summary Report*, October 2016, 5.

## 8 Conclusions

The conclusions that follow are designed to contribute to the transition UN agencies in Cambodia seek to undertake as they embark on the next UNDAF exercise. Even though this evaluation describes challenges associated with the UNDAF, all stakeholders recognize that there is no going back and know they must work together for the UN to work effectively in Cambodia and to remain relevant. Guidance from the UN and the latest report of the UN Secretary General confirms this trend.

The overall performance of the UNDAF was variable. Despite some successes, the two UNDAFs have not fully met the standard criteria for development interventions nor the evolving expectations of the UN System in Cambodia. Key issues deserve to be highlighted to assess the past and present UNDAFs as a whole and of critical concern for designing a future one. They are listed below.

- **Coherence of the design** varies greatly across outcomes. There is impressive coherence among health, education and social protection programming in Outcome 2, while there is almost no coherence among the diverse programmes found in the Outcome 3. The coherence for the UNDAF as a whole, given the considerable variation across outcomes, is lacking.
- The previous two UNDAFs did not benefit from the systematic application of a **theory of change** because there was no guidance or requirement to do so at either agency or UN level. As a result, their results frameworks could not pass the coherence assessment criteria where agencies devise interventions to deliberately complement or support one another in order to achieve common goals. Starting with the development of the next UNDAF, the TOC should be systematically developed. This will now have to change, not only because agencies are mandated to do so by the UN system, but because this is how they will demonstrate that the resources of the UN are being used most effectively.
- Many of the **indicators and performance targets** of the previous two UNDAFs have only an indirect relationship with the programmes they are supposed to account for and, as a consequence, they do little to keep the implementers adequately informed. Only about a third of the indicators chosen and included in the UNDAF 2016-2018 results matrix are capable of saying anything useful about the efficacy of a programme. Performing well relies on keeping close track of a programme's progress.
- Realistic, even critical assessments are essential for devising innovative approaches that learn from and improve upon what has previously been done. Current **reporting practices** do not take this approach, but rather inventory success.
- The UNDAF is perceived as a platform to **leverage partnerships** to reduce duplication and leverage funding opportunities. Relationships with the RGC are generally positive at a technical level and the Government trusts the UN as a source of expertise. UN agencies have to think of ways to make their partnership with the RCG closer as their leverage diminishes in comparison with other partners in the region.
- All UN agencies are facing **budget reductions**, some of them severe and some less severe. Reductions have consequences for delivering programmes and ensuring their efficacy. The reductions also have consequences for the level of competition among agencies for scarce resources, the terms of collaboration and for successfully accessing non-traditional sources of funding. As funds for UN programmes decline overall so does the UN's political weight in the

country. Resource adequacy has been an important factor in previous UNDAF performance and will be an equally important consideration in the future.

- There is close **collaboration** within Outcome 2 but far less so within the other two outcomes and equally less so for the UNDAF as a whole. The very few joint programmes and the relatively poor performance of these few reflect the low level of collaboration among agencies across the UNDAF as a whole.
- The UNDAF is a complex enterprise that requires **resources and full-time capacity** to manage. If the upcoming UNDAF is to meet increasingly onerous expectations for coordination and efficiency, there will have to be additional resources dedicated to the RCO and adequate staff capacity.
- The UN's principle of **aligning closely with government** should not obscure the fact that there are convergences as well as divergences. The preferences of the government are not always those of the UN. There is an inclination, in UN reporting, to avoid mention of these differences. It is perhaps necessary to acknowledge areas of divergence instead of glossing them over and advocate actively for change on matters of principle.
- Maintaining the status quo is increasingly becoming a liability. **Innovation** is required at every level: in financing, collaboration in programme design and in delivery. There is no single key to innovation generally, but it is important to recognize that innovation is less likely to arise out of a sudden inspiration than out of building-in a flexible and experimental approach to design and delivery.

## 9 Lessons Learned

The following lessons have been derived from the findings presented in this report:

- 1) Given their separate mandates, their history of autonomy and of bearing responsibility for mobilizing their own resources, UN agencies are understandably disinclined to merge their expertise and human resources with other agencies. They find it difficult to meet the demands of a fully interconnected UN programme in which they are expected to tailor their programme to those of others in a coherent programme.
- 2) The United Nations' effort to play a major role in the political and economic evolution of emerging economies, faces increasing challenges. The UN in Cambodia does not have the leverage it held previously. Its resources are not sufficient for it to exercise the political influence it has previously exercised. Its comparative advantage as an impartial, international arbiter is being overshadowed by the presence of other, stronger actors in the international arena.
- 3) The UN's efforts to set a global agenda for political and economic development is very ambitious; it may find its efforts are not received with the enthusiasm that is needed for this global agenda to be fully adopted in Cambodia.
- 4) Government preferences diverge in a number of ways from the UN's. Justice sector reforms are an example where the UN has been faced with difficult choices. Industrial growth is another. Careful negotiations and innovative approaches for collaborating with the government on these issues are required to satisfy what could be incompatible aspirations.
- 5) The UN strengths in Cambodia are in the provision of health and hygiene services, increasing school enrolment, broadening social protection coverage, diversifying the economy and generating an effective climate change response. Since the UN needs now to consolidate its strengths, these are among those programming areas which can provide a foundation for a coherent UNDAF.
- 6) It would be useful for the UN in Cambodia to examine the procedures for joint programming to find ways to make it easier for agencies to work together and, when they do, to bring about more effective joint efforts.



# 10 Recommendations

Interviews, data sources and documentation all suggested challenges and concerns about what makes programmes (or projects) achieve (or not) their objectives. The evaluation team took special notice of these challenges and concerns and solicited more information at every possible opportunity. Potential responses to these challenges were always part of any conversation. These potential responses to challenges have been formulated, drafted, redrafted and validated many times over with stakeholders and other interlocutors, including the EMG, the reference group, the PMT and the UNCT more broadly.

**Recommendation 1: The UNCT and the RCO in consultation with the PMT should explore ways to assure full-time capacity with a dedicated budget to manage the UNDAF process, to guide its development and maintenance, to promote areas of coordination and joint programming, to ensure all agencies have an appropriate role, reconcile differences and usher in a new sense of common purpose.**

One of the liabilities of the present UNDAF process is that it aims to bring about a complex collaboration among a large number of actors without an adequate budget or full-time capacity within the Office of the Resident Coordinator. The UNDAF process is unlikely to achieve its objective without at least an adequate budget. This is not to suggest that the present Resident Coordinator is not giving full attention to the UNDAF. On the contrary, the present Resident Coordinator is deeply committed to a more coherent UNDAF that contributes to a unified UN programme. The recommendation here is that the existing commitment of the present RCO would benefit greatly from having dedicated staff members to manage this complex task.

The management of the upcoming UNDAF should follow a very different set of principles and practices from the previous ones. There are solid reasons for this. The previous UNDAFs have done little to coordinate the contributions of different agencies; this coordination is now a necessity as UN country teams are obliged to show, through greater coordination, that they are making the most efficient use of declining resources and influence. The Secretary General, the United Nations Development Group and the UN system as a whole are acutely aware of the need, not only to change the way country teams are governed, but also to give the UNDAF a very different and key role in this change. Its new role involves very resolutely bringing the efforts and resources of different agencies together in a qualitatively different kind of coordination to support the Agenda 2030 and to strengthen the position of the UN in the affairs of states globally.

**Recommendation 2: The UNCT and the RCO in consultation with the PMT should assume responsibility for building the next UNDAF on a credible and well-reasoned theory of change, undertaken in tandem with the Common Country Assessment, informed by widely accepted understandings of conditions of inclusive growth documented in the development literature.**

It is crucial that the theory of change be informed by the Common Country Assessment as well as other steps recommended in the UNDAF guidance documents. It is also crucial that the conditions of a theory of change be adhered to rigorously. It should be understood from the beginning that this involves a directed, as much as a consultative exercise and may be as exclusive as it is inclusive in selecting and connecting separate agency contributions.

It is helpful to think of the following three phases in conceiving of an informed UNDAF based on the SDGs:

- **First.** Decide on areas of intervention shown to have a close correlation with poverty reduction. Emphasis should be on better methods of prioritizing urgent deprivations in the country as shown in CCA and based on mandates, comparative advantages and resources landscape, decide on what the UN can do best together to make a difference on peoples' lives in Cambodia. Among the more useful sources is *The Chronic Poverty Report*<sup>62</sup> and here three such areas of intervention are proposed:
  - *Social Protection Programmes*, even in rudimentary form, assist vulnerable households getting out of poverty and provide protection for those at risk of slipping back in.
  - *Pro-poor Economic Growth*, especially support to productive agriculture including rural infrastructure and modest capital resources for creating employment has an impact on reducing the number of poor households.
  - *Education* adds to the capacity of other measures to assist in escaping poverty especially if it is well funded and specifically includes vocational training.
- **Second.** Identify those Sustainable Development Goals that correspond to these chosen areas of intervention. In most instances, these are development accelerators because of their close linkage with other indicators. These linkages will point to those areas of intervention that should, in principle, be targeted for simultaneous intervention. It is possible to map a set of accelerator SDGs, areas of intervention and those closely linked SDGs, other areas of intervention, likely to interact positively with them.
- **Third.** Invite agencies to identify where they match or fit with this mapping of linked SDGs. Here is a starting point for sketching out a theory of change, based on SDGs that guide agencies in finding their role in the UNDAF design. Some agencies will have on-going programmes which are particularly congruent with these; others will be inspired to develop programmes that they know fit uniquely into this mapping of accelerators and collateral SDGs.

**Recommendation 3:** The UNCT and the RCO in consultation with the PMT, in collaborating with agencies, should follow the numerous directives already in place for utilizing the UNDAF to place Agenda 2030 at the centre of UN activities in Cambodia to develop the 2019-2023 UNDAF.

To this end, it is advisable to select SDGs as UNDAF outcomes and sub-outcomes. This will give the SDGs the prominence the UN System wants them to have and, simultaneously, orient the UN programming in Cambodia fully towards Agenda 2030.

**Recommendation 4:** The UNCT, the RCO and the PMT should take advantage of emerging opportunities for joint programming. These should be the stepping stones for a more coordinated UNDAF.

Based on consulted stakeholders and documents reviewed, it is worthwhile to indicate programming areas which are likely to lend themselves well to joint initiatives:

- (i) Addressing the needs of rapidly growing urban environments especially the needs of rural migrants; and
- (ii) Supporting income generation possibilities in rural areas with the promise of enhancing rural family incomes and strengthening rural economies.

<sup>62</sup> Chronic Poverty Advisory Network, *The Chronic Poverty Report 2014-2015, The Road to Zero Extreme Poverty*, Overseas Development Network, 2014.

These both offer the possibility of joint, interconnected contributions of a number of agencies and, in doing so, ensuring that these initiatives simultaneously grow economies while protecting vulnerable populations.

**Recommendation 5:** The UNCT and the RCO in consultation with the PMT should be particularly cognizant of the considerable commitments the UNDAF requires of all agencies, large and small. Every effort should be made to ensure that the process is an inclusive one, sensitive to the considerable differences among agencies in size, endowments and expertise.

Agencies should contribute in a manner that is commensurate with their endowments and the obligations they bear, to the extent possible, should be commensurate with the benefits they are likely to receive. It is recommended that agencies identify the areas they want to be involved in. It may not be reasonable for one agency to be involved in all the different UNDAF processes. It is suggested that steps be taken to ensure that colleagues from different agencies trust each other when they cannot participate in decision-making or attend meetings. Additional communication and sharing on ongoing processes may be required to develop this culture of trust.

**Recommendation 6:** The UNCT and the RCO in consultation with the PMT along with collaborating agencies should assume a more constructive, realistic and critical approach to results reporting.

The present reporting practices need to address challenges faced, the consequences of these challenges and how these challenges might be addressed, and what corrective measures should be taken for improvements in the management or formulation of programmes. A more analytical and, where appropriate, critical approach to reporting has the merit of both accounting for and strengthening programming.

**Recommendation 7:** The UNCT and the RCO in consultation with the PMT should vet the UNDAF and its results matrices to ensure that extra care is taken to propose performance indicators, targets and data collection procedures that are pertinent to programme impact where it is taking place.

Oversight is required to develop meaningful and informative indicators and targets that measure quality (e.g., standards), timeliness (e.g., dates), and the degree of achievement. Indicators should not be formulated as “completed activities” (e.g., “people trained”) and should not be binary (e.g., yes/no), unless they are complemented by good qualitative information. High level indicators, macro-indicators and nationwide data sets continue to be relevant but cannot replace data that renders account of program/project level impact.

**Recommendation 8:** The UNCT, the RCO, participating agencies and the PMT should be particularly attentive to achieving a reasonable balance between supporting economic growth on the one hand, and protecting specific vulnerable populations on the other.

Where should the UN focus its resources and expertise in Cambodia? What changes should be made to the programmes of the past two UNDAF cycles? This is not something that the evaluation team is able to answer definitively. A recent World Bank diagnostic of development challenges in Cambodia that has engaged large number of experts over an extended prior of time has ventured priorities which will help guide UN programming in the next UNDAF. Three provisional conclusions can, nevertheless be drawn.

- 1) UN Agencies should be particularly attentive to achieving a reasonable balance between supporting economic growth on the one hand and protecting vulnerable populations on the other. The UN presently risks erring too far on the side of protecting the vulnerable. Support to trade, economic diversification and building small and medium enterprises are all likely to contribute as

much to reducing extreme poverty as programmes focused primarily on providing services for specific vulnerable populations.

- 2) A pressing area of need is support for rural industries and households in producing, processing and marketing of commodities. Focusing on economic diversification with a focus on rural areas expands on an area of support where the UN has already some experience and which receives considerable support from the government.
- 3) At the same time, it is important to recognize that Cambodia's cities will continue to grow. It is inevitable that population will continue to move from rural to urban areas posing challenges to the capacity of urban areas to serve growing populations. At present, although there appears considerable interests and capacity within the UN system to provide support for services to increasing numbers of urban residents, there is very little offered in these areas. Prospects for doing so would be a profitable area for the UN to explore.

**Recommendation 9: The UNCT in collaboration with the RCO should build on past programming successes. It is important to meet the challenges posed in the programming areas of governance with programming initiatives that recognize the obstacles and yet that meet these obstacles with renewed attention.**

There have been successful areas of programming in the past two UNDAF cycles and areas where successful programming has been elusive. Health, education and social protection initiatives have experienced marked success. Climate change response programming has been able to address key issues in environmental protection. Governance programming including deconcentration of public services, court reform and support for an independent judiciary has made real contributions but meeting targets has been elusive.

# Appendix I

## Terms of Reference

### TERMS OF REFERENCE

### PROFESSIONAL SERVICES

#### PROJECT INFORMATION

<b>Assignment Title:</b>	Evaluation of the United Nations Development Assistance Framework (UNDAF) Cycles 2011-2015 and 2016-2018 in Cambodia
<b>Cluster/Project:</b>	Coordination – UNCT Cost-Sharing
<b>Assignment Location:</b>	Phnom Penh with Travel in Cambodia
<b>Assignment Duration:</b>	Start from June to October 2017

#### OVERVIEW

- I. INTRODUCTION
- II. BACKGROUND AND UNDAF EVALUATION CONTEXT
- III. PURPOSE, OBJECTIVES AND SCOPE
- IV. EVALUATION APPROACH AND METHODOLOGY
- V. MANAGEMENT AND CONDUCT OF THE EVALUATION
- VI. DELIVERABLES AND REPORTING REQUIREMENTS
- VII. INSTITUTIONAL ARRANGEMENT
- VIII. DUTY STATION
- IX. SCOPE OF BID PRICE AND SCHEDULE OF PAYMENTS
- X. RECOMMENDED PRESENTATION OF PROPOSAL

## I. INTRODUCTION

The United Nations Development Assistance Framework (UNDAF) reflects the strategic orientation of the United Nations (UN) system in Cambodia. An independent evaluation of the UNDAF 2011-2015 and UNDAF 2016-2018 is foreseen in 2017 to establish the extent to which the two cycles are/have been aligned to national development priorities and to what extent UNDAF outcomes have been attained. It will help to determine the relevance, efficiency, and effectiveness of the UNDAF results, and the sustainability of the UN system support to national development priorities. The evaluation is scheduled for implementation from June to October 2017 and it will inform the design of the subsequent UNDAF.

This document presents the purpose, objectives and scope of the evaluation, proposed approach and methodological options for a team of a team leader and up to three additional team members (both national and international), who will be conducting the evaluation under the guidance of an evaluation management group. The UN in Cambodia is therefore looking for institutions with deep commitment and strong background in evaluation of development effectiveness to undertake the evaluation. Bidders will need to show relevant subject matter experience in growth and sustainable development, social development, social protection and human capital, governance and human rights.

## II. BACKGROUND AND EVALUATION CONTEXT

### Country Context

Cambodia has experienced significant socio-economic changes during the last decades, and has in recent years pursued a transitional approach to economic and social development: gradually promoting greater decentralization, moving the focus of planning from rehabilitation to inclusive growth, shifting from establishing systems and developing capacity to more efficient performance of systems and use of capacity. Cambodia is expected to remain in the Least Developed Country category until at least 2025 as per UN classification. With annual average Gross Domestic Product (GDP) growth of more than 7 per cent since 2011, the country has, however, become a lower middle-income country in July 2016 and is gradually moving towards full economic integration into the Association of South East Asian Nations (ASEAN). This brings a related challenge of reduced international official development aid (ODA) and the need to raise more domestic resources and forge stronger partnerships within the region and with other developing nations. The Royal Government has put good governance at the centre of the Rectangular Strategy. While progress has been slow in strengthening the rule of law and the accountability of these institutions, reforms within public administration, public financial management and decentralization and deconcentration are on-going.

Economic growth has contributed to a steep decline in poverty, from 47.2 per cent in 2007 to 17.7 per cent in 2012 (World Bank, 2014), with around 3 million Cambodians living in poverty. Of these, 90 per cent live in rural areas. However, the recent economic growth has not benefited all, and significant geographic disparities exist, with poverty rates ranging from around 15 per cent in Phnom Penh to up to 37 per cent in the mostly rural north-eastern provinces. Of the estimated total population of 15.3 million, over 45 per cent live just above the poverty line (World Bank, 2015) and are highly vulnerable to small economic changes, natural disasters and other shocks. Cambodia has a large, very young dependent population of children and adolescents; 45 per cent of the population is aged 19 years or younger while more than 11 per cent of the total population is under 5 years of age. Cambodia has therefore currently a larger number and proportion of young people of working age than ever before, leading to the opportunity of a demographic dividend, i.e. economic growth achieved by having proportionally more people of working age. The key to harnessing the demographic dividend is enabling young people to enjoy their human rights to achieve their potential.

The political landscape in Cambodia has, during the last years, featured increasing vocal demands of civil society organizations and citizens for more inclusive growth, the protection of human rights and political participation. After the great progress made in achieving the Millennium Development Goals (MDGs), Cambodia has started to prepare the implementation of the 2030 Agenda for Sustainable Development by localizing the Sustainable Development Goals (SDGs) to the national context.

### **The Role of the United Nations in Cambodia**

The overarching goal of the UN in Cambodia is to support the efforts of the Royal Government of Cambodia (RGC) and its development partners to improve the life of all people living in Cambodia, especially vulnerable, poor and marginalized groups (i.e., women, youth, indigenous people, people living with disabilities, people living with HIV/AIDS). Throughout the past years, the United Nations Country Team (UNCT) worked closely with all stakeholders for the achievement of the MDGs and is now supporting the localization and the preparations for the implementation of the 2030 Agenda and the SDGs. Further, the UNCT supports major reforms and the realization of human rights and ensures a transparent and accountable use of resources made available for this purpose.

The UNDAF is the strategic programme framework that describes the collective response of the UN system to national development priorities. It reflects the comparative advantage of the UN by emphasizing the thematic competence of UN organizations involved, without necessarily highlighting their specific mandates. It shows where the UN system can bring its unique strengths to bear in advocacy, capacity development, programming, and cutting-edge knowledge and policy advice, for the achievement of the internationally agreed standards and development goals, including national priorities related to the MDGs/SDGs.

Under the leadership of the UN Resident Coordinator (RC), the UNCT in Cambodia is responsible for the implementation and monitoring of the UNDAF in partnership with the RGC and in collaboration with civil society and development partners. The UNCT in Cambodia, in close partnership with the RGC, intends to undertake an UNDAF evaluation covering the UNDAF cycle 2011-2015 and the mid-point review of the 2016-2018 cycle, which should serve as a major input for the planning process of the subsequent UNDAF cycle.

### **Evaluation of the United Nations Development Assistance Framework**

Evaluation is an important part of the results based management cycle. A particular use of UNDAF evaluation is for course correction to strengthen programmes by realigning priorities, strategies and interventions. Evaluation-based evidence and recommendations can also be used for advocacy and resource leveraging as well as partnerships. UNDAF evaluation is mandatory as per guidance from the UN Development Group (UNDG). As the UN system in Cambodia will start preparing for a new UNDAF cycle and in anticipation that the formulation of the next National Strategic Development Plan (NSDP) will become effective in 2019 it is important to assess what has worked to inform UNDAF approach moving forward and ensure that it is evidence-based.

Evaluation improves accountability for results and provides learning in terms of what has worked, what has not and why. This is seen as crucial given the broad-based scope and the large resources involved in the UNDAFs. An UNDAF evaluation provides important information for strengthening programming and results at the country level, specifically informing the planning and decision-making for the next UNDAF cycle and for improving UN coordination in Cambodia. Through evaluation, the UNCT, the RGC and other UNDAF stakeholders can learn from the process of documenting good practices which can then be used for future UNDAFs, national plans and benefit of other countries as well.



The UNDAF 2011-2015<sup>63</sup> was developed in alignment with the Government's Rectangular Strategy for Growth, Employment, Equity and Efficiency Phase II<sup>64</sup> and the NSDP 2009-2013. It built on the achievements and progress made over the last decade and leveraged the position of the UN as a trusted and neutral partner of the RGC and the people of Cambodia. It was built around five strategic outcome areas, as follows:

- 1) Economic Growth and Sustainable Development;
- 2) Health and Education;
- 3) Gender Equality;
- 4) Governance; and
- 5) Social Protection.

It comprises a results matrix (Annex I) and a monitoring and evaluation (M&E) framework and the UNCT has prepared annual monitoring reports and conducted a joint review meeting with the RGC annually.

The UNDAF 2016-2018 reflects the strategic orientation of the UN system in Cambodia. It is aligned to the Rectangular Strategy Phase III and the current NSDP 2014-2018. It was developed through an interactive, consultative process and is designed at an outcome level only. The UNDAF has three mutually reinforcing outcome areas:

- 1) Inclusive Growth and Sustainable Development;
- 2) Social Development, Social Protection and Human Capital; and
- 3) Governance and Human Rights.

The UNDAF 2016-2018<sup>65</sup> is harmonized with the national planning process and covers a three-year period, in line with the timeframe of the NSDP 2014-2018. In an effort to strengthen the monitoring function of UNDAF implementation and to allow evidence-based reporting at a more strategic level, the UNCT has developed consolidated annual workplans per outcome which cover the key results to be achieved for each year based on the agency country programmes and take into consideration the SDGs.

***Evaluation Rationale:*** An evaluation of the UNDAF is mandatory as per the UNDAF guidelines provided by the UN Development Group (UNDG) and the UNDAF 2016-2018 document foresees the evaluation of the 2011-2015 and 2016-2018 cycles in 2017. Besides being in compliance with global guidelines and agreed timelines, the UNDAF evaluation comes at a crucial moment in the development of Cambodia. With the adoption of the 2030 Agenda and the SDGs in September 2015, the RGC is localizing the agenda (Cambodia SDGs, CSDGs) and developing a CSDGs framework that is expected to be finalized in the 2<sup>nd</sup> quarter of 2017. While the RGC is currently undertaking a mid-term review of its NSDP (2014-2018), it is expected

<sup>63</sup> [http://kh.one.un.org/content/dam/unct/cambodia/docs/unct\\_kh\\_UNDAF\\_doc\\_2011-2015\\_2016.pdf](http://kh.one.un.org/content/dam/unct/cambodia/docs/unct_kh_UNDAF_doc_2011-2015_2016.pdf)

<sup>64</sup> The Rectangular Strategy for growth, employment, equity and efficiency phase II is the "Socio Economic Policy Agenda" of the Royal Government of Cambodia of the fourth legislature of the national assembly. The Rectangular Strategy phase II maintains the earlier structure and fine-tunes and sharpens the prioritized policies of the rectangular strategy in its first phase.

<sup>65</sup> [http://kh.one.un.org/content/dam/unct/cambodia/docs/unct\\_kh\\_UNDAF\(2016-2018\)\\_2016](http://kh.one.un.org/content/dam/unct/cambodia/docs/unct_kh_UNDAF(2016-2018)_2016)

that the CSDG framework will be fully mainstreamed into the next NSDP (2019-2023). The findings and recommendations of this evaluation are therefore expected to not only feed into the development of the next UNDAF but also to inform the next NSDP.

***Evaluation Use:*** The primary users of this evaluation are the decision-makers within the UNCT including resident and non-resident UN entities, UN partners and the RGC, which will use the results to strengthen accountability and learning, both for the implementation of the ongoing UNDAF and for the preparation of the subsequent one. Recommendations will be used to adjust the way the UNDAF is designed and could result in establishing a results measurement framework. Secondary users are other development partners and civil society organizations participating in UN programmes as well as the UN Development Operations Coordination Office (DOCO) and other countries, which are expected to use the evaluation process and results for accountability learning, decision making and improved performance, awareness raising and advocacy purposes. Since DOCO is in the process of developing new guidelines for a new generation of UNDAFs that will take into account the results and recommendations from the Quadrennial Comprehensive Policy Review (QCPR) 2016, this evaluation can constitute a meaningful source of what has worked and what has not.

### III. PURPOSE, OBJECTIVES AND SCOPE

#### Purpose of the Evaluation

The independent evaluation of the UNDAF 2011-2015 and mid-point review of the UNDAF 2016-2018 serves two main purposes:

- (1) Support **greater accountability of the UN system** for working effectively and in alignment with UN programming principles to contribute to agreed results in the UNDAF 2011-2015. By objectively verifying results achieved within the framework of the UNDAF and assessing the sustainability of the strategies and interventions used, the evaluation will enable the various stakeholders in the UNDAF process, including national counterparts and donors, to hold the UNCT and other parties accountable for fulfilling their roles and commitments.
- (2) Promote **greater learning from the experience of implementing the current UNDAF 2016-2018** about what works, what doesn't and why. This should include providing lessons learned on what the added value of the UN has been and could be in the future, especially considering the changing development landscape and emerging new actors and how the UN adapts to the changing environment in Cambodia. It should therefore take into consideration not only what is covered in the UNDAF, but also examine which aspects are not covered although they are relevant to the current and future context, including related to the SDGs (Cambodia is in the process of SDG localization which is expected to be completed in 2017). Recommendations should also include what can be excluded in the future UNDAF.

The UNDAF evaluation should be as forward looking as possible to provide lessons learned that will feed into the next UNDAF cycle. It will provide important information for strengthening programming and results at the country level, specifically informing the planning and decision-making for the next UNDAF programme cycle and for improving UN coordination at the country level. The UNCT, the RGC and other UNDAF stakeholders can learn from the process of documenting good practices. The evaluation should therefore also assess the UN architecture/structure and the way the UN in Cambodia functions and manages itself and how the UNDAF serves as a tool. In addition, attention should be given to how prepared the UN in Cambodia is for emergency situations and how effectively it develops related capacity of institutions.

## Evaluation Objectives and Scope

The overall objectives of the evaluation are the following:

- *Assess current (2016-2018) UNDAF cycle by reviewing its effectiveness on advancing the national development agenda of the RGC;*
- *Review the results achieved under the 2011-2015 cycle;*
- *Focusing primarily on the current UNDAF 2016-2018 review its relevance, efficiency, effectiveness and sustainability on the national development agenda of the RGC;*
- *Review design, focus and comparative advantage of the UN system in the inception process;*
- *Examine how the five UN programming principles<sup>66</sup> have been mainstreamed in the results-based management cycle (design, implementation and M&E) of the UNDAF 2016-2018; and*
- *Provide actionable strategic and programmatic recommendations, in priority order, for improving the contribution of the UNCT to the RGC's development priorities under the UNDAF 2016-2018, which can be considered for the next 2019-2023 UNDAF and taking into consideration the SDGs at the top level (and not be a compilation of agency specific evaluations or review exercises or comment on any agency specific performance).*

Data collection is expected to be conducted at national, sub-national and community provincial level.

The UNDAFs will be evaluated against the strategic intent laid out in the two UNDAF documents, respectively, and specifically the contribution to the national development results laid out in the UNDAF results frameworks. The evaluation will therefore be global in scope, in the sense that it will cover all sectors of the UNDAF. In terms of time, the evaluation will cover two UNDAF cycles (2011-2015 and 2016-2018), hence the period from 1 January 2011 to 31 December 2015 and 1 January 2016 to 31 March 2017. However, more emphasis is expected to be put on the current UNDAF. Evidence and findings of the UNDAF evaluation will embrace the views of all key stakeholders, including vulnerable, poor and marginalized groups. Benefit gained by vulnerable population from UNDAF implementation and focus on provinces lagging behind should be given attention to during the evaluation. Two provinces are expected to be selected by the evaluation team based on an analysis during the inception phase.

<sup>66</sup> Human rights based approach, gender equality, and environmental sustainability, capacity development, and results-based management.

## IV. EVALUATION APPROACH AND METHODOLOGY

### Evaluation Approach and Criteria

As per the guidance document 'UNDAF Evaluation Guidelines for Terms of Reference'<sup>67</sup> (TOR), this evaluation is a programmatic evaluation in that it assesses the UNCT's performance against the UNDAF 2011-2015 and the UNDAF 2016-2018 programmatic framework that specifies its strategic intent, objectives and outcomes set forth in the results framework. As such it is a country-level evaluation carried out jointly with the UNCT and the overall approach is participatory and orientated towards learning on how to jointly enhance development results at the national level. As outlined in the purpose and scope section, the evaluation will also assess how the UN coordinates itself under the UNDAFs 2011-2015 and 2016-2018 including with regard to joint funding and resource mobilization, e.g., through joint programmes and joint initiatives.

Given that (a) outcomes are, by definition, the work of a number of partners, and (b) UNDAF outcomes are set at a very high level, attribution of development change to the UNCT (in the sense of establishing a causal linkage between a development intervention and an observed result) may be extremely difficult and in many cases infeasible. The evaluation will therefore consider **contribution** of the UNCT to the change in the stated UNDAF outcomes and the evaluators will need to explain how the UNCT contributed to the observed results. In conducting the assessment, first, the evaluators will examine the stated UNDAF outcomes for 2011-2015 and 2016-2018; identify the change over the period being evaluated on the basis of available baseline information; and observe the national strategy and actions relevant to the focus of the UNDAF and the role of the UN in support of that change. Second, they will examine the implementation of UNDAF strategy and actions in support of national efforts.

The following key areas of inquiry, drawn from the United Nations Evaluation Group (UNEG) norms and standards<sup>68</sup> and the Organization for Economic Cooperation Development/Development Assistance Committee (OECD/DAC) evaluation criteria<sup>69</sup>, must be addressed by the evaluation:

### UNDAF 2011-2015

#### *Effectiveness*

- To what extent have the outcomes from the UNDAF 2011-2015 been achieved and helped to inform the formulation of the current UNDAF planning cycle?
- What lessons have been learned from the previous UNDAF, which helped to support to CMDG achievement and can be used to affect the achievement of the CSDGs?

### UNDAF 2016-2018

#### *Relevance*

- To what extent is the UNDAF aligned with the national development needs and priorities and should adjustment in UNDAF implementation be considered to align with SDGs? How well does the design of the UNDAF address the needs of the most vulnerable groups in Cambodia?
- To what extent is the UNDAF responsive to changing environment in Cambodia at national and subnational level and how should it adapt to these changes?

<sup>67</sup> See [www.undg.org/main/undg\\_document/undaf-evaluation-guidelines-for-terms-of-reference/](http://www.undg.org/main/undg_document/undaf-evaluation-guidelines-for-terms-of-reference/)

<sup>68</sup> See [www.uneval.org](http://www.uneval.org)

<sup>69</sup> See the Development Assistance Committee criteria for evaluating development assistance factsheet at [www.oecd.org/dac/evaluation/49756382.pdf](http://www.oecd.org/dac/evaluation/49756382.pdf)

### *Effectiveness*

- To what extent is the current UNDAF on track to achieve planned results (incl. intended and unintended, positive or negative)?
- How were the five UN programming principles mainstreamed in the design, implementation and monitoring and evaluation (M&E) of the UNDAF 2016-2018?
- To what extent has the UN been able to form and maintain partnerships with other development actors including bilateral and multi-lateral organizations, civil society organizations and the private sector to leverage results?

### *Efficiency*

- To what extent and how has the UN system mobilized and used its resources (human, technical and financial) and improve inter-agency synergies to achieve its planned results in the current UNDAF cycle?
- To what extent has the UNDAF increased the synergies between the programmes of UN agencies?

### *Sustainability*

- What is the likelihood that the benefits that resulted from the previous and current UNDAF will continue at national and subnational level through adequate ownership, commitment, willingness displayed by the government?
- How well designed is the UNDAF in order to remain valid in light of the changing environment?

In addition to these core questions, the evaluation team will develop context-specific sub-questions during the inception phase of the UNDAF evaluation. To this purpose, during the inception mission the evaluation team will conduct a **stakeholder analysis** followed by ample in-country consultations with all key response stakeholders, to ensure that their views on issues that need to be considered, potential sub-questions, etc. are incorporated into the UNDAF evaluation. The inception report will also confirm the objectives around which to assess results and consider the preparation for the new UNDAF. The evaluation is intended to be forward looking and therefore needs to take into consideration what is important for the future, including with regard to the 2030 Agenda.

### **Methodology**

The evaluation will use **mixed-method analysis**, employing the most appropriate **qualitative** and **quantitative** approaches, data types and methods of data analysis. To ensure maximum validity, reliability of data (quality) and promote use, the evaluation team will ensure triangulation of the various data sources. **Methodological rigor will be weighted significantly in the assessment of proposals. Hence bidders are invited to interrogate the approach and methodology proffered in the TOR and improve on it, or propose an approach they deem more appropriate to achieve the intended evaluation results.** In addition, a participatory and utilization-focused approach to involve key stakeholders and boost ownership of the evaluation shall be adopted.

The evaluation team will be guided by the major analytical frameworks that form the basis for drawing final conclusions and generating forward looking recommendations, namely: the evaluation criteria, the UNDAF 2011-2015 and UNDAF 2016-2018 results framework, the National Strategic Development Plan 2009-2013 and 2014-2018 as well as CMDGs reports as the main reference to assess the overall UNCT's performance, and to understand whether the UNDAF's objectives have been met and what results have been achieved.

While assessing performance using the above criteria the evaluators will identify the various factors that can explain the performance. This will allow lessons to be learned about why the UNCT performed as it did. Where these factors have been identified as UNDAF outcomes in their own right, they should be considered both results and enabling factors. For instance, strengthened human rights and equity and gender equality could be an UNDAF outcome to be assessed as part of the evaluation, while gender-responsive programming or gender mainstreaming as an explanatory factor that may have helped achieve UNDAF results from equitable poverty reduction to improved social services. Although UNDAFs are implemented in a wide range of contexts, there are some standard issues that can be assumed to affect performance.

During the inception phase, the evaluation team will propose a detailed methodology designed to provide evidence around the result areas of the UNDAF 2011-2015 and the UNDAF 2016-2018. An evaluation matrix will be prepared during the inception phase in which the sources of data, methods and criteria will be defined for each evaluation question, including assuring triangulation of data. The inception report should include a description of data sources, data collection and analysis methods, indicators, triangulation plan, factors for comparative analysis, and validation strategy, as well as how the team intends to incorporate the views various stakeholders (including vulnerable, poor and marginalized groups). The inception report will also provide a detailed stakeholder analysis and a clear indication of how and which national and provincial entities and communities will be consulted, engaged and involved in the evaluation process as relevant. The evaluation team should explicitly describe in the inception report the approaches and strategies that will be used to identify and reach out to various stakeholders. These strategies may include, among others, the selection of key informants, the use of snowball sampling strategies, the use of focus groups, etc. The advantages and limitations of the use of these methods should also be clearly explained.

The evaluation team will conduct field visits to pertinent programmatic areas to document relevant case studies. The team should seek to spend the necessary amount of time during the field mission to conduct direct consultations with subnational authorities and communities that have benefitted from the UN assistance. The focus of these consultations should be, for instance, on the change in government actions at national and subnational level as a result of UN policy advice. Other themes for case studies should be identified in the inception phase. The evaluation should, wherever possible, undertake systematic data gathering from both beneficiaries and non-beneficiaries on the appropriateness and quality of the assistance provided. In deciding the amount of time to be spent in consultation with communities, it is important that the evaluation team maintains a balance in terms of the need to identify high-level outcomes and the need to ensure sufficiently ample consultations.

The UNDAF evaluation will use a variety of validation methods to ensure that the data and information used, and conclusions made, carry the necessary depth including, but not limited to:

- **Document Review** focusing on UNDAF planning documents, mid-term progress reviews (where undertaken), annual reports and past evaluation reports (incl. those on projects and small-scale initiatives, and those issued by national counterparts), strategy papers, national plans and policies and related programme and project documents. These should include reports on the progress against national and international commitments. There are several crucial strategic documents currently under development which need to be taken into consideration even though they might become available only when the actual reviewing phase is over.<sup>70</sup>

<sup>70</sup> A list of all relevant documents will be made available.



- **Semi-structured Interviews** with key stakeholders including key government counterparts, donor community members, representatives of key civil society organizations, UNCT members, and implementing partners.
- **Surveys and Questionnaires** including participants in development programmes, UNCT members, and/ or surveys and questionnaires involving other stakeholders at strategic and programmatic level.
- **Focus Group Discussions** involving groups and sub-groups of stakeholders and decision-makers.
- **Other Methods** such as outcome mapping, observational visits, etc.

In general, the evaluation approach should follow the UNEG guidance on integrating human rights and gender equality, UNEG norms and standards and international principles for development evaluation.<sup>71</sup> In particular, in line with the UN System-Wide Action Plan (UN-SWAP)<sup>72</sup> on gender equality, data collection methods and process should consider gender sensitivity. The final report should be compliant with UNEG quality checklist of evaluation reports<sup>73</sup> and acknowledge how inclusive stakeholder participation was ensured during the evaluation process and any challenges to obtaining the gender equality information or to addressing these issues appropriately. Data should be systematically disaggregated by sex and age and, to the extent possible, disaggregated by geographical region, ethnicity, disability, migratory status and other contextually-relevant markers of equity.

Adherence to a code of ethics and a human-rights based and gender sensitive approach in the gathering, treatment and use of data collected should be made explicit in the inception report. Perspective from both rights holders and duty bearers shall be collected.

## V. MANAGEMENT AND CONDUCT OF THE EVALUATION

The UNDAF evaluation team will work under the supervision of a dual-tiered evaluation management structure: an **evaluation commission** and an **evaluation management group (EMG)**. The evaluation commission, comprised by the RC and UN Head of Agencies and Government representatives, is the decision-making organ for the UNDAF evaluation. All key deliverables need to be validated by an **evaluation commission**.

An **evaluation management group (EMG)** will provide direct supervision and will function as the guardian of the independence of the evaluation. The EMG is responsible for the day-to-day implementation of the evaluation and management of the evaluation budget. The EMG core group is composed by a staff member of the RC's Office, the M&E officers/focal points from UNDP, UNICEF, UNFPA, UN Women and WHO, one representative from the Council for the Development of Cambodia (CDC) and one representative from the National Working Group (NWG) on M&E. Additional members of the EMG are three members of the Programme Management Team (UNICEF, UNOPS, WFP).

A **reference group** will provide inputs and comments on the TOR, the inception report and final report and review the main deliverables to provide quality assurance. It is composed of two focal points from CDC and the NWG M&E, three UNDAF Focal Points at Head of Agency level, the chairs of the four UN thematic groups (Gender, Human Rights, HIV/AIDS, Youth), two representatives from CSOs (CCC and NGO Forum), two evaluation experts from UNEDAP and one staff from RCO. The group will provide comments

<sup>71</sup> See: <http://www.uneval.org/document/guidance-documents>

<sup>72</sup> See: <http://www.unwomen.org/en/how-we-work/un-system-coordination/promoting-un-accountability>

<sup>73</sup> See: <http://www.unevaluation.org/document/detail/607>



on the TOR and meets at least two times: (1) to discuss the inception report, and (2) to discuss the final report. Specific dates are suggested in Table 1, page 15. All members are expected to attend validation workshops. All deliverables will be reviewed first by members of the EMG before sharing with the reference group members.

Given the importance of UNDAF evaluation and the complexities involved in its design and implementation, it is critical that due time and effort is accorded to recruiting an external **evaluation team** which will meet the standards to conduct the evaluation. The evaluation team should ideally consist of **one team leader and between two and three additional team members with the following responsibilities**. For UNDAF evaluations, working with evaluation teams composed of members with a diverse mix of qualifications is recommended. The evaluation team needs to be balanced in terms of gender and should include at least one national team member as this will bring local perspective to the evaluation.

The evaluation team leader will lead the entire evaluation process, working closely with all team members. He/she will conduct the evaluation process in a timely manner and communicate with the EMG on a regular basis and highlight progress made/challenges encountered. The team leader will be responsible for producing high quality inception report and the draft and final evaluation reports in standard British English (both the Evaluation Brief and Executive Summary of the Evaluation Report will need to be translated in Khmer at the cost of the company).

The team members will contribute to the evaluation process substantively through data collection and analysis. They will share responsibilities for conducting desk review and interviews and conduct field visits to the project sites identified during the inception phase and collect data. They will provide substantive inputs to the inception report as well as to the draft and final evaluation reports.

### Qualification of Evaluation Team

#### 1) International Team Leader (1 person)

- Advanced University Degree (Masters or PhD) in political science, public administration, development studies, law, human rights or another relevant field;
- Minimum fifteen years of relevant professional experience;
- A strong record in designing and leading evaluations;
- Extensive knowledge of, and experience in applying, qualitative and quantitative evaluation methods;
- Demonstrated managerial competence and experience in organizing, leading and coordinating evaluation teams at the international level;
- Technical competence in undertaking complex evaluations which involve use of mixed methods;
- Prior experience in working with multilateral agencies;
- Knowledge of UN role, UN reform process and UN programming at the country level, particularly UNDAF;
- Strong experience and knowledge in the five UN programming principles: human rights (the human rights based approach to programming, human rights analysis and related mandates within the UN system), gender equality (especially gender analysis), environmental sustainability, results-based management, and capacity development; and
- Fluency in English, excellent oral, written, communication and reporting skills.

**2) International Team Member(s) (maximum 2 persons)**

- Advanced University Degree (Master or PhD) political science, public administration, development studies, law, human rights or another relevant field;
- Minimum of ten years of relevant professional experience;
- Technical competence in undertaking complex evaluations which involve use of mixed methods;
- Strong data collection and analysis skills;
- Prior experience in working with multilateral agencies;
- Knowledge of UN role, UN reform process and UN programming at the country level, particularly UNDAF;
- Strong experience and knowledge in the five UN programming principles: human rights (the human rights based approach to programming, human rights analysis and related mandates within the UN system), gender equality (especially gender analysis), environmental sustainability, results-based management, and capacity development;
- Process management skills such as facilitation skills and ability to negotiate with a wide range of stakeholders;
- Fluency in English, excellent oral, written, communication and reporting skills; knowledge of Khmer would be an asset;
- Experience in conducting evaluation of an UNDAF especially the one of the similar country context is considered a strong asset; and
- Previous working experience in an East Asian context is desirable, together with understanding of Cambodia context and cultural dynamics is also considered an asset.

**3) National Team Member(s) (maximum 2 persons)**

- Advanced University Degree (Master or PhD) in the field of political science, governance, public administration, development studies, law, human rights or another relevant field;
- Minimum five years of relevant professional experience;
- Process management skills such as facilitation skills and ability to negotiate with a wide range of stakeholders (including in local language);
- Strong experience and knowledge in the five UN programming principles: human rights (the human rights based approach to programming, human rights analysis and related mandates within the UN system), gender equality (especially gender analysis), environmental sustainability, results-based management, and capacity development;
- In-depth knowledge and strong research record of Cambodian socio-economic development;
- Fluency in English and Khmer; and
- Experience in translation and interpretation.

### Minimum Qualifications of Firm/Organization:

- A minimum of five years of experiences in managing evaluations, producing high quality analytical research/assessment and providing technical advice or consulting services on issues pertaining to development;
- Back-stopping support and quality assurance systems;
- A strong record in conducting qualitative and quantitative evaluations, using UNEG norms and standards;
- Prior experience in working with multilateral agencies;
- Knowledge of UN role, UN reform process and UN programming at the country level, particularly UNDAF;
- Experience in conducting evaluation of an UNDAF especially the one of the similar country context is considered a strong asset; and
- Previous working experience in an East Asian context is desirable, together with understanding of Cambodia context and cultural dynamics is also considered an asset.

All the members of the evaluation team should be independent from any organizations that have been involved in designing, executing or advising any aspect of the UNDAF subject of the evaluation

## VI. DELIVERABLES AND REPORTING REQUIREMENTS

Evaluation products expected for this exercise are: 1) an inception report, including an Evaluation Brief for external communication; 2) a Power Point presentation containing initial evaluation findings to facilitate validation of the preliminary findings; 3) the final report of the evaluation with up to three revisions (complete first draft be reviewed by the EMG; second draft to be reviewed by the evaluation commission and the reference group, and a penultimate draft) that includes an executive summary ; 4) infographics to be used for publication; and a PowerPoint presentation used to share findings with the reference group and for use in subsequent dissemination events. Outlines and descriptions of each evaluation products are meant to be indicatives, and include:

- **Inception Report:** The evaluation team will produce an inception report not to exceed 25 pages, or 20,000 words, excluding annexes setting out: the team's understanding of the issues to be evaluated (scope), questions that the UNDAF evaluation intends to answer, and their understanding of the context in which the evaluation takes place; including of a comprehensive stakeholder analysis; any suggested deviations from the TOR, including any additional issues raised during the initial consultations; an evaluation matrix showing selected criteria of analysis, questions and sub-questions, the indicators proposed and sources of information; methodology, including details of gender analysis and triangulation strategy; data collection and analysis tools that will be used to conduct the evaluation; any limitations of the chosen methods of data collection and analysis and how they will be addressed; explanation of how the views of various stakeholders, including vulnerable and marginalized groups, will be addressed during the evaluation; fieldwork plan, timeline for the evaluation, draft dissemination strategy of the evaluation results. Please refer to the quality check for the Inception Report: <http://uneval.org/document/detail/608>. The inception will be presented at a formal meeting of the evaluation commission and the reference group.
- **PowerPoint Presentation:** Initially prepared and used by the evaluation team in their presentation of the preliminary findings to the evaluation commission and the reference group, a standalone PowerPoint will be submitted to the EMG as part of the evaluation deliverables.

- **Evaluation Report:** The evaluation report will not exceed 50 pages, or 35,000 words, excluding a stand-alone executive summary (max 2,500 words) and annexes. A complete draft report will include: table of contents, summary table linking findings, conclusions and recommendations, including where responsibility for follow up should lie; analysis of the context in which the UNDAF is implemented; methodology summary: a brief chapter, with a more detailed description provided in an annex; main body of the report, including overall assessment, findings in response to the evaluation questions; conclusions and lessons learned; a parsimonious set of actionable strategic and programmatic recommendations in priority order, and a description of how they were validated; and annexes (evaluation terms of reference; data analysis framework, list of people interviewed, list of background materials used, etc.). Please refer to the UNEG Quality Checklist for Evaluation Report for guidance: <http://www.unevaluation.org/document/detail/607>.
- **Data and Infographics:** Data, live data tables and infographics will be submitted to the evaluation management team as part of the evaluation deliverables.

**Bidders are invited to reflect on each outline and effect the necessary modification to enhance their coverage and clarity. Having said so, products are expected to conform to the stipulated number of pages where that applies.**

The quality of the evaluation report will be assessed according to the UNEG norms and standards for evaluation and the UNICEF and WFP quality assurance system for evaluations, respectively GEROs and EQUAS.

The inception and draft reports will be produced jointly by the members of the evaluation team and will reflect their collective understanding of the evaluation. All deliverables listed will be written in standard British English (the Evaluation Brief, Executive Summary of the Evaluation Report, the PowerPoint presentation and infographics will need to be translated into Khmer). If the EMG finds that the reports do not meet the required standards, the evaluation team will make the edits and changes needed to bring it in line with the required standards at their own expenses.

An estimated budget has been allocated for this evaluation. The implementation of the evaluation is expected to follow the following time schedule.

**A1. - Table 1: Proposed UNDAF Evaluation Timeline**

TASK	TIME ESTIMATE	DUE DATE	RESPONSIBLE PARTY
<b>INCEPTION, DOCUMENT REVIEW AND ANALYSIS</b>			
Inception visit, drafting the inception report (methods, instruments, etc.)		June	Evaluation team
Presentation of first draft inception report to EMG (in-house) and feedback to the evaluation team		June-July	EMG/ Evaluation team
Second inception report - Presentation to the evaluation commission and the reference group		June- July	Evaluation team EMG/evaluation Commission/reference group

TASK	TIME ESTIMATE	DUE DATE	RESPONSIBLE PARTY
Submit final inception report		2 <sup>nd</sup> week of July	EMG/ Evaluation team
Conduct document review, survey and analysis		July- August	Evaluation team
Finalize and present desk review report to EMG, confirm planning for field visit		July- August	Evaluation team/EMG
<b>DATA COLLECTION</b>			
Conduct field-based data collection		July- August	Evaluation team
Conduct workshop to validate preliminary findings		August/Sept	Evaluation team
<b>REPORTING</b>			
Prepare and submit a first draft of evaluation report			Evaluation team
Receive first draft and feedback to evaluation team		1 <sup>st</sup> week of September	EMG
Prepare and submit second draft of evaluation report to EMG			Evaluation team
Receive second draft and feedback to evaluation team		3 <sup>rd</sup> week of September	EMG/evaluation commission/reference group
Receive penultimate draft and feedback to evaluation team			Evaluation team/EMG
Submit and present final report to the evaluation commission and the reference group in a workshop		4 <sup>th</sup> week of September/ 1 <sup>st</sup> week of Oct	Evaluation team/ EMG/evaluation commission/reference group

The UNDAF evaluation has a tentative timeline of five months from beginning of June to October 2017. Adequate effort should be allocated to the evaluation to ensure timely submission of all deliverables.

## VII. INSTITUTIONAL ARRANGEMENT

As stated under V. *MANAGEMENT AND CONDUCT OF THE EVALUATION*, the UNDAF evaluation team will work under the supervision of a dual-tiered evaluation management structure: an **evaluation commission and an EMG**. The evaluation commission, comprised of the RC and UN Heads of Agencies and Government representatives, is the decision-making organ for the UNDAF evaluation. All key deliverables need to be validated by **the evaluation commission**. The EMG will provide direct supervision to the evaluation team. Head of RC office will function as the main focal point for coordinating and directly communicating with the contractor.

## VIII. DUTY STATION

The duty station of the work is home based and Phnom Penh, Cambodia but the team will be required to visit pertinent programmatic areas in some selected provinces. As stated above under *Evaluation Objectives and Scope*, two provinces are expected to be selected by the evaluation team based on an analysis during the inception phase.

## IX. SCOPE OF BID PRICE AND SCHEDULE OF PAYMENTS

The Service Provider shall be paid the consultancy fee upon completion of the following milestones:

- 30% after approval of the inception report, including an Evaluation Brief for external communication;
- 30% after presentation of a Power Point presentation containing initial evaluation findings to facilitate validation of the preliminary findings; and
- 40% after approval of the final evaluation report that includes an executive summary, infographics to be used for publication; and a PowerPoint presentation used to share findings with the reference group and for use in subsequent dissemination events.

The contractor fee will be paid as a lump sum amount (all-inclusive of expenses related to the consultancy including travels inside and outside the duty station and any tax obligations). The contract price will be fixed regardless of changes in the cost components.

## X. RECOMMENDED PRESENTATION OF PROPOSAL

The bidder shall structure the technical part of its Proposal according to the format proposed in this TOR, as follows.

- a) Expertise of firm/organization submitting proposal: This section should describe the organizational unit that will be responsible for the contract, and the general management approach towards this evaluation. This should fully explain the Bidder's resources in terms of personnel and other resources necessary for achieving project results. This section should also provide orientation to the organization/firm including the year and state/country of incorporation and a brief description of the Bidder's present activities (focusing on services related to the Proposal). Information on similar activities having been undertaken by the company, institution or team of individuals going to be involved in this assignment and recent and current contracts with similar agencies.
- b) Proposed methodology: This section should demonstrate the Bidder's responsiveness to the specification by identifying the specific components proposed, addressing the requirements, as specified, point by point; providing a detailed description of the essential performance characteristics proposed; and demonstrating how the proposed methodology meets or exceeds the specifications.
- c) Personnel: CVs for all team members should be attached, including a copy of an evaluation report written by the proposed Team Leader.
- d) Three references for each team member.

## Appendix II

### Evaluation Matrix

QUESTION	INDICATORS	DATA SOURCES	METHODS
<b>EQ1: How effective was the 2011-2015 UNDAF cycle?</b>			
<b>1.1</b> What level of achievements for the 2011-15 UNDAF can be identified given the limits of information available?	Extent to which explicit outcomes were achieved	UNDAF 2011-2015 programme documentation UN agency representatives UNRCO representatives Programme Management Team members	Document review Interviews
<b>1.2</b> What lessons can be drawn from the previous UNDAF, particularly with regards to supporting the achievement of the CMDGs?	Perceptual data on number and nature of success stories and lessons learnt Pertinence of recorded lessons learnt in programme evaluation documents	UN agency representatives Implementing partners RGC representatives Programme evaluation documents Results Report	Document review Interviews
<b>EQ2: Is the current 2016-2018 UNDAF relevant to national needs, priorities and changing context?</b>			
<b>2.1</b> To what extent is the UNDAF aligned with the national development needs and priorities?	Number of national priorities in Cambodia not covered or covered only partially and cursorily in the UNDAF.  Instances of deviation from government (NSDP 2014-18) programming either in programmes funded or in emphases  Degree of alignment between UNDAF and national development policies	RGC policies and strategies UNDAF programme documentation Scholarly literature and analysis UN agency representatives RGC representatives Implementing partners	Document review Interviews Survey – section on relevance



QUESTION	INDICATORS	DATA SOURCES	METHODS
<b>2.2</b> To what extent is the UNDAF flexible enough to respond to the changing context in Cambodia and internationally (including the SDGs) and how should it be adapted?	<p>Perceptual data on adaptability of UNDAF to context e.g. Cambodia national and sub-national context, Agenda 2030 and SDGs</p> <p>Degree of alignment between current UNDAF priorities and analysis of future trends</p> <p>Degree of existing alignment between UNDAF and SDGs</p> <p>Perceptual data on degree of alignment with SDGs</p>	<p>UN agency representatives</p> <p>RGC representatives</p> <p>Implementing partners</p> <p>Scholarly literature and analysis</p> <p>UNDAF programme documentation</p> <p>SDG documentation</p>	<p>Interviews</p> <p>Document review</p> <p>Survey with UN staff</p>
<b>2.3</b> How well does the design of the UNDAF address the needs of the most vulnerable groups in Cambodia?	<p>Appropriate definition of vulnerable groups</p> <p>Number of indicators in the Results Framework that make references to vulnerable groups</p>	<p>UNDAF programme documentation</p> <p>Scholarly literature and analysis</p> <p>Local NGOs</p> <p>UN agency representatives</p>	<p>Document review</p> <p>Interviews</p>
<b>EQ3: How effective is the UNDAF 2016-2018 at mid-term?</b>			
<b>3.1</b> Are the UNDAF's objectives realistic and coherent?	<p>Number of instances in which the stated expectations for programmes and projects are greater than the funding available</p> <p>Degree of internal consistency and complementarity within outcomes and outputs</p>	<p>UNDAF documents</p> <p>UN agency representatives</p>	<p>Interviews</p> <p>Document review</p>
<b>3.2</b> Recognizing the limitations of data available, in what sectors and to what extent are the targets set in the UNDAF likely to be met?	<p>Proportion of the targets indicated in the results matrix that are on track for being achieved (output level)</p> <p>Perceived or real unintended results</p>	<p>Numerical sources tracking indicator data</p> <p>Programme monitoring and evaluation documentation</p> <p>UN agency representatives</p> <p>UNRCO representatives</p>	<p>Indicator data tracking</p> <p>Document review</p> <p>Interviews</p>

QUESTION	INDICATORS	DATA SOURCES	METHODS
		Programme Management Team members RGC representatives Implementing partners	
<b>3.3</b> How is the level of coherence within different outcomes likely to influence the synergy among components and the achievement of planned results?	Perceptual data on the overall added-value of the UNDAF as separate to the work of agencies alone Evidence that the UNDAF adds to the individual work of the agencies	UNCT representatives UN Agency representatives Members of the theme groups Implementing partners RGC Programme documents	Survey for UN staff Interviews Document review Case study
<b>3.4</b> What role have partnerships with other development actors (bilateral, multilateral, civil society and private) had in achieving results?	Number of joint programmes and programmes undertaken in cooperation with other development actors relative to single agency programmes Perceptual data on strengths and weaknesses of partnerships with other development partners Comparison of the durable commitment to programming by partners in three critically different case studies Evidence (with concrete instances) of novel approaches to partnerships and the results observed	UN agency representatives Members of the theme groups/task forces RGC representatives Implementing partners Programme documents	Document review Interviews Online Survey – partnerships section Case studies
<b>3.5</b> How were the five UN programming principles <sup>74</sup> mainstreamed in the design, implementation and monitoring of UNDAF 2016-2018?	Number of programmes that do not include the five UN programming principles relative to total number of programmes	UN agency representatives UNRCO representatives Programme Management Team members	Document review Interviews UN staff survey Case study

<sup>74</sup> The UN programming principles are: human rights, gender equality, environmental sustainability, capacity building and results based management.

QUESTION	INDICATORS	DATA SOURCES	METHODS
	Evidence of efforts to integrate the five UN programming principles in the UNDAF document and the results framework Perceptual data on degree and efforts of mainstreaming the 5 UN programming principles	Members of the theme groups/task forces UNDAF programme documents	
<b>3.6</b> For each of the outcomes, what factors have positively and negatively affected programme delivery?	Perceptual data on positive/negative factors affecting programme delivery	UN agency representatives	Interviews Staff survey Case studies
<b>EQ4. How efficient is the UNDAF 2016-2018?</b>			
<b>4.1</b> How has the availability of resources impacted the level of UNDAF achievements?	Evidence of measures taken by UNCT to improve coordination at the substantive and operational levels with evidence (or lack of evidence) of impact Perceptions of stakeholders of efficiency of resource allocation Examples where transaction costs were reduced	UN agency representatives UNRCO representatives Programme Management Team RGC representatives Implementing partners UNCT reporting UNCT meeting minutes Budget information UNDAF reporting and evaluation documents	Document review Interviews Case studies Staff survey
<b>4.2</b> Has the UNDAF resulted in cost savings for the individual agencies participating in the process?	Perceived (and real) cost of administering the UNDAF cycle Evidence of joint programming or joint initiatives Evidence of measures taken to reduce costs related to UNDAF programming Level of satisfaction with UNDAF efficiency	UN agency representatives Programme Management Team UNDAF documents	Interviews Survey Document review Cast Studies
<b>EQ5: How sustainable are the results from the two UNDAF cycles?</b>			

QUESTION	INDICATORS	DATA SOURCES	METHODS
<b>5.1</b> To what extent and for what programmes specifically is there sufficient on-going government commitment to UNDAF programmes to make continuation likely?	Degree the RGC has adopted the UNDAF as national government policy  Variation in perceptions of RGC level of UNDAF ownership over time  Variation in RGC level of ownership across outcomes and sectors  Perceptual data on specific areas of the UNDAF that the RGC been reluctant to implement  Number of strategies put in place to ensure the sustainability of results (e.g., long term strategies for capacity development interventions, or exit strategies)	UN agency representatives RGC representatives Implementing partners UN agency programme documents	Document review Interviews Survey – sustainability section Case study
<b>5.2</b> To what extent has the emphasis on partnership (collaboration, capacity building and inclusive delivery approaches) contributed to the sustainability of UNDAF programming and processes?	Comparison of the durable commitment to programming by partners in three case studies	UN agency representatives RGC representatives Implementing partners UN programme documents	Case study Document review Interviews
<b>EQ6: What lessons can be learned from the current UNDAF cycle?</b>			
<b>6.1</b> What are the key lessons learned about the design and implementation of the UNDAF 2016-2018?		All sources	Document review Interviews Case Studies Staff survey
<b>6.2</b> What changes, if any, should be made in the current programming and management of the UNDAF 2016-2018 to support the realization of results?			
<b>6.3</b> What changes, if any, should be made in the current programming and management of the UNDAF 2016-2018 to support the integration/realization of the SDGs?			
<b>6.4</b> What conclusions and recommendations can be drawn for the preparation of the next UNDAF cycle, in terms of relevance, effectiveness, efficiency and sustainability of the UNDAF?			

## Appendix III

### Consulted Documents

#### SELECTED BIBLIOGRAPHY

##### UNITED NATIONS IN CAMBODIA

UNDAF Strategic Workshop, 10-12 August 2009: Summary of group work sessions and discussions. 2009. United Nations in Cambodia.

CCA/UNDAF 2011-2015 Roll out process – Cambodia – Lessons Learnt. October 2009. United Nations in Cambodia.

United Nations Development Assistance Framework 2011-2015. May 2010. United Nations in Cambodia.

UNDAF 2011-2015: 2012 Annual Monitoring Summary. 2012. United Nations in Cambodia.

Sixth Joint Annual Review meeting of the UN Development Assistance Framework: 2012-2013 Annual Monitoring Summary. 2013. United Nations in Cambodia.

Seventh Joint Annual Review Meeting of the UNDAF 2011-2015: 2014 Annual Monitoring Summary. 2014. United Nations in Cambodia.

UNDAF Architecture Presentation. 24 September 2014. United Nations in Cambodia.

UNDAF 2016-2018 Strategic Prioritization Workshop. 27-29 May 2014. United Nations in Cambodia.

UNDAF Road Map: Next Steps: UNCT Meeting. 4 July 2014. United Nations in Cambodia.

Joint Annual Review meeting of the UNDAF 2011-2015: 2015 Annual Monitoring Summary. 2015. United Nations in Cambodia.

United Nations Development Assistance Framework 2016-2018. April 2015. United Nations in Cambodia.

Joint UNDAF Results Report 2016. 2016. United Nations in Cambodia.

UNDAF Consolidated Annual Workplan 2016 Outcome 1. 2016. UN in Cambodia.

UNDAF Consolidated Annual Workplan 2016 Outcome 2. 2016. UN in Cambodia.

UNDAF Consolidated Annual Workplan 2016 Outcome 3. 2016. UN in Cambodia.

Road Map – CCA & UNDAF 2011-2015 – Cambodia. 13 July. UN Country Team in Cambodia.

Nelson Gapare and Try Thuon, Final Evaluation of the UN-REDD Cambodia National Programme Report. June 2015. UNDP, FAO and UNEP.

##### UN DEVELOPMENT GROUP/EVALUATION GROUP

UNEG Ethical Guidelines for Evaluation. March 2008. United Nations Evaluation Group.

UNEG Quality Checklist for Evaluation Reports. 2010. United Nations Evaluation Group.

## SELECTED BIBLIOGRAPHY

United Nations Development Assistance Framework Guidance. 2017. United Nations Development Group.

Norms and Standards for Evaluations. June 2016. United Nations Evaluation Group.

Mainstreaming the 2030 Agenda for Sustainable Development: Reference Guide to UN Country Teams. March 2017. UNDG.

### UNICEF

Country Programme Action Plan 2011-2015. 2011. Royal Government of Cambodia and UNICEF.

UNICEF AYP Evaluation Parts 1 and 2. November 2011. UNICEF.

MRDF Joint Programme Evaluation for Children, Food Security and Nutrition. September 2013. UNICEF.

CDPF Phase 1 Final Report. November 2015. UNICEF.

Evaluation and Learning Brief Upstream Work Ed and Gender Equality. June 2015. UNICEF.

Country Programme Action Plan 2016-2018. 2016. Royal Government of Cambodia and UNICEF.

Results Assessment SMQ Child Protection. 2016. UNICEF.

Results Assessment SMQ Education. 2016. UNICEF.

Results Assessment SMQ Health. 2016. UNICEF.

Final Evaluation Report, CPS Modality (Volume I and II). May 2016. UNICEF.

Evaluation and Learning Brief CFS Evaluation. November 2016. UNICEF.

Capacity Development Partnership Framework, Lessons from Cambodia, Power Point Presentation. February 2017. UNICEF.

Reducing Stunting in Children under Five Years of Age: A Comprehensive Evaluation of UNICEF's Strategies and Programme Performance. Cambodia Case Study. April 2017. UNICEF.

### UNDP

Country Programme Action Plan Between the Royal Government of Cambodia and the United Nations Development Programme 2011-2015. 2011. RGC and UNDP.

Results Orientated Annual Report 2012. 2012. UNDP.

Results Orientated Annual Report 2014. 2014. UNDP.

Changing the World. UNDP Strategic Plan: 2014-2017. 2014. UNDP.

Mid-Term Review of UNDP Country Programme Action Plan for Cambodia, 2011-2015. March 2014. UNDP.

Outcome Evaluation of UNDP Country Programme Action Plan 2011-2015 for Democratic Governance Outcomes. November 2014. UNDP.

## SELECTED BIBLIOGRAPHY

Terminal Evaluation: Strengthening Sustainable Forest Management and Bio-Energy Markets to Promote Environmental Sustainability and to Reduce Greenhouse Gas Emissions in Cambodia. December 2015. UNDP.

Results Orientated Annual Report 2015. 2015. UNDP.

Country Programme Action Plan Between the Royal Government of Cambodia and the United Nations Development Programme 2016-2018. 2016. RGC and UNDP.

Mainstreaming, Accelerator, Policy Support Mission to Cambodia: Summary Report. October 2016. UNDP.

Thematic Poverty Evaluation: Final Report. 10 November 2016. UNDP.

Rapid Integrated Assessment – Cambodia SDG profile. 2016. UNDP.

MAPS Mission to Cambodia, Summary Report. 2016. UNDP.

David Abbott and Sophal Chan, Thematic Poverty Evaluation, Final Report. November 2016. UNDP.

Agreement for the EIF Tier 2 Project: CEDEP II, Cassava Component. 2013. UNDP and UNOPS.

Project Document: EIF Cambodia Tier 2 Project, CEDEP II Cassava Project. 2012. UNDP and UNOPS.

### OHCHR

Role and achievements of the Office of the High Commissioner for Human Rights in assisting the Government and people of Cambodia in the protection of Human Rights: Report of the Secretary-General. 2011. Human Rights Council.

Role and achievements of the Office of the High Commissioner for Human Rights in assisting the Government and people of Cambodia in the protection of Human Rights: Report of the Secretary-General. 2013. Human Rights Council.

Role and achievements of the Office of the High Commissioner for Human Rights in assisting the Government and people of Cambodia in the protection of Human Rights: Report of the Secretary-General. 2015. Human Rights Council.

Role and achievements of the Office of the High Commissioner for Human Rights in assisting the Government and people of Cambodia in the protection of Human Rights: Report of the Secretary-General. 2016. Human Rights Council.

### WHO

Health Sector Analysis: Cambodia Third Health Strategic Plan (HSP3) 2016-2020. February 2015. WHO.

Health Strategic Plan 2016-2020: Effective, quality and equitable health services. June 2016. Department of Planning and Health Information.

Country Cooperation Strategy 2016-2020. 2016. WHO.

### WFP

Country Programme Cambodia 20020 (2011-2016): Executive board Annual Session 6-10 June 2011. WFP.



## SELECTED BIBLIOGRAPHY

Operation Evaluation: A Mid-term Evaluation of WFP's Country Programme 2011-2016: Evaluation Report. June 2014. WFP.

Budget Increases to Development Activities Cambodia Country Programme 20020: Executive Board First Regular Session 8-10 February 2016. January 2016. WFP.

WFP Briefing Kit. Jan 2017. WFP.

### UN Women

Shadow Report: Assessing the Government of Cambodia's Progress in Implementing the Convention on the Elimination of All Forms of Discrimination Against Women. 2013. NGO Committee on CEDAW.

Final Evaluation of Two UN Women Projects. June 2016. UN Women.

Empowering Women Leaders at Sub-National Level in Cambodia (WLSN-2 Programme): Final Programme Evaluation Report. April 2016. UN Women.

### UNFPA

Thematic Evaluation of UNFPA Gender-based violence programme. August 2014. UNFPA.

UNFPA Contribution to D&D Thematic Programme Area Decentralization and Deconcentration Reform Programme. 2014. UNFPA.

Report on the Joint Annual Review Meeting Between the Royal Government of Cambodia and the UNFPA. 8 December 2016. UNFPA.

CP Results Framework Adjustment Summary. 2016. UNFPA.

Krist'I D'haene, Midwifery Program. September 2014. UNFPA Country Office Cambodia.

Em Sovannarith, Family Planning Thematic Evaluation Report. September 2014. UNFPA Cambodia Country Office.

Advocacy for the Allocation of National Budget for Contraceptives, Lessons Learned from Cambodia, Phnom Penh, unpublished paper. UNFPA.

### IFAD

Kingdom of Cambodia, Aide Memoire - Evaluation of Project for Agricultural Development and Economic Empowerment (PADEE) and Scaling up of Renewable Energy Technologies in Cambodia. 2017. IFAD.

### ILO

Arbitration Council: A Case Study, Program Brief. 2017. ILO.

### ECOSOC

Report of the Secretary General: Repositioning the UN development system to deliver on the 2019 Agenda – Ensuring a Better Future for All. June 2017. Economic and Social Council.

### EUROPEAN UNION

European Development Cooperation: Strategy for Cambodia 2014-2018. November 2016. European Union.

## SELECTED BIBLIOGRAPHY

European Development Cooperation for Cambodia 2014-2018, First monitoring report for the period 2014-2015. May 2016. European Union.

### ROYAL GOVERNMENT OF CAMBODIA

Health Strategic Plan 2008-2015: Accountability, efficiency, quality, equity. April 2008. Ministry of Health.

National Strategic Development Plan 2009-2013. 2009. National Government of Cambodia.

Cambodia Socio-Economic Survey. 2012. National institute of Statistics, Ministry of Planning, Royal Government of Cambodia.

Cambodia Socio-Economic Survey. 2013. National institute of Statistics, Ministry of Planning, Royal Government of Cambodia.

National Strategic Development Plan 2014-2018. 2014. Royal Government of Cambodia.

Rectangular Strategy for Growth, Employment, Equity and Efficiency Phase III. 2015. Royal Government of Cambodia.

Cambodia Socio-Economic Survey. 2015. Kingdom of Cambodia.

Health Strategic Plan 2016-2020: Effective, quality and equitable health services. June 2016. Department of Planning and Health Information.

Action Plan 2016-2018 of National Population Policy 2016-2030. December 2016. Royal Government of Cambodia.

Implementation of the National Strategic Development Plan: Mid-term report for 2016. Report prepared by the Ministry of Health and submitted to Ministry of Planning for mid-term review of National Strategic Development Plan 2014-2018.

National Social Protection Policy Framework 2016-2025. 24 March 2017. Royal Government of Cambodia.

Decentralization and De-Concentration, a Management Training Plan (D&D MTP). November 2016. Ministry of Education, Youth and Sports, Royal Government of Cambodia.

National Strategy Plan for Rural Water Supply, Sanitation and Hygiene 2011-2015. 2012. Royal Government of Cambodia.

### OTHERS

Caroline Hughes and Kheang Un, Eds., Cambodia's Economic Transformation, Copenhagen: NIAS Press, 2011.

Dennis Rondinelli, Development Projects as Policy Experiments, An Adaptive Approach to Development Administration, London and New York: Methuen, 1983.

Jenny Pearson, Creative capacity development: learning to adapt in development practice, Sterling Virginia: Kumarian Press, 2011.

Julia Boyle, School Gardens for Improved Nutrition, Cambodia Country Case Study Report, Phnom Penh: FAO, August 2017.

## SELECTED BIBLIOGRAPHY

John David Ciorciari, *Hybrid justice: the extraordinary chambers in the courts of Cambodia*, Ann Arbor, Michigan: University of Michigan Press, 2014.

Simon Springer, *Violent Neoliberalism: Development, Discourse and Dispossession in Cambodia*, New York: Palgrave Macmillan, 2015.

Maya Thomas, *Mid-Term Review of Disability Rights Initiative Cambodia*. May 2016. Department of Foreign Affairs and Trade, Australian Government.

Sann Vathana, *Building not only Cambodian Home, but a Home for Cambodians*, Social Assistance Policy Framework, Power Point presented to the Food Security Forum, 26 July 2016.

The Chronic Poverty Report 2014-2015, Chronic Poverty Advisory Network, London: Overseas Development Institute, 2014.

World Bank, *Cambodia Poverty Assessment 2013*, Washington: World Bank Group.

The Thai Tapioca Trade Association, June 2017.

## Appendix IV

# Interview Protocols

### Interview Protocol for UN Staff

The Universal Management Group Ltd, a Canadian consulting firm, has been contracted to conduct the Evaluation of the Cambodia United Nations Development Assistance Framework (UNDAF) Cycles 2011-2015 and 2016-2018. We are currently in the data collection phase. We are focusing on the effectiveness of the 2011-2015 cycle and on the relevance, effectiveness, efficiency and sustainability of the UNDAF 2016-2018 at mid-term.

The evaluation aims at both accountability and learning. We will be focusing the majority of our questions on the current UNDAF cycle and will focus particularly on collecting the lessons learned from current UNDAF in order to support the development of the next 2019-2023 cycle.

Thank you for your time. Please be assured that all information gathered in interviews will be treated confidentially.

### Questions for Stakeholders

- 1) Please briefly describe your specific position, primary role and responsibilities, history with/ link to UNDAF?
  - a. (If interviewee has been with UN in Cambodia during the 2011-2015 UNDAF cycle)  
To what extent do you believe that the 2011-2015 UNDAF achieved its objectives?  
Can you draw any lessons learned from your experience with the previous UNDAF?
- 2) What are the strengths of the current UNDAF and its design? What are its weaknesses?
  - a. Is it well aligned with the RGC's development priorities?
  - b. Is it flexible enough to respond to the changing context (both in Cambodia, and internationally with the SDGs?)
  - c. Does it adequately address the needs of the most vulnerable groups in Cambodia?
- 3) To what extent do you believe the targets set by the 2016-2018 UNDAF are likely to be met by the end of this cycle?
  - a. Are you using proxy data to track the targets in your outcome/sector?
  - b. Were the targets achievable in the first place?
- 4) What factors have positively and negatively affected these results?

- a. Prompt for external factors (economy, politics, funding environment, data availability), internal factors (funding, partnerships, coordination, etc.)
- 5) How have the five UN programming principles been mainstreamed into the implementation of the UNDAF 2016-2018?
- 6) What is the added value of the UNDAF process to your agency's work?
  - a. Has the process of developing the UNDAF created a clearer division of labor and complementarity among agencies that would not have otherwise occurred?
  - b. Does the UNDAF process make it easier for your agency to learn lessons about what works and what doesn't work?
  - c. Does the value of the UNDAF process outweigh the time and effort required to administer and develop it?
- 7) Has the UNDAF resulted in cost savings for your agency?
- 8) How sustainable are the results of the UNDAF cycles?
  - a. To what extent is there a sufficient Government commitment to the UNDAF's programming?
  - b. Do you believe that the emphasis on partnership has contributed to the sustainability of UNDAF programming and processes?
- 9) Have you identified any lessons from your experience of (developing and) implementing the UNDAF?
- 10) Thinking to the next UNDAF cycle (2019-2023), what recommendations do you have?
  - a. How should the UNDAF be adjusted to integrate the SDGs?
  - b. What changes should be made to the programming of the UNDAF?
  - c. What changes should be made to the process of UNDAF development, implementation and reporting?

Thank you!

## Interview Protocol for Staff of the Royal Government of Cambodia

The Universal Management Group Ltd, a Canadian consulting firm, has been contracted to conduct the Evaluation of the Cambodia United Nations Development Assistance Framework (UNDAF) Cycles 2011-2015 and 2016-2018. We are currently in the data collection phase. We are focusing on the effectiveness of the 2011-2015 cycle and on the relevance, effectiveness, efficiency and sustainability of the UNDAF 2016-2018 at mid-term.

The evaluation aims at both accountability and learning. We will be focusing the majority of our questions on the current UNDAF cycle and will focus particularly on collecting the lessons learned from current UNDAF in order to support the development of the next 2019-2023 cycle.

Thank you for your time. Please be assured that all information gathered in interviews will be treated confidentially.

### Questions for Stakeholders

- 1) Please briefly describe your specific position, primary role and responsibilities, how you participate in the UNDAF programming.
  - a. (If interviewee has been with UN in Cambodia during the 2011-2015 UNDAF cycle)  
To what extent do you believe that the 2011-2015 UNDAF achieved its objectives?  
Can you draw any lessons learned from your experience with the previous UNDAF?
- 2) How would you describe your interactions with your UN partner(s)?
  - a. Does the UNDAF help you engage with the UN system?
  - b. How did you decide on a UN partner to implement the programme with?
  - c. Have you participated in the design of the programmes you are involved in?
- 3) What are the positive aspects about working with the UN? What are the negative aspects?
- 4) What are the strengths of the current UNDAF and its design? What are its weaknesses?
  - a. Is it well aligned with the RGC's development priorities? What about with your Ministry's specific priorities?
- 5) To what extent do you believe the targets set by the 2016-2018 UNDAF are likely to be met by the end of this cycle?
  - a. What factors have positively/negatively affected these results?
  - b. Are you using proxy data to track the targets in your outcome/sector?
- 6) Thinking to the next UNDAF cycle (2019-2023), what recommendations do you have?

Thank you!

## Interview Protocol for Donors

The Universal Management Group Ltd, a Canadian consulting firm, has been contracted to conduct the Evaluation of the Cambodia United Nations Development Assistance Framework (UNDAF) Cycles 2011-2015 and 2016-2018. We are currently in the data collection phase. We are focusing on the effectiveness of the 2011-2015 cycle and on the relevance, effectiveness, efficiency and sustainability of the UNDAF 2016-2018 at mid-term.

The evaluation aims at both accountability and learning. We will be focusing the majority of our questions on the current UNDAF cycle and will focus particularly on collecting the lessons learned from current UNDAF in order to support the development of the next 2019-2023 cycle.

Thank you for your time. Please be assured that all information gathered in interviews will be treated confidentially.

## Questions for Stakeholders

- 1) Please briefly describe your specific position, primary role and responsibilities and your role in the UNDAF programming.
- 2) What have been the positive aspects of funding development programmes through the UNDAF process? What are the less positive aspects?
- 3) From your perspective, what is the comparative advantage of the UN? How do you envisage the role of the UN changing over the next few years as funding decreases and as partners in the ASEAN region become more prominent?
- 4) How have the funding modalities of the UNDAF and the deliver-as-one approach affected the effectiveness of UN funding? Does the UNDAF help you engage with the UN system?
- 5) Are some sectors of the UNDAF's programming more effective than others? Why?
- 6) To what extent do you believe the targets set by the 2016-2018 UNDAF are likely to be met by the end of this cycle?
  - a. What factors have positively/negatively affected these results?
  - b. Are you using proxy data to track the targets in your outcome/sector?
- 7) Thinking to the next UNDAF cycle (2019-2023), what recommendations do you have?

Thank you!



## Interview Protocol for CSOs

The Universal Management Group Ltd, a Canadian consulting firm, has been contracted to conduct the Evaluation of the Cambodia United Nations Development Assistance Framework (UNDAF) Cycles 2011-2015 and 2016-2018. We are currently in the data collection phase. We are focusing on the effectiveness of the 2011-2015 cycle and on the relevance, effectiveness, efficiency and sustainability of the UNDAF 2016-2018 at mid-term.

The evaluation aims at both accountability and learning. We will be focusing the majority of our questions on the current UNDAF cycle and will focus particularly on collecting the lessons learned from current UNDAF in order to support the development of the next 2019-2023 cycle.

Thank you for your time. Please be assured that all information gathered in interviews will be treated confidentially.

### Questions for Stakeholders

- 1) Please briefly describe your specific position, primary role and responsibilities, how you participate in the UNDAF programming.
  - a. How has the programme performed? Has it achieved its objectives?
- 2) How would you describe your interactions with your UN partner(s)?
  - a. Does the UNDAF help you engage with the UN system?
  - b. How did you decide on a UN partner to implement the programme with?
  - c. Have you participated in the design of the programmes you are involved in?
- 3) What are the positive aspects about working with the UN? What are the negative aspects?
- 4) What are the strengths of the current UNDAF and its design? What are its weaknesses?
- 5) To what extent do you believe the targets set by the 2016-2018 UNDAF are likely to be met by the end of this cycle?
- 6) Thinking to the next UNDAF cycle (2019-2023), what recommendations do you have?

Thank you!

## Appendix V

### List of Consulted Stakeholders

MALE	FEMALE
65%	35%

POSITION	ORGANIZATION
<b>UN Agencies</b>	
Country Representative	Food and Agriculture Organization
Operations Coordinator	Food and Agriculture Organization
Researcher, School Gardens Programme	Food and Agriculture Organization
Assistant Representative	Food and Agriculture Organization
Country Programme Officer	International Fund for Agricultural Development
National Coordinator	International Labour Organization
Programme Manager	International Organization for Migration
United Nations Resident Coordinator, Cambodia	Office of the UN Resident Coordinator
UN Coordinator Specialist	Office of the UN Resident Coordinator
Human Rights Officer and Chief, Rule of Law Unit	Office of the High Commission for Human Rights
Deputy Representative	Office of the High Commission for Human Rights
Programme Officer	UN Volunteer with UNHABITAT
Senior Policy Advisor	UNAIDS
Community Mobilization and Networking Advisor,	UNAIDS
Country Director	UNAIDS
Country Programme Manager	UNHABITAT
Regional Technical Advisor, South East Asia and Pacific, Local Development Financial Practice	United Nations Capital Development Fund
Community Development Specialist	United Nations Children's Fund
Education Specialist	United Nations Children's Fund
Education Officer	United Nations Children's Fund
Child Protection Specialist, Alternative Care	United Nations Children's Fund
Child Protection Specialist, Violence Against Children	United Nations Children's Fund

POSITION	ORGANIZATION
Country Representative	United Nations Children's Fund
Evaluation Specialist	United Nations Children's Fund
Chief, Child Survival and Development	United Nations Children's Fund
Chief, Social Policy	United Nations Children's Fund
Education Specialist	United Nations Children's Fund
Education Officer	United Nations Children's Fund
Technical Specialist, Cambodia Climate Change Alliance	United Nations Development Programme
Senior Programme Advisor, Cambodia Climate Change Alliance	United Nations Development Programme
UN Joint Programme Coordinator, Disability Rights Initiative Cambodia	United Nations Development Programme
Senior Policy Advisor	United Nations Development Programme
Oversight Analyst	United Nations Development Programme
Assistant Country Director - Programme	United Nations Development Programme
Programme Analyst, Cassava Project	United Nations Development Programme
National Management Specialist, Cambodia Export Diversification and Expansion Programme II, Cassava Component	United Nations Development Programme
Country Representative	United Nations Educational, Scientific and Cultural Organization
Regional Representative	United Nations Environment Programme
Associate Protection Officer	United Nations High Commission for Refugees
Country Representative	United Nations Industrial Development Organization
Project Manager and Business Development	United Nations Operations
Programme Officer	United Nations Operations
Project Manager and Business Development	United Nations Operations
Deputy Representative	United Nations Population Fund
Local Governance, Monitoring and Evaluation	United Nations Population Fund
Senior Programme Manager	UN Women
Country Representative	UN Women
Deputy Representative	World Food Programme
Representative and Country Director	World Food Programme

POSITION	ORGANIZATION
Vulnerability Programme Coordinator	World Food Programme
National Professional Officer, Disability and Rehabilitation	World Health Organization
Technical Officer, Communicable Diseases	World Health Organization
Consultant on Health Financing	World Health Organization
Senior Programme Officer	World Health Organization
Technical Officer, Water and Sanitation	World Health Organization
Technical Officer	World Health Organization
<b>Donors</b>	
Counsellor, Head of Cooperation	European Union
Project Formulation Adviser (Planning and Coordination)	Japan International Cooperation Agency
Senior Representative	Japan International Cooperation Agency
Senior Programme Officer, Agriculture and Rural Development	Japan International Cooperation Agency
<b>Royal Government of Cambodia</b>	
Deputy Secretary General	Council for the Development of Cambodia
Director of Department	Council for the Development of Cambodia
Programme Manager	General Directorate of Agriculture, Head of EISO FUN Project funded by the Cambodia Climate Change Alliance, Battambang
Deputy Director General, General Department of Sub-National Administration and Finance	Ministry of Economy and Finance
Deputy Director General, SDP Localization	Ministry of Planning
Disability Rights Administration	Ministry of Social Affairs, Veterans and Youth
Director of Welfare for Persons with Disabilities	Ministry of Social Affairs, Veterans and Youth
National Policy Advisor	National Committee for Sub-National Democratic Development
Senior National Policy Advisor	National Committee for Sub-National Democratic Development
Deputy Secretary General	Office of the Council of Ministers
Deputy Director	Province Office of Education, Battambang
Senior Economist	Supreme National Economic Council

POSITION	ORGANIZATION
<b>Non-Government and Civil Society Organizations</b>	
Executive Director	Cooperation Committee for Cambodia
Rehab Programme Manager	EXCEED, Kampong Cchnam
Central Rehab Centre Programme Manager	EXCEED, Kampong Cchnam
Chief	Sampovloun Cassava Association, Battambang
Vice President	Sampovloun Cassava Association, Battambang
Education Management Advisor to the Provincial Office of Education	Volunteer Service Organization, Battambang

# Appendix VI

## Online Survey Questionnaire

### Introduction

In May 2017, Universalialia, a consulting company, was contracted to undertake an Evaluation of the Cambodia United Nations Development Assistance Framework (UNDAF) 2011-2015 and 2016-2018. The main objectives of the evaluation are to: Assess the effectiveness of the 2011-2015 UNDAF in advancing the national development agenda of the Royal Government of Cambodia; Assess the relevance, effectiveness, efficiency and sustainability of the current 2016-2018 UNDAF cycle in terms of both performance and process; Examine how the five UN programming principles have been mainstreamed in the results-based management cycle (design, implementation and M&E) of the UNDAF 2016-2018; Provide actionable strategic and programmatic recommendations to support the development of the UNDAF 2019-2023. This survey is designed to gather perceptions from UN staff on the overall relevance, efficiency and effectiveness of the UNDAF 2016-2018. We request your kind participation in this evaluation through the completion of this survey. It should take 10 minutes to complete. Wherever there is an opportunity for a write-in response, you are encouraged to make reference to a specific activity or project. If for any reason you cannot respond to a question, please select "Don't know". We kindly request that you complete this survey by 14 August 2017. The information you provide will be kept strictly confidential. Responses will be combined through our analysis and reporting so that individual responses are not identifiable to any individual. Thank you!

### Before we start, could you please indicate what is your overall level of knowledge of the UNDAF process and implementation?

If you select "No knowledge" you will **not** be required to complete this survey.

- ☐ No knowledge
- ☐ Reasonable knowledge
- ☐ Very good knowledge

### 1. Background Information

#### 1.1 Which UN Agency do you work for?

- ☐ FAO
- ☐ IAEA
- ☐ IFAD
- ☐ ILO
- ☐ IOM
- ☐ OHCHR
- ☐ RCO
- ☐ UN Women

- ☐ UNAIDS
- ☐ UNHCR
- ☐ UNICEF
- ☐ UNIDO
- ☐ UNOPS
- ☐ WFP
- ☐ WHO
- ☐ UNV
- ☐ UNODC
- ☐ UNDSS
- ☐ ITC
- ☐ ... additional choices...

### 1.2 What is your association with the UNDAF process?

- ☐ Formulation
- ☐ Implementation
- ☐ M&E
- ☐ Resource mobilization
- ☐ Partnership
- ☐ Coordination
- ☐ Other, please specify \_\_\_\_\_

### 1.3 In what capacity do you work for the UN?

- ☐ Programme
- ☐ Finance
- ☐ Administration (including HR)
- ☐ Communication
- ☐ M&E
- ☐ Other, please specify \_\_\_\_\_



### 1.4 How long have you been working with the UN in Cambodia?

- ☐ Less than 1 year
- ☐ Between 1-2 years
- ☐ More than 2 years but less than 5 years
- ☐ More than 5 years

### 1.5 What is your gender?

- ☐ Male
- ☐ Female
- ☐ Prefer not to say

## 2. Questions on UNDAF Relevance

Please select the answer that best reflects your perception of the following statements:

	STRONGLY DISAGREE	DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
2.1 The UNDAF adequately reflected Cambodia national priorities at the time of its formulation	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.2 The UNDAF addresses the needs of the most vulnerable groups in Cambodia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.3 The UNDAF is flexible enough to respond to the changing context in Cambodia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.4 The UNDAF is relevant to the work of my agency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.5 The UNDAF created a clearer division of labor among UN agencies in Cambodia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2.6 The UNDAF created complementarities among UN agencies in Cambodia	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### 2.7 Are there any priority areas that should be added to the next UNDAF?

Please provide 1-2 areas if applicable.

Area 1:

Area 2:

## 2.8 Are there any priority areas that should NOT be included in the next UNDAF?

Please provide 1-2 areas if applicable.

Area 1:

Area 2:

## 3. Questions on UNDAF Effectiveness

Please select the answer that best reflects your perception of the following statements:

	STRONGLY DISAGREE	DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
3.1 The targets for the UNDAF outputs my agency is involved in are realistic	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.2 The targets for the UNDAF outputs my agency is responsible for are on track to be achieved by the end of the 2016-2018 cycle	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.3 The UNDAF has contributed to increased collaboration between UN agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.4 The UNDAF creates a UN system that is more effective than the work of individual agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.5 The UNDAF adequately incorporated human rights as a cross-cutting principle	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.6 The UNDAF adequately incorporated gender equality as a cross-cutting principle	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.7 The UNDAF adequately incorporated environmental sustainability as a cross-cutting principle	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.8 The UNDAF implementation adequately incorporated capacity building as a cross-cutting principle	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3.9 The UNDAF implementation adequately incorporated results based management (RBM) principles	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

### 3.10 What would be the factors that have positively affected the achievement of UNDAF results?

Please provide 1-2 areas if applicable.

Area 1:

Area 2:

### 3.11 What would be the factors that have negatively affected the achievement of UNDAF results?

Please provide 1-2 areas if applicable.

Area 1:

Area 2:

## 4. Questions on UNDAF Efficiency

Please select the answer that best reflects your perception of the following statements:

	STRONGLY DISAGREE	DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
4.1 The UNDAF oversight mechanisms work adequately (i.e., UNCT, OMT, and other governance bodies)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.2 The UNDAF contributed to achieving better synergies among the programmes of the UN agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.3 The UNDAF contributed to a reduction of transaction costs in my agency	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.4 My agency has mobilized enough resources to achieve the UNDAF outcome/output targets we support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.5 The value of the UNDAF process outweighs the effort required to administer it	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.6 Pertinent information on the UNDAF is readily available	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.7 Information sharing on the UNDAF is transparent	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.8 The UNDAF increased the capacity of UN agencies to engage the government on critical UN matters	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**Please rate the following statements based on your Agency's perspective:**

	STRONGLY DISAGREE	DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
4.9 The agency I work for frequently uses the UNDAF document to plan its activities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.10 The agency I work for uses the UNDAF document to plan Joint-Programmes	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4.11 The agency I work for actively communicates with other UN agencies on work related to UNDAF	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**From the perspective of your own agency, how would you rate the partnerships with the following stakeholders throughout the UNDAF implementation:**

	NON-EXISTENT	FAIR	GOOD	DON'T KNOW
Other UN agencies	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Central government	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Decentralized government	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Civil Society Organizations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Private sector	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Bilateral donors	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Multilateral Development Banks	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Communities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## 5. Questions on UNDAF Sustainability

Please rate the following statements based on your Agency's perspective:

	STRONGLY DISAGREE	DISAGREE	AGREE	STRONGLY AGREE	DON'T KNOW
5.1 The UNDAF promotes ownership of UN programmes by the government	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5.2 The UNDAF results are sustainable given the financial resources mobilized so far	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5.3 My agency develops exit strategies to ensure results are sustained over time	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5.4 Building capacities of government institutions will lead to sustainable results	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## 6. Conclusion and Recommendations

**6.1 What changes or recommendations should be made to the current UNDAF programming and management to support the realization of the UNDAF outcomes for the next cycle?**

**6.2 What changes should be made to support the integration of the Sustainable Development Goals for the next cycle?**

**6.3 Are there any additional comments you wish to make for consideration by the evaluation team?**

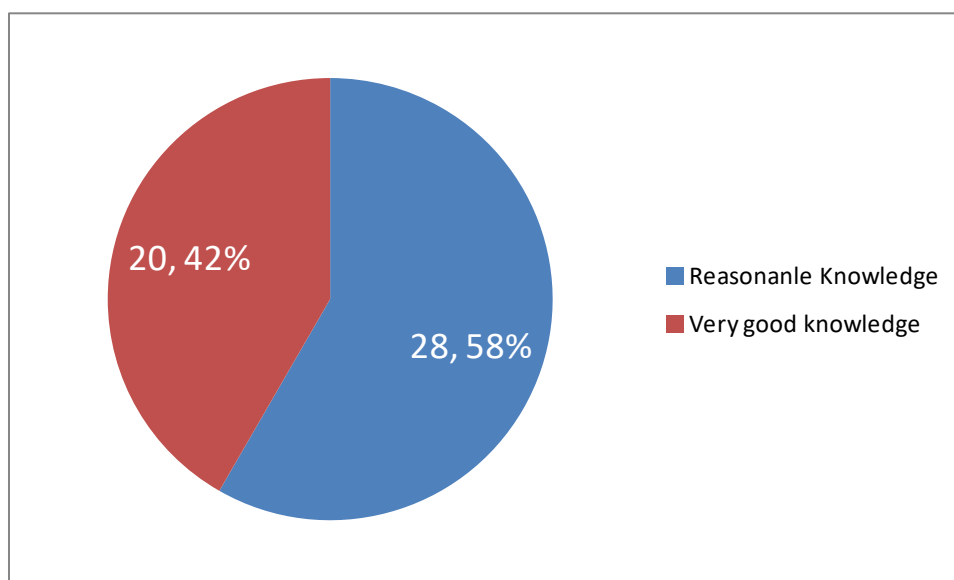
(up to 75 words)

**Thank you for your kind participation!**

## Appendix VII

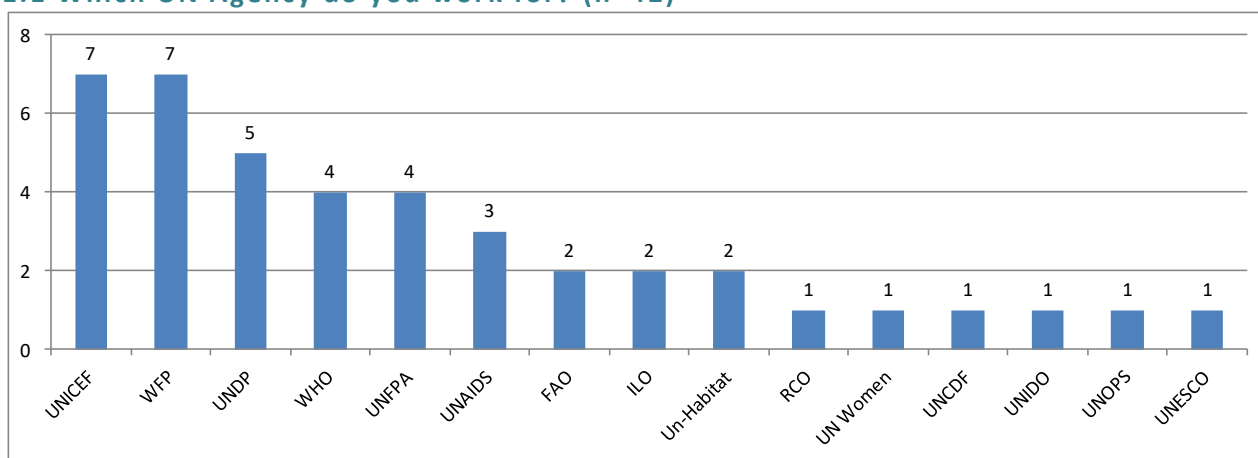
### Results of the Online Survey

What is your overall level of knowledge of the UNDAF process and implementation? (n=48)

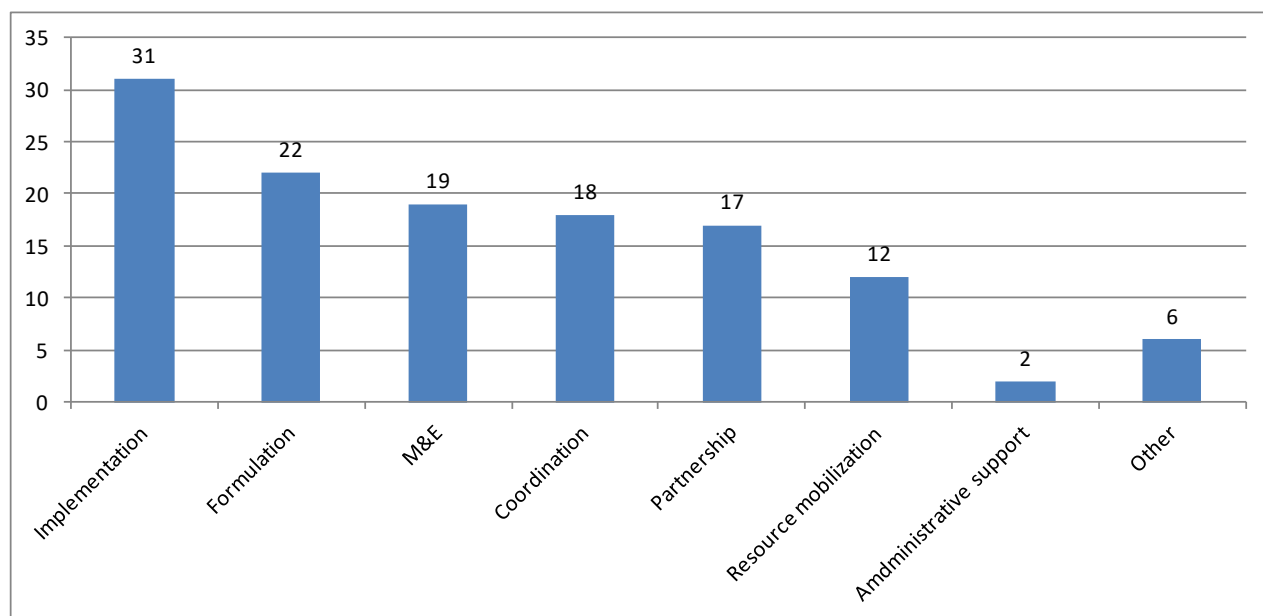


#### 1. Background Information

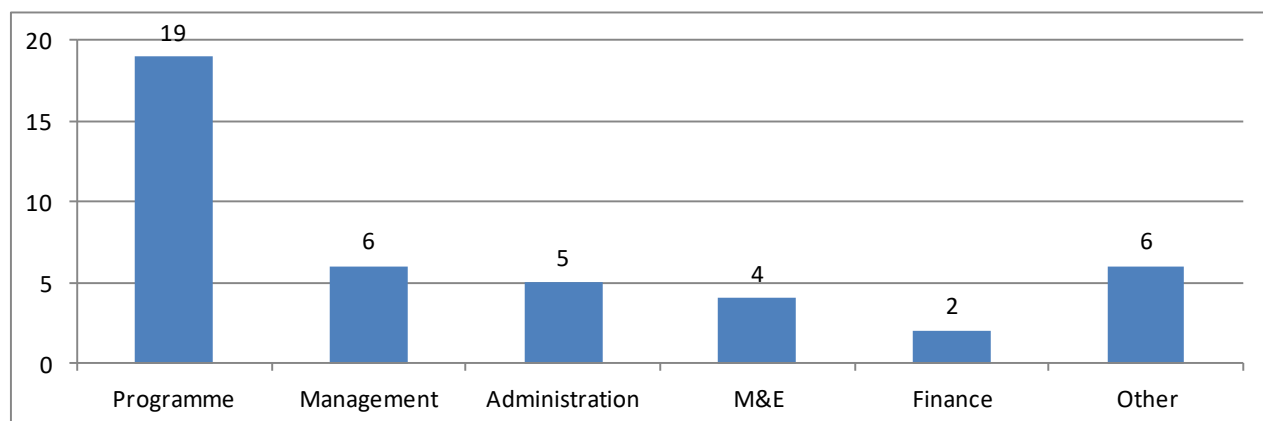
##### 1.1 Which UN Agency do you work for? (n=42)



### 1.2 What is your association with the UNDAF process? (n=42)

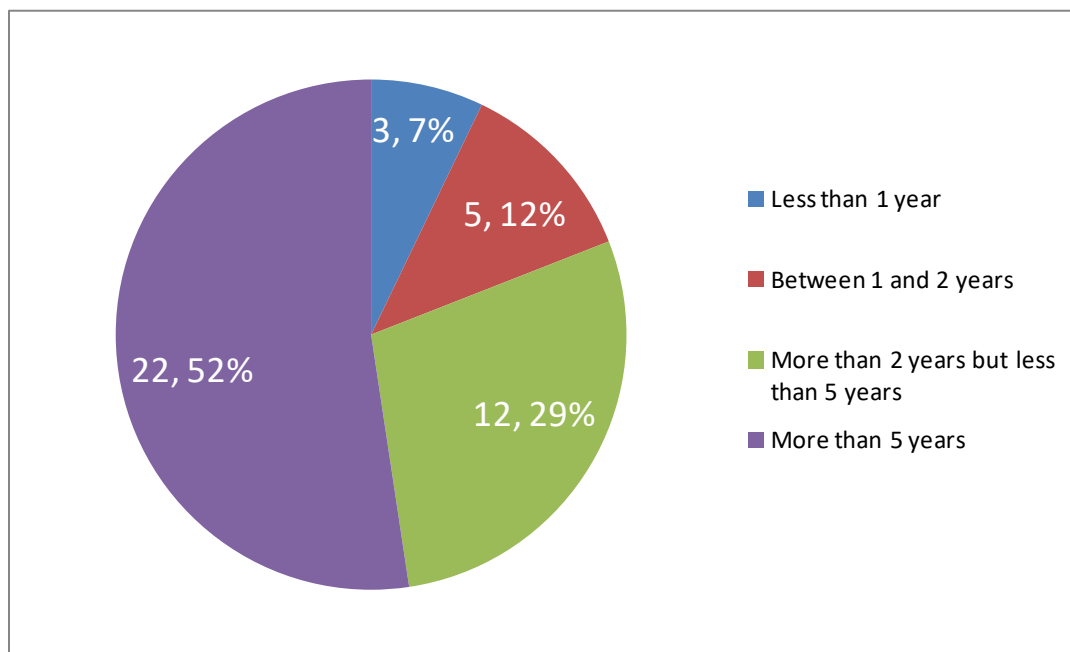


### 1.3 In what capacity do you work for the UN? (n=42)

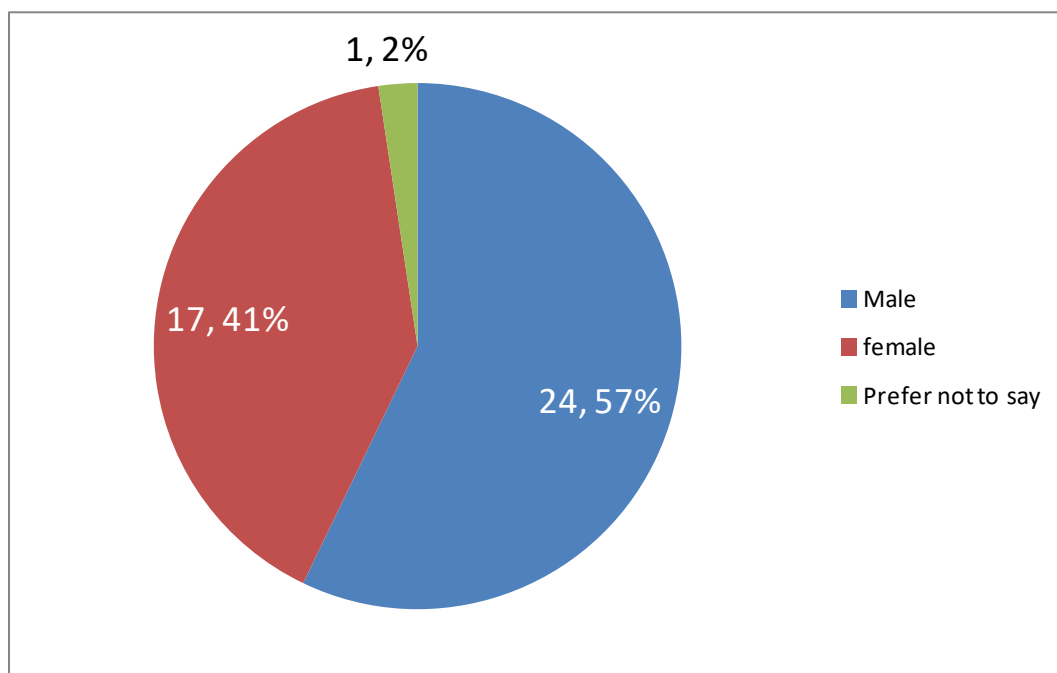




#### 1.4 How long have you been working with the UN in Cambodia?

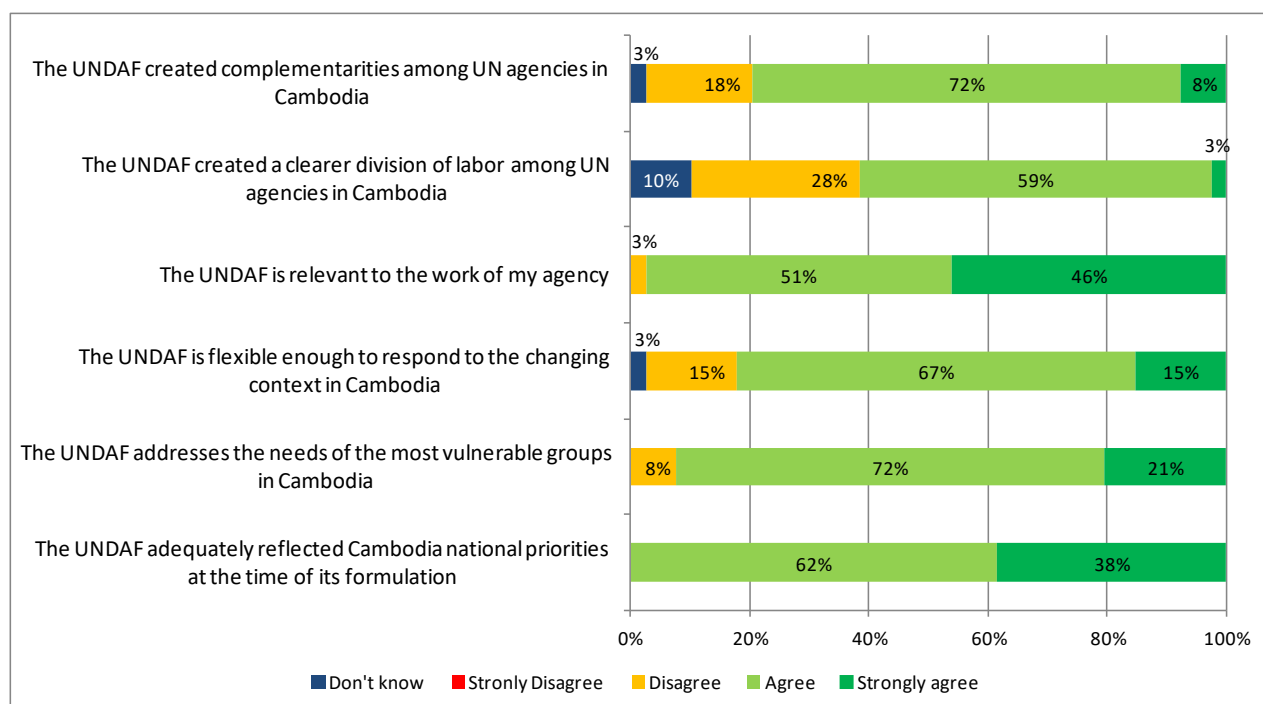


#### 1.5 What is your gender? (n = 44)



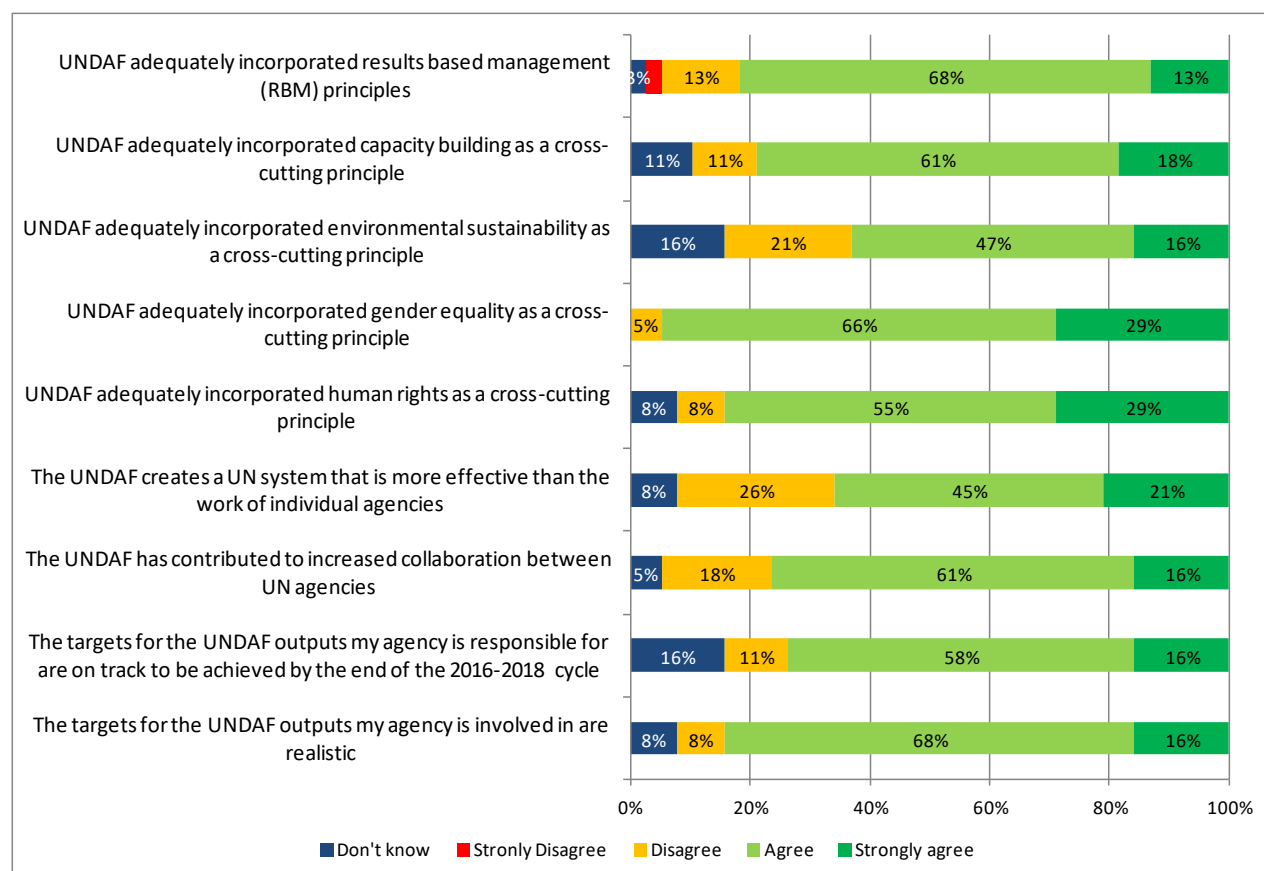
## 2. Questions on UNDAF Relevance

Please select the answer that best reflects your perception of the following statements:



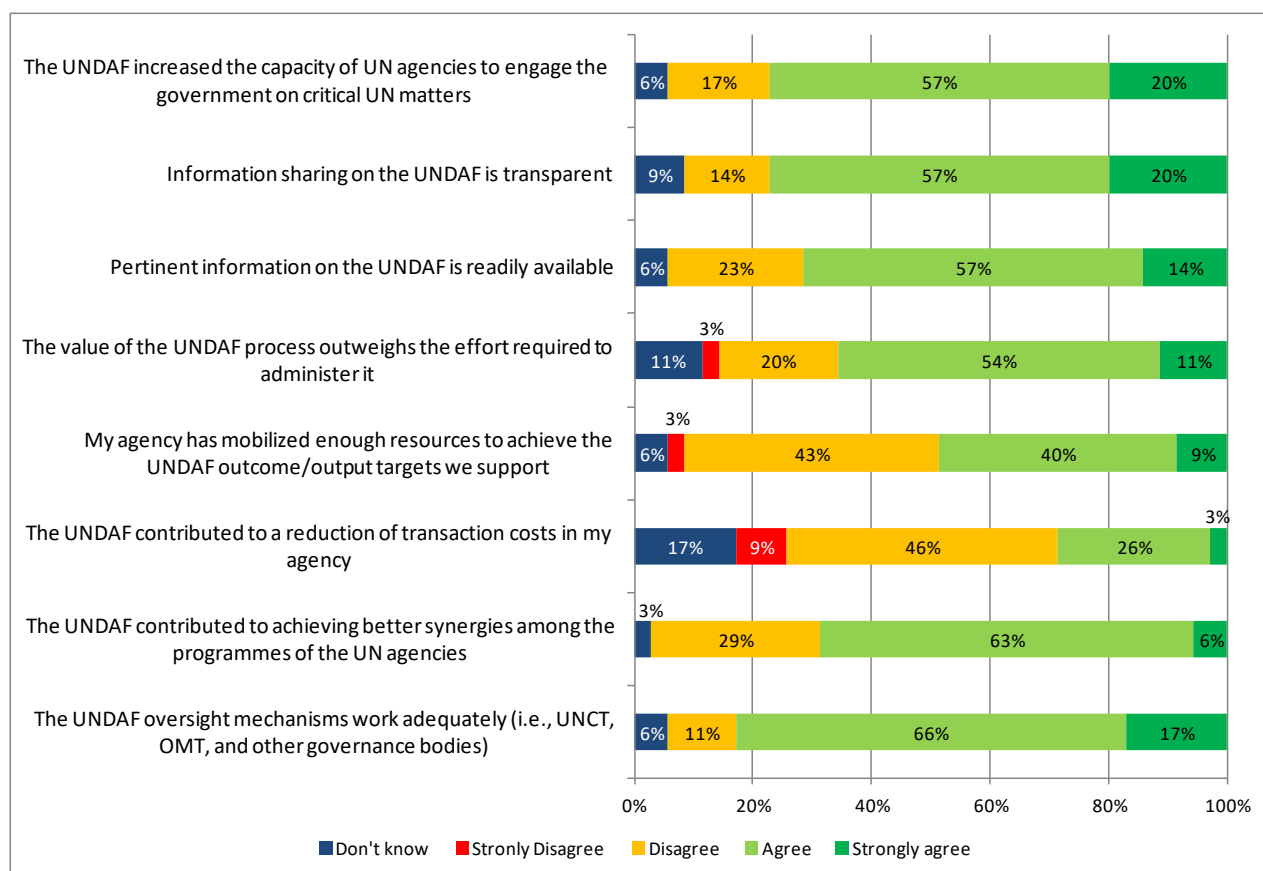
### 3. Questions on UNDAF Effectiveness

Please select the answer that best reflects your perception of the following statements:

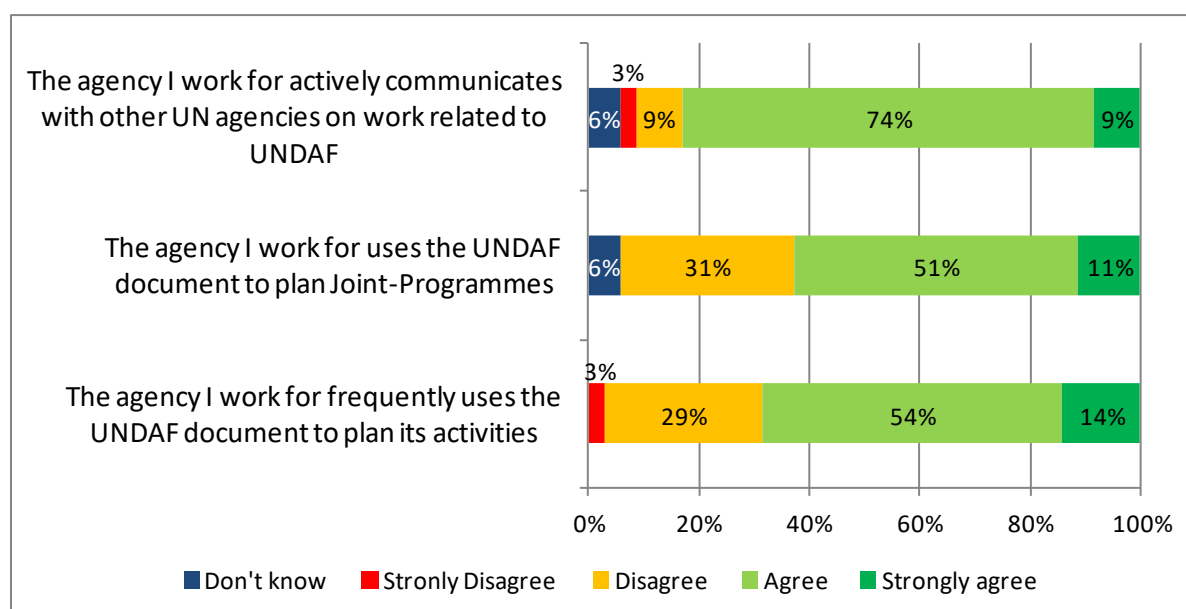


## 4. Questions on UNDAF Efficiency

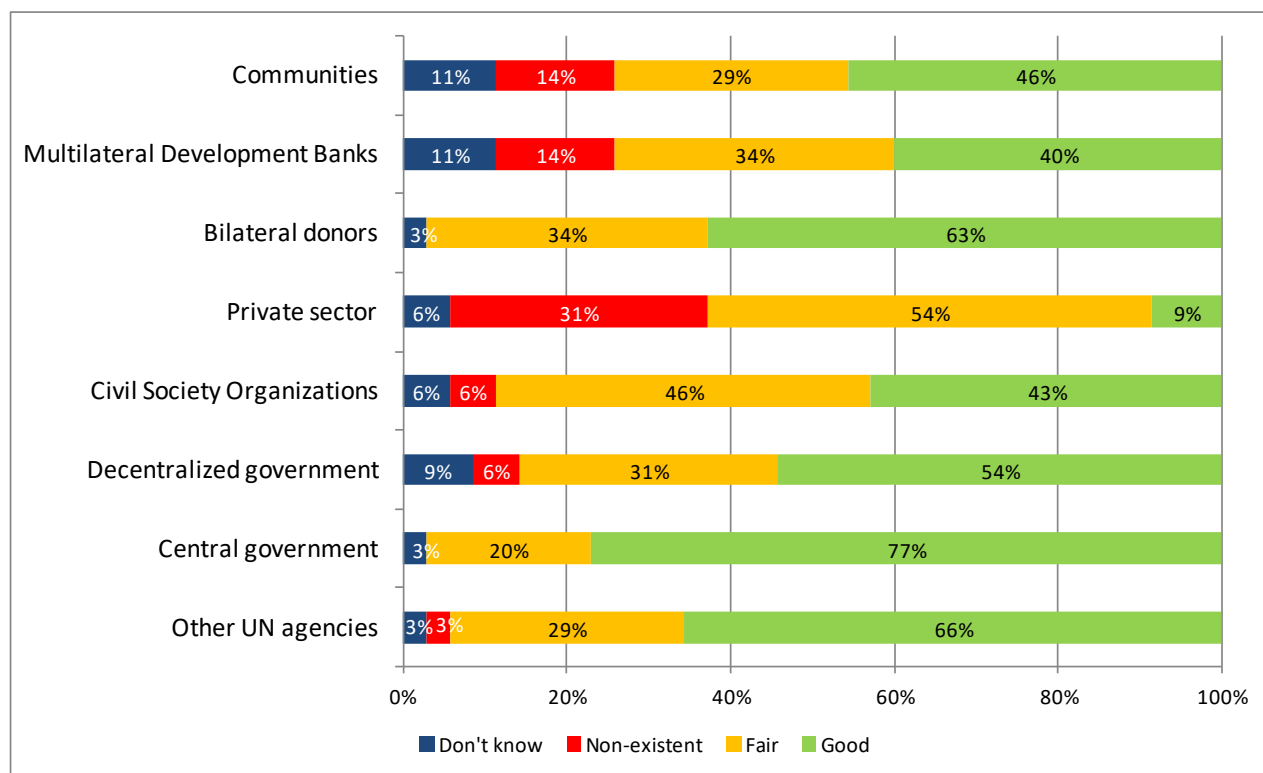
Please select the answer that best reflects your perception of the following statements:



Please rate the following statements based on your Agency's perspective:

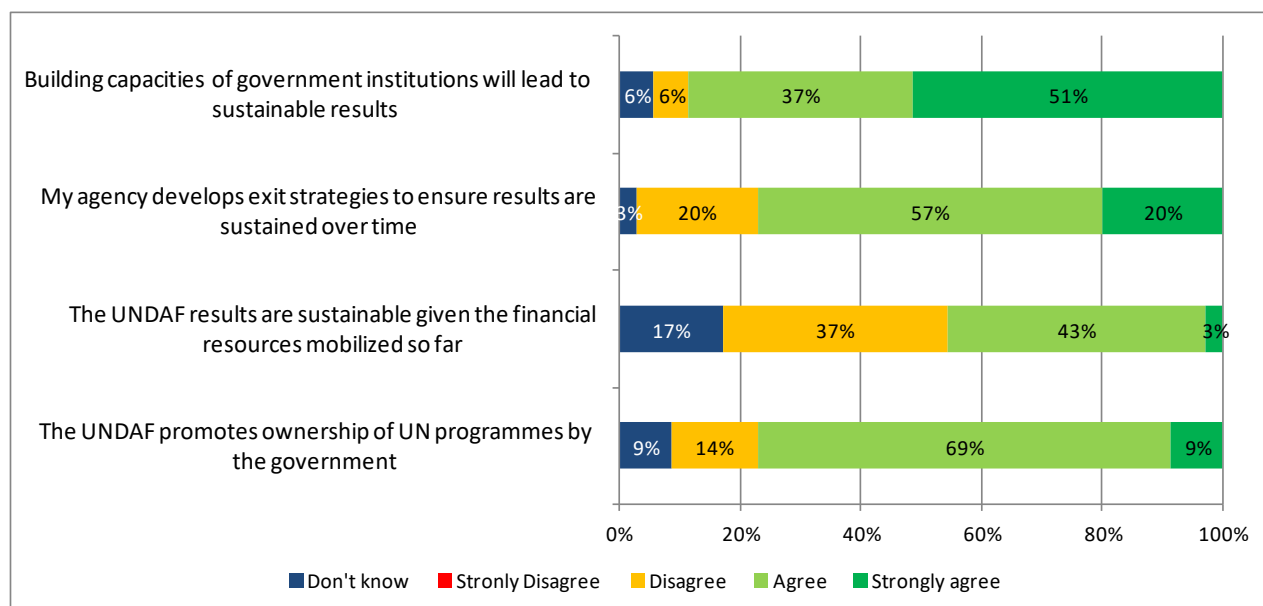


From the perspective of your own agency, how would you rate the partnerships with the following stakeholders throughout the UNDAF implementation?



## 5. Questions on UNDAF Sustainability

Please rate the following statements based on your Agency's perspective:



## Appendix VIII

# Questionnaire administered in person with UN Agencies Representatives

**1. Has the UNDAF been a direct factor in your agency's ability to meet your goals in the results matrix?**

1            2            3            4            5

Could you describe what that role has been?

**2. Has the UNDAF created synergy in a concrete way among agencies' efforts increasing their impact more than would otherwise have been the case?**

1            2            3            4            5

**3. Has the UNDAF increased the capacity to engage the RGC on critical UN matters or intervene on critical issues?**

1            2            3            4            5

**4. Has the UNDAF in a real sense created a division of labour and a complementarity among agencies that would not have occurred had there not been an UNDAF?**

1            2            3            4            5

What other factors have shaped the division of labour... what agencies do?

**5. Has the UNDAF's organization of UN's outcomes and themes given your own programmes greater clarity?**

1            2            3            4            5

**6. Has the UNDAF resulted in cost savings for your agency, in a reduction of transaction costs as a result of participating fully in the process?**

1            2            3            4            5

**7. Have the UNDAF's efforts to have a unified framework increased donors' donor confidence that the UN is willing to work together and increased their funding?**

1            2            3            4            5

**8. Has the cross pollination created by the UNDAF generated innovative ideas for programming?**

1            2            3            4            5

**9. Does the government find it easier to work with the UN given its UNDAF process?**

1            2            3            4            5

**10 Does the UNDAF and the UNDAF process make it easier for the UN to learn lessons about what works and what does not?**

1            2            3            4            5

**11. Does the value of the UNDAF outweigh the time and effort expended in arriving at an UNDAF consensus?**

1            2            3            4            5

## Appendix IX

# Field Visits Report

**Areas Visited:** Kampong Chhnang, Battambang and Siem Reap provinces

**Dates:** 24 to 26 July 2017

**Evaluation Team:** Dr. Jim Freedman, Ms. Mariane Arsenault, Mr. Seng Hong

**Objective of the Field Visit:** to review selected project activities and collect information from local authorities and beneficiaries. The evaluation team visited five projects in three provinces:

- 1) Rehabilitation center in Kampong Chhnang funded by WHO.
- 2) Cassava Market Chain project funded by UNDP.
- 3) Center of Ecological Intensification and Soil Ecosystem Functioning (EISOFUN) project funded by UNDP.
- 4) Provincial Department of Education Youth and Sport funded by UNICEF and UNESCO.
- 5) School garden and school feeding projects funded by FAO and WFP.

### Activities - Day 1:

- On the way to Battambang, the team visited the Rehabilitation Center in the Kampong Chhnang province. The evaluation team was given a tour of the center and discussed the center's operations, funding and the challenges faced by the center with the management team. Two people were met: Mr. Pen Keo, Programme Manager of Rehabilitation Center in Kampong Chhnang, and Mr. Sovann, Programme Manager of Central Rehabilitation Centre.
- The team also visited the Cassava Farm Association and a cassava silo in the Sampovlun district in Battambang to learn more about the cassava market chain issues. The team met with Mr. Nikan, Chairman, and two Vice Chairs of the Cassava Farm Association in Sampovlun, as well as Ms. Yeay Thy, owner of the cassava silo. A visit to a corn and cassava silo was also conducted.

### Activities - Day 2:

- The evaluation team visited the Center of Ecological Intensification and Soil Ecosystem Functioning (EISOFUN) in Ratanakmondul, Battambang. The project is funded by UNDP and implemented by the General Directorate of Agriculture in the Ministry of Agriculture, Forestry and Fishery. The evaluation team learned about soil testing for high-yield farming. The team visited a pilot farm which tested different types of soils and crops to know their potential yield. The team met two people: Mr. Vira Leng and Mr. Thy.



- The evaluation team also met with the Provincial Office of Education of Battambang. Three Deputy Directors were present, together with six technical officers from the Preschool, Primary School, and Non-Formal Education. Mr. Jeremy Magibi, a VSO-Management Advisor to the Provincial Office of Education was also present. The group discussion focused on issues related to early childhood care and education, primary education, non-formal education and the decentralization process.

### Activities - Day 3:

- The team visited the Kaukreal primary school in the Angkor Thom district, Siem Reap. The team learned about the progress and challenges related to school gardens, school feeding, etc. The meeting was attended by Ms. Dymand, a teacher and assistant to the school principal. Two teachers also attended the meeting.

### Detailed Schedule of the Field Visits

#### Day 1, Monday 24 July

- 6:45 Departure from Phnom Penh to Kampong Chhnang
- 8:00 Visit to Physical Rehabilitation Center in Kampong Chhnang, Sisary Kheng:
  - Tour around the center for 20 minutes
  - Meeting management team for 45 minutes
- 9:30 Continue the trip to Ratanak Mondul
- 12:00 Lunch in Battambang
- 2:30 Visit to Cassava Farm Association
- 3:00 Visit to corn and cassava silo
- 5:00 Return to Battambang

#### Day 2, Tuesday 25 July

- 7:00 Departure from Battambang to Ratanak Mondul
- 7:50 Visit to EISOFUN project
- 9:30 Return to Battambang
- 10:00 Meeting with Provincial Department of Education Youth and Sport
- 12:00 Lunch in Battambang
- 1:30 Travel to Siem Reap

#### Day 3, Wednesday 26 July

- 9:00 Departure from Siem Reap to Kaukreal primary school in Angkor Thom district
- 9:30 Visit to Kaukreal primary school in Angkor Thom district
- 12:00 Lunch in Siem Reap
- 1:30 Return to Phnom Penh

## Appendix X

### Sampled Programmes and Projects

PROGRAMME/PROJECT	DURATION	IMPLEMENTING AGENCIES
<b>Outcome 1: Sustainable, Inclusive Growth and Development</b>		
Programme for Agricultural Development and Economic Empowerment (PADEE)	2012-2018	IFAD, FAO
Life and Nature Micro-Water Shed Programme	2015-2018	FAO
Cambodia Export and Diversification Expansion Programme (CEDEP II) Marine Fisheries Component	2015-2018	UNIDA
Cambodia Export and Diversification Expansion Programme (CEDEP II)	2013-2018	UNDP
Better Factories Cambodia	2011-2018	ILO
Clean Start	2015-2018	UNCDF
Ecological Intensification and Soil Ecosystem Functioning (EISOFUN)	2016-2019	UNDP
United Nations Reduction of Emissions from Deforestation and Forest Degradation (UN-REDD)	2011	2015
Support to the National Institute of Statistics	Diverse support over two UNDAFs	UNFPA and FAO
<b>Outcome 2: Social Development, Social Protection and Human Capital</b>		
Capacity Development Partnership Framework (CDPF I and II)	2011-2021	UNICEF
Joint Programme for Children, Food Security and Nutrition in Cambodia	2010-2013	UNICEF, WHO, WFP, ILO, UNESCO
Clean Water Supply, Sanitation and Hygiene	2011- present	WHO and UNICEF
Combating the AIDS Crisis in Cambodia	Varies by each agency's contribution	UNAIDS
Midwifery Programme and Emergency Medical Obstetrics Care (EMOC)	2016-2018	UNFPA
Improved Quality of Family Planning Services	2011-2015	UNFPA
Social Protection Policy Framework	Varies by each agency's contribution	ILO, WHO, UNICEF, WFP
<b>Outcome 3: Governance and Human Rights</b>		

PROGRAMME/PROJECT	DURATION	IMPLEMENTING AGENCIES
Association of Councils Enhanced Service (ACES) preceded by Democratic Decentralized Local Governance (DDLG)	2012-2017	UNDP
Rule of Law – Court Administration	2014-2018	OHCHR
Labour Dispute Resolution Project – Arbitration Council	2003-present	ILO
Empowering Women Leaders at Sub-National levels (WLSN2)	2013-2016	UN Women
Gender-based Violence Programme	2011-2015	UNFPA and WHO
Disability Rights Initiative in Cambodia (DRIC)	2014-2018	UNDP, WHO, UNICEF
Child Protection – Reducing Numbers in Residential Care Facilities	2016-2018	UNICEF

# Appendix XI

## Outcome Assessments

### Outcome 1: Sustainable, Inclusive Growth and Development – Review of Programmes

**1. Title:** *Programme for Agricultural Development and Economic Empowerment (PADEE)*

**Implementing Agency:** IFAD, FAO

**Government Partner:** Ministry of Agriculture

**Duration:** 2012-2018

This is one of a sequence of IFAD programmes that follows a model developed in collaboration with the Ministry of Agriculture, Forestry and Fisheries (MAFF) which has, at its base, supporting groups of farmers in a given area who are designated as poor, setting up revolving funds to build capital, providing training in areas of farm productivity and strengthening extension programmes. Once increased production has been achieved, the collaboration of IFAD and Provincial Departments of Agriculture examine ways of improving market access to secure better and more stable prices for farmers. IFAD's approach in collaboration with MAFF has demonstrated its value in increasing productivity. In more recent programmes, now that productivity has increased, IFAD and MAFF along with the Ministry of Commerce are focusing more on improving value chains to ensure stable market prices for growers. There have been notable improvements in the assets of the participating households and discernible contribution to poverty reduction through crop diversification, income increase and technology adoption rate at more than 50 per cent.<sup>75</sup>

**2. Title:** *Strengthening the adaptive capacity and resilience of rural communities using micro-watershed approaches to climate change and variability to attain sustainable food security in Cambodia*

**Implementing Agency:** FAO

**Government Partners:** Ministry of Environment with the Ministry of Agriculture, Forestry and Fisheries,

**Duration:** 2014-2019

This FAO project looks at the micro-watershed management in order to increase food security. There are four components: (i) policy advice on climate change strategies and related issues; (ii) improving micro-watershed management and use of natural resources; (iii) enhancing agricultural production using climate-smart agriculture through farmer field schools; and (iv) women's empowerment with the establishment of the Women Producer Groups and gender mainstreaming through ensuring women's participation in field schools. The project introduced improved watershed approaches in four targeted areas, taking into consideration the food security of farmers and their approach to natural resource management. It thereby targets food security as well as ecological sustainability. It is an innovative programme working with the Ministry of Environment and the Ministry of Agriculture, Forestry and Fisheries bringing together water, forests and crops under a single programme to increase farmer productivity. In its first two years, the programme has held a number of field schools, introduced

<sup>75</sup> Kingdom of Cambodia, *Aide Memoire - Evaluation of Project for Agricultural Development and Economic Empowerment (PADEE) and Scaling up of Renewable Energy Technologies in Cambodia*, IFAD, July 2017

beneficiaries to the programme orientation and initiated activities to improve care given to the watersheds and the channels on which these farming households depend for water.

Programmes 1 and 2 above seek to improve farm level productivity. The indicator chosen to render account of these contributions to the agriculture sector has been the national level agriculture growth rate. It is a useful measure since upwards of two-thirds of the population in Cambodia live in rural areas, though it does not necessarily measure the impact of these specific programmes. Table 11.1 gives the annual growth rates for 2014 and 2016 and shows that the 2016 growth rate falls short of the target rate of 4%.

**Table 11.1** *Agricultural Sector Annual Growth Rate 2014 and 2016*

	2014	2016	TARGET
Agricultural growth rate	4.29%	2.9%	4%

**Source:** Joint Annual UNDAF Review Meeting 2011-2015.

The falling national growth rate for agriculture provides one perspective on why the agriculture sector does not appear to be contributing to poverty reduction in a significant way. Because of poor yields and poor prospects, members of farm families are leaving their lands for more profitable occupations and leaving crop production in the hands of members who are less capable of increased production. Table 11.2 shows the changing share of total labour force in the three sectors: agriculture, industry and service, over time. Outmigration from farming has proceeded more rapidly than anticipated in the indicator targets.

**Table 11.2** *Proportion of Total Labour Force by Sector 2009-2014*

SECTOR	2009	2014	TARGETS
Agriculture	57.9%	45.3	56%
Industry	15.9	24.3	13%
Service	26.5	30.4	31%

**Source:** Cambodian Social-Economic Survey 2016.

The shift from agriculture to industry and services is markedly greater than the amount targeted by the results matrix indicator. Over a period of five years, the labour force diminished by 7 percentage points while the others grew by impressive margins, showing that a shift from rural to urban sectors is at least one factor in diminishing returns to cultivation. Programmes to enhance agricultural production will need to be more innovative and take into considerations labour shifts and other reasons for declining productivity.

This is not to suggest that outmigration from rural to urban areas has negative consequences. It does not. Outmigration is one of the signs of an economy where urban commerce is growing, contributing positively to the economy and in the process, pulling labour away from rural areas. In Cambodia, however, where a large percentage of the population continues to live in rural areas, enhancing agricultural productivity, even for small farms, must be an on-going concern for poverty reduction.

**3. Title:** *Cambodia Export and Diversification Expansion Programme (CEDEP II) Marine Fisheries Component*

**Implementing agency:** UNIDO

**Government partners:** Ministry of Agriculture, Fisheries and Forestry, and Ministry of Commerce

**Duration:** 2015-2018

One of the challenges of realizing a commodity's export potential is meeting international standards. Cambodia's marine fisheries need technical assistance not only to identify the standards which must be met to ensure access to overseas markets but also to adopt procedures which meet them. UNIDO has initiated an innovative programme to do this, providing consultants and training for marine fisheries exporters in order to meet standards and qualify products for realizing their full export potential. The trainings and consultancies from international professionals should, eventually, expand the markets for seafood products and remove existing obstacles for the Cambodian seafood products being purchased internationally. By strengthening and diversifying exports in select sectors, one key potential impact of the programme is to create jobs and reduce poverty, if only by virtue of the fact the three sectors are labor-intensive and recruit from diverse populations including those from some of the poorest regions of the country.

**4. Title:** *Cambodia Export and Diversification Expansion Programme (CEDEP II). Cassava Component*

**Implementing agency:** UNDP

**Government partner:** Ministry of Commerce

**Duration:** 2013-2018

This programme improves the production and marketing of a number of high value commodities identified as sources of export revenue by the Ministry of Commerce. In a first phase, the programme focused on realizing the marketing potential for high quality milled rice and silk. In a more recent second phase, UNDP, UNIDO and the Ministry of Commerce have focused on the export of marine fisheries products, improving culinary skills in tourist destinations and improving the export potential for cassava. Optimizing export potential is never easy and involves a range of factors, many of which are not within these programmes' control, but the endeavor does lay the groundwork for eventually making these commodities more profitable, not only for farmers (in the case of agricultural products) but also for other sources of export income. Its initial efforts have done more to show the complexity of realizing export potentials than actually increasing export revenue, but there is considerable promise for the long-term.<sup>76</sup>

**5. Title:** *Better Factories Cambodia.*

**Implementing agency:** ILO

**Government partner:** Ministry of Labour and Vocational Training

**Duration:** 2011-2018

This project has improved working conditions in the country's numerous garment factories, which are crucial components of Cambodia's expanding economy, exporting more than USD 6.5 billion worth of goods and employing approximately 600,000 workers, mainly young women from rural areas. It is a continuation of a programme that began in 2001 and grew out of a trade agreement between the US and Cambodia that exchanged higher US import quotas for better working conditions in Cambodia. The quotas expired in 2005 but the project continues and has become increasingly more relevant as the government and the garment industry continue to base their competitiveness on documented compliance with

<sup>76</sup> UNDP and UNOPS, *Agreement for the EIF Tier 2 Project: CEDEP II, Cassava Component*, January 2013

international labour standards.<sup>77</sup> This attracts foreign buyers as they respond to consumers' concern to purchase clothing that is not made in sweatshops.<sup>78</sup>

The results matrix indicator proposed for measuring the individual and combined results of the above three economic growth projects is a national level indicator and not programme level data; it is nevertheless the one suggested and used here. Table 11.3 shows trends in the share of country-wide consumption in the two lowest population quintiles.

**Table 11.3** *Consumption Levels in two Lowest Quintiles: Baseline and Present*

QUINTILE	2013 (BASELINE)	2014	TARGET
Lowest Quintile	10%	9%	17%
Second lowest Quintile	14%	13%	20%

**Source:** Cambodia Socio-Economic Survey 2016.

Although little time has passed since the baseline number given, the trend is toward diminished consumption levels. This would suggest that the targets – 17% for the lowest quintile and 20% for the second lowest – are not realistic for the years concerned.

#### **6. Title:** *Clean Start*

**Implementing Agency:** UNCDF

**Government partners:** Ministry of Commerce and Ministry of Environment

**Duration:** 2015-2018

UNCDF provides start-up capital for small and medium enterprises committed to increasing the viability of alternative energy sources, in this case to a large extent solar energy but also including biogas. UNCDF provides capital in areas that link economic growth with environmental protection including support to government and UN bodies to qualify for accreditation under the Green Climate Fund. These initiatives have a long-term value related both to income growth and reduction of greenhouse gases.

#### **7. Title:** *Ecological Intensification and Soil Ecosystem Functioning (EISOFUN)*

**Implementing agency:** UNDP

**Government partner:** Ministry of Environment

**Additional partners:** Royal University of Agriculture (RUA), Institute of Technology of Cambodia (ITC) and Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD)

**Duration:** 2016-2019

This programme is funded under the UNDP programme, the Cambodia Climate Change Alliance (CCCA). This specific initiative consists primarily of research to show the negative environmental impacts of conventional agriculture, especially conventional plow-based tillage (soil fertility depletion, land degradation, erosion) that fails to maximize the biomass of soils and reduce water loss. With trials in different kinds of soils and in different locations, the programme shows the extent to which non-

<sup>77</sup> It is important to note that the Better Factories project does not cover all of the numerous factories in the garment sector, nor has it improved working conditions for all of the approximately 1 million workers. It has, however, created conditions from which all garments can potentially benefit.

<sup>78</sup> [http://www.oit.org/wcmstp5/groups/public/---asia/---ro-bangkok/documents/publication/wcms\\_bk\\_pb\\_191\\_en.pdf](http://www.oit.org/wcmstp5/groups/public/---asia/---ro-bangkok/documents/publication/wcms_bk_pb_191_en.pdf)

conventional cultivation with a technique known as the Conservation Agricultural Production System (CAPS) approach, does a better job of preserving soil moisture and fertility. It is a first step in disseminating improved farming practices to benefit small holders by improving their soils. This is one of a number of small projects linking agricultural productivity and environment protection, funded through the Cambodia Climate Change Alliance that uses this climate change fund to link environment protection and economic growth. If its results are taken up and disseminated through the Ministry of Agriculture, Fisheries and Forestry, production will increase on lands without further depleting soil fertility.

**8. Title:** *United Nations Reduction of Emissions from Deforestation and Forest Degradation (UN-REDD).*<sup>79</sup>

**Implementing Agency:** UNDP

**Government partner:** Ministry of Environment

**Duration:** 2011-2015

The UN-REDD has sought to lay the foundation for a larger, more intensive approach to protecting forest cover and enhancing carbon capture, essentially to follow the readiness roadmap for the REDD+ which is an expanded REDD including expanded conservation measures, sustainable forest management and a greater effort at enhancing carbon stocks. At the same time, it has its own aspirations to reduce deforestation and to reduce emissions by setting in motion collaboration among key government bodies – Forestry Administration, Fisheries Administration and General Department of Administration for Nature Conservation and Protection – in a joint programme between UNDP, FAO and UNEP. There is a pressing need for this intervention in Cambodia where there is rapid deforestation requiring regulation and increased administrative capacity and particularly greater inter-ministerial coordination. This has been achieved in some measure but for a variety of reasons, not to the degree hoped. The responsible line ministries have their separate interests and they are not always in line with the UN-REDD programme. There is furthermore the problem that is pertinent to this evaluation: “that while the UN agencies are clear on the objective of Delivering-as-One in practice it appears challenging to apply at the programme level because each agency follows its own system especially in relation to funds disbursements, recruitment and goods and services procurement. The feedback from other UN-REDD national programmes evaluations is that working with three agencies creates administrative burdens and coordination challenges.”<sup>80</sup>

Cambodia’s improvement in environment protection – presumed to be relevant to measuring the impact of the above three programmes - is measured nation-wide by the Environment Performance Index (EPI). This index assesses the extent of meeting standards in nine different categories and is expressed as the proportional extent to which these standards have been met. Rankings out of all countries examined are also given. Table 11.4 gives the Environment Performance Index for Cambodia during the period covered by the two UNDAFs. The EPI for Cambodia has increased beyond the target level and its global ranking has improved.

<sup>79</sup> While this description refers to the UN-REDD program which concluded in 2015, its description refers in part to the follow-up the program as well, Forest Carbon Partnership Facility (FCPF) and incorporates views of an evaluation of this program: REDD+ Taskforce Secretariat, *Cambodia REDD+ Forest Carbon Partnership Facility Mid-term Review and Request for Additional Funds*, Forest Carbon Partnership Facility, July 2016

<sup>80</sup> Nelson Gapare and Try Thuon, *Final Evaluation of the UN-REDD Cambodia National Programme Report*, UNDP, FAO and UNEP, June 2015



**Table 11.4** *Environment Performance Index Cambodia 2010 and 2016*

	2010	2016	TARGET
Environment Performance Index: Proportional extent to which standards are met	45.9%	51.4%	35.4
Ranking	148	146	n/a

**Source:** Environment Performance Index: <http://archive.epi.yale.edu/epi/country-rankings>

The Country Policy and Institutional Assessment (CPIA) for environmental sustainability is a World Bank index which measures the extent to which environmental policies foster the protection and sustainable use of natural resources and the management of pollution. It has been proposed for measuring the results of the three-above environment protection programmes. It is a ranking scale between 1 and 6 with 1 being the lowest. The changes in the CPIA between 2005 and 2016 are given in Table 11.5.

**Table 11.5** *CPIA Assessment for Cambodia 2005 and 2016 (ranking between 1 and 6)*

2005	2016	TARGET
2.5	3.0	3.5

**Source:** CPIA Assessment. <http://www.indexmundi.com/facts/cambodia/indicator/IQ.CPA.HRES.XQ>

### **9. Title:** *Support to the National Institute of Statistics*

**Implementing agencies:** UNFPA, WFP and FAO

**Government partner:** National Institute of Statistics

**Duration:** diverse interventions with different durations

A selection of UN agencies – UNFPA, WFP and FAO especially – have contributed human and financial resources to the National Institute of Statistics to compile data for measuring national performance in agricultural reform, health and population trends. FAO has contributed to the first Agricultural Census, recently completed while UNFPA has contributed to the Demography and Health Survey as well as to preparations for the planned population census. WFP has contributed to the development of food security indicators in the Cambodia Socio-Economic Survey in partnerships with the National Institute of Statistics. These are critical functions. The National Institute of Statistics, while performing basic functions, is very much in need of continued support if it is to adequately inform the new National Strategic Development Plan 2019 – 2023. Just as important, a much greater capacity will be needed from the National Institute of Statistics if Cambodia is to keep track of the country's performance against the Sustainable Development Goals, which the government has said it will incorporate in the upcoming NSDP. The downward trend in financing prospects from UN agencies and the need for UN agencies to make critical choices suggest that the UN's continuing contribution to assisting this function may be in jeopardy.

## Outcome 2: Social Development, Social Protection and Human Capital - Review of Programmes

### 1. Title: *Capacity Development Partnership Fund (CDPF I and II)*

**Implementing agency:** UNICEF

**Government partners:** Ministry of Education, Youth and Sport

**Duration:** Phase I (2011-13), Phase II with 2014 Extension, (2015-2016), Phase II with 2017 Extension, Phase III Planning (2018-2021)

The CDPF is a multi-donor fund, now in its second phase, which was set up as an immediate response of MOEYS, UNICEF, the European Union (EU) and Swedish International Development Agency (SIDA) to promote a more coherent approach toward the establishment and start-up of the Ministry's Capacity Development Master Plan 2011-2015 (and later CDMP 2014-2018). The CDPF was implemented over two phases: 2011-2014 and 2015-2017. The Fund is mandated to provide flexible, responsive budget and technical support to improve the quality, relevance and accessibility of the education provided to children and their families. In terms of content, the CDPF focuses on service delivery including evidence-based policy formulation, comprehensive planning, competent leadership, coherent management, and consistent utilization-focused monitoring. In terms of target, its focus is system-wide including individuals, organizational settings, delivery mechanisms and policy and programme structures at national, provincial, district and school levels.

The national reach of the CDPF in Phase I covered the following organizations and target groups:

- MOEYS, central level, including all its 12 technical departments
- National level institutions linked to MOEYS: particularly National Institute of Education (NIE) and the Education Research Council (ERC);
- POEs in all 25 provinces;
- DOEs in all districts of these provinces;
- Primary schools (and pre-schools attached to primary schools) under the direct control of MOEYS and all lower and higher secondary schools in the countries (and the school directors and teachers in these schools);
- All pupils in these schools and their care-givers;
- District Training and Monitoring Teams (DTMTs), School Support Committees (SSCs), students' councils, girls' councils at schools.

The national reach of CDPF in Phase II was more or less equal to that in Phase I. The CDPF supported the MOEYS at the national and sub-national level in all provinces and districts of the nation. The contract with VSO allowed UNICEF and MOEYS to continue to cooperate in a total of 10 provinces (on average working at POE level and in two districts per province) as was done in Phase I. However, in 2016 some changes were introduced. The work in Kampong Thom province was phased out while activities were started up in a new province, i.e., Tbung Khmun. The programme was then started in four provinces in 2017: Kampong Speu, Pursat, Koh Kong and Siem Reap that started. The total number of VSO provinces currently is 14 and throughout the entire programme period, 15 provinces were reached.

A recent assessment of the CDPF, presently in progress, has observed in its preliminary findings that "the CDPF has been generally effective in planning and programming thanks to a strong commitment and clear guidance by MOEYS and a well-performing Steering Committee of the Fund. The ownership of MOEYS has

ensured that at the national level there is a clear commitment to implementing CDPF funded activities.” This is perhaps less clear at the sub-national level. The evaluators also observed that “capacity development at the local level still is a challenge with respect to both depth and reach of change”.

The sustainability of CDPF interventions has been identified as a challenge in the previous evaluation of CDPF Phase I and in the EU-ROM of 2016. The CDPF Phase III, which is currently under preparation, is expected to be the final phase of the Fund. For this reason, the conditions for sustainability and possible exit and transfer strategies will receive consistent and significant attention throughout the evaluation.

This is a Fund, however, which, despite these challenges, responds to a need strongly endorsed by the MOEYS and also an intervention likely to have far reaching consequences for pro-poor growth if it succeeds in improving the ability of schools to retain students and provide them with skills that prepare them to contribute to a growing economy.

**Table 11.6** *Enrolment Rate in Lower Secondary School 2012-13 – 2015-16*

	2012-13	2015-16	TARGETS
Overall	53.6	55.5	unspecified
Females	54.2	57.1	unspecified

**Source:** Education Congress Data 2016-2017.

**2. Title:** *Joint Programme for Children, Food Security and Nutrition in Cambodia*<sup>81</sup> and *follow-up to this programme ending in 2013*

**Implementing agencies:** UNICEF, WHO, FAO, WFP, ILO, UNESCO

**Government partners:** Ministry of Health, Council for Agriculture and Rural Development, Ministry of Agriculture, Fisheries and Forestry

**Duration:** 2010-2013

The targets given in the results matrix for reducing height-for-age malnutrition (stunting) appear to have been met in the two provinces that have been singled out. However, and despite a number of agencies engaged in reducing persistent stunting from a number of angles, stunting continues at a relatively high level with a prevalence of 32 per cent in children under 5.

**Table 11.7** *Percent of Stunting in Children Under Five – 2000 and 2014*

2000	2014	TARGET
50	Nationwide: 32	not specified
n/a	Mondul Kiri: 44.3	44
n/a	Phnom Penh: 17.3	20

**Source:** Demographic Health Survey 2014.

<sup>81</sup> UNICEF, *Joint Program for Children Food Security and Nutrition in Cambodia, Final Program Evaluation, September 2013*.

The percentage of under-five stunting dropped significantly as the poverty headcount dropped over the last decade and this is demonstrated in Table 11.7. But after falling to approximately a third of all children under five, the numbers have persisted despite rising incomes in families previously under the poverty line, suggesting that while this is a result of depressed incomes it is also a result of entrenched food and hygiene habits. WFP supports school feeding programmes. FAO has introduced school gardens in a number of participating schools where children learn about proper eating through growing food as part of the primary grade curriculum. While both of these, separately and in combination, may be long-term solutions, they are not suitable for the short term. UNICEF has worked closely with the MEF to reform the budgeting process to direct funding to specific programmes, in this case child nutrition; the MEF has agreed to make explicit provisions in the budget for the MOH to allocate USD 250,000 to child nutrition. All of these are welcome, and this amalgam of initiatives would benefit from being institutionalized in a joint programme. Such a joint programme was in fact proposed to donors but the joint submission from four agencies was not successful and funding was not provided. At present, there appear to be only minimal prospects for reducing these high levels of stunting as the programmes have limited coverage, the government's commitment in principle to include therapeutic foods in its budget has yet to be implemented and donors are not prepared to support collaboration among agencies. This inevitably casts doubt on the sustainability of the present efforts to reduce malnutrition.

### **3. Title:** *Clean Water Supply, Sanitation and Hygiene*

**Implementing agencies:** WHO and UNICEF

**Government partners:** Ministry of Health, Council for Agriculture and Rural Development

**Duration:** Water, Sanitation and Hygiene (WASH) initiatives include a number of interventions undertaken between 2011 and the present.

WHO and UNICEF are implementing the Government's national plans for improving water supply and sanitation in different ways. UNICEF is working in rural communities establishing 'water kiosks' where private water suppliers bring clean water to be bottled by NGOs and sold at nominal fees to residents. At present, while USAID manages the bulk of the water kiosk programme, UNICEF manages approximately 20 kiosks and monitors the rest. The institutional set up of this project is reportedly fragmented between ministries and commune councils. WHO works primarily at a national level, joining with UNICEF in a Joint Monitoring Programme for water and sanitation, implementing the Environment Health Programme of which water and sanitation constitute a small part. WHO's diverse efforts are primarily supportive of existing government programmes whose implementation and funding depend on political will within government; they have the potential for impact and sustainability if they are anchored in on-going government institutions and receive on-going financial support.<sup>82</sup> At present, for the UNICEF programme to have significantly greater impact requires greater diligence from the NGOs overseers. And for the WHO support of government policy development to impact households, they need more resources and political will for implementation. There is modest progress on WASH indicators (see Table 11.8) though it is difficult to link this with the UN interventions. No targets for safe water supply were provided in the results matrix.

---

<sup>82</sup> Government of Cambodia, *National Strategy Plan for Rural Water Supply, Sanitation and Hygiene 2011-2015*, 2012.

**Table 11.8** *Percent of Households having Improved Water and Sanitation Facilities, Rural and Urban 2010 and 2015*

	2010	2015	TARGETS
<b>Water</b>			
Rural	53	59	Not specified
Urban	N/A	83	Not specified
<b>Sanitation</b>			
Rural	24	53	60 (nationwide)
Urban	N/A	92	

**Sources:** WHO/UNICEF Joint Monitoring Programme 2015; Cambodia Socio-Economic Survey 2015; Government of Cambodia, National Strategy Plan for Rural Water Supply, Sanitation and Hygiene 2011-2015, 2012.

**4. Title:** *Combating the AIDS Crisis in Cambodia*

**Implementing partner:** UNAIDS

**Government partners:** National AIDS Authority

**Duration:** Varies with each participating agency's programmes

The Joint Team on HIV/AIDS is one of the longer standing joint UN programmes in Cambodia. Led by UNAIDS, it coordinates efforts of ILO, IOM, UNDP, UNESCO, UNFPA, UNICEF, UNODC, UNV, UN Women, WHO, and WFP to ensure effective and efficient support to the national AIDS response. The result of the Joint Team on HIV/AIDS support to the national AIDS programme yield impressive results: HIV prevalence among general population has decreased from 1.7 in 1998 to 0.6% in 2016; Cambodia has attained the highest ART coverage and achieved the viral suppression target in the region with 80% of all people living with HIV on antiretroviral treatment. In addition, 80% of all people living with HIV were virally suppressed at the end of 2016. Table 11.9 reflects the national efforts to significantly increase the treatment coverage among pregnant women living with HIV in the last six years, and to eliminate mother to child transmission.

Cambodia HIV epidemic remains concentrated among key populations, including female sex workers [entertainment workers], gay men and other men who have sex with men (MSM), people who inject drugs (PWID) and transgender people. In 2016 there were an estimated 34,000 female entertainment workers with HIV prevalence of 3.2%; HIV prevalence has slightly increased among MSM from 2.2% in 2010 to 2.3 % in 2014. In 2012 there were estimated 1,300 PWID with HIV prevalence as high as 24.8%. Of the estimated 3,000 transgender people, 5.9% are living with HIV in 2016.

**Table 11.9** *Proportion of HIV Pregnant Women Receiving Mother to Child Prevention Services*

2010	2015
34%	75%

**Source:** UNAIDS Data 2017 report (Cambodia fact sheet, page 82).

[http://www.unaids.org/en/resources/documents/2017/2017\\_data\\_book](http://www.unaids.org/en/resources/documents/2017/2017_data_book)

There have been ample budgets for HIV programming across all agencies in the past. This is now changing. The UNFPA budget for addressing the HIV epidemic among sex workers has been eliminated. UNICEF's position for a staff member dedicated to HIV/AIDS has been cut. UNAIDS expects to maintain its presence in Cambodia over the coming period, but with significantly reduced budget. The AIDS response in Cambodia is largely funded by external support (from USD 46.9 million spent in 2015, only 17% came from domestic source<sup>83</sup>), and funding from the two key donors, the Global Fund and PEPFAR, is projected to substantially decrease in the coming years. The likelihood of a resurgence of new HIV infections is a possibility, as all prevention activities, including community engagement and care services, are primarily funded by the Global Fund and PEPFAR. The next UNDAF will be confronted with the challenge of supporting national efforts to sustain and increase efforts in rapidly shrinking financial resources, including a decrease of UNDAIS human and financial resources and its cosponsors.

### **5. Title:** *Midwifery Programme and Emergency Medical Obstetrics Care (EMOC)*

**Implementing agency:** UNFPA

**Government partner:** Ministry of Health

**Duration:** 2016-2018

UNFPA has been providing technical and financial support to the Ministry of Health to improve aspects of midwifery beginning with the first UNFPA programme cycle to the fifth, i.e., the present one (2016-18). The midwifery/EMOC programmes seek to ensure that women giving birth have access to health practitioners who know how to respond in all cases whether in normal or emergency deliveries. UNFPA has supported the provision of training to midwives<sup>84</sup> on how to provide the most commonly needed life-saving care such as hemorrhaging and post-birth ailments. Doctors in the most widely attended hospital in a province, who may have no obstetrics training, are taught how to do a C-Section and nurses are given enough training to provide anesthetist services for the procedure. This has significantly increased the availability of skilled personnel attending births as indicated in Table 11.10.

**Table 11.10** *Attendance at Birth 2010 and 2014 (per cent of all births)*

2010	2014	TARGET
71	89	91

**Source:** Demographic Health Survey 2014.

The training has been completed for all provinces. While there may be other factors contributing to the drop in maternal mortality, this cohort of trained emergency personnel has been a major factor in the reduction in maternal deaths as indicated in Table 11.11.

<sup>83</sup> UNAIDS Fact Sheet Cambodia 2017.

<sup>84</sup> Krist'li D'haene, *Midwifery Program*, UNFPA Country Office Cambodia, September 2014

**Table 11.11** *Maternal Mortality Ratio – 2005, 2010 and 2014 (maternal mortality ratio per 100 000 live births)*

2005	2010	2014
472	206	170

**Source:** Demographic Health Survey 2014.

**6. Title:** Integrating family planning into HIV/AIDS services among entertainment workers

**Implementing agency:** UNFPA

**Government partners:** Ministry of Health, National Maternal and Child Health Centre

**Duration:** 2011-2015

The provision of family planning services by UNFPA during the 2011-15 UNDAF has been succeeded by an Adolescent Reproductive Health programme in the 2016-18 UNDAF. Together, they have increased the level of contraceptive use nation-wide and increased the quality of reproductive services that are available. In addition, the Health Equity Fund administered by the Ministry of Health with advice from WHO provides a modest payment to clients of reproductive services and UNFPA has impressively succeeded in advocating for a national budget line to support the government's purchase of contraceptives. Additional benefits have been to strengthen the Contraceptive Security Working Group (CSWP) in a continuation of the initiatives undertaken as part of this programme and to introduce the provision of some of these services by sub-national entities thereby supporting the transfer of functions to sub-national bodies.<sup>85</sup> Table 11.12 shows the extent to which the UNFPA programme has contributed to increased contraceptive prevalence.

**Table 11.12** *Contraceptive Prevalence Rate – 2010 and 2014 (per cent of total married women using any modern method - pill, IUD, sterilization)*

2010	2014	TARGET
51	56	46

**Source:** Demographic Health Survey 2014.

**7. Title:** *Social Protection Policy Framework.*

**Implementing agencies:** ILO, WHO, UNICEF, WFP

**Government partner:** Council for Agriculture and Rural Development, Ministry of Economy and Finance

**Duration:** Varies with each participating agency's programmes

The *Social Protection Policy Framework* is a government-prepared framework for the implementation of an encompassing social insurance and social protection plan. Some of the UN Agency and their programmes which have contributed to the elaboration of this framework over the past few years are:

- 1) ILO: Technical support in the establishment of the National Social Security fund, in employment injury insurance, social health insurance, maternal and sick leave and preparations for old age pensions;

<sup>85</sup> Em Sovannarith, *Family Planning Thematic Evaluation Report*, UNFPA Cambodia Country Office, September 2014



- 2) WHO in collaboration with GTZ and the World Bank: Health Equity Fund for individuals registered as IDPoor Level 1;
- 3) UNICEF: Advocacy for extending social assistance to vulnerable populations and piloting a conditional cash transfer for pregnant women and children with Council for Agriculture and Rural Development;
- 4) WFP: School Feeding and Primary scholarships for vulnerable children.

This is not a single programme with a set of partners or an agreed upon set of results to achieve. It is rather separate strands of an evolution converging toward the emergence of a scheme that combines social security and health plans for contributors as well as welfare provisions for the poor who do not contribute but need social protection. The programmes are separate but their convergence is not by accident. The agencies have worked closely together with government advocates in the Technical Working Group for Social Protection. The government has taken inspiration and direction from these agencies as it pursues the formation of a comprehensive social protection plan. These agencies are furthermore acutely aware of each other's programmes and also of their common goal to create one of the most important foundation blocks for eliminating poverty. This convergence is a successful demonstration of how separate agencies can fruitfully collaborate by ensuring that their individual expertise areas each have their separate niches. At the same time, these niches, when combined, yield something greater than the sum of its parts. Indicators for measuring this success – including those included in the results matrix – are not very practical at this stage since a comprehensive social protection plan is still at the planning stage. Table 11.13 nevertheless provides a perspective on progress in the area of social insurance for individuals employed in the formal labour force.

A social protection system for Cambodia began a decade ago with the initial involvement of ILO. There was first the establishment of the National Social Security Fund, an autonomous government entity in which workers and employers have equal representation. Subsequently, CARD led the development of a National Strategy for Social Protection between 2011 and 2015 focusing on non-contributory for vulnerable populations. In 2015 the MEF undertook to reform the government subsidized social security scheme for civil servants and, subsequently with the engagement of UNIEF, ILO and other partners, this initiative was expanded to include a national policy which encompassed contributory and non-contributory targets for the population as a whole. ILO and UNICEF have collaborated intensively building institutional capacity and providing support for the further elaboration of the policy.

**Table 11.13** *Proportion of Employed Labour Force Benefitting from Social Insurance*

2010	2017	TARGET
0	16%	Health 30%
		Education 21%

**Source:** Personal communication with ILO.

#### **8. Title:** *Early Essential Newborn Care (EENC)*

**Implementing agency:** WHO

**Government partner:** Ministry of Health

**Duration:** 2011-2017



WHO has been providing technical support to Cambodia in achieving reduction of child mortality, a goal of MDGs and a core indicator for health system performance of a country. Early Essential Newborn Care (EENC) is a package of evidence-based and cost-effective interventions to guide health professionals in prevention of newborn deaths. Reducing newborn deaths is critical as 51% of under-5 child deaths occur during this period.

With WHO support, the Government of Cambodia introduced a main component of EENC in health facilities in Kampong Cham province in mid-2011. Then it has been widely scaled up to whole country by the National Maternal and Child Health Center, Ministry of Health with support from WHO and health partners. EENC has well contributed to the reduction of neonatal and child mortality. Neonatal mortality rate decreased from 27 to 18 per 1000 live births in 2010 and 2014 respectively as indicated in Table 11.14.

**Table 11.14 Neonatal Mortality Rate in 2010 and 2014 (per 1,000 live births)**

2010	2014	TARGET 2015
27	18	22

**Source:** Demographic Health Survey 2010 and 2014.

To ensure the sustainability of the EENC implementation in Cambodia, WHO supported the establishment of the Technical Working Group for Newborn Care and Integrated Management of Childhood Illness (IMCI) in 2014. We now assist the Ministry of Health to introduce quality improvement of EENC implementation in hospitals. Technical advice from WHO is valued by Cambodia counterpart during the development of the National Five-Year Action Plan for Newborn Care 2016-2020 and the National Clinical Guide for Early Essential Newborn Care.

To help every newborn in Cambodia with a healthy start, WHO is committed to support the government through the provision of international public health expertise.

### Outcome 3: Governance and Human Rights – Review of Programmes

**1. Title:** Association of Councils Enhanced Service (ACES) preceded by Democratic Decentralized Local Governance (DDLG)

**Implementing Agency:** UNDP

**Government partners:** National Council of Decentralization and Deconcentration (NCDD), Association of Sub-National Administration Councils (ASAC)

**Duration:** 2012 –2017

UNDP has supported the decentralization of government functions since 2006.<sup>86</sup> During the UNDAF 2011-2015, with the ACES programme, the UNDP has helped the National League of Communes and Sangkats to become an effective representative of local voices for democratic development. Standards of governance have reportedly improved somewhat and, as well, there has been a significant increase in the participation of women in local council matters. Overall, however, there has been only a minimal impact on the delivery of services. This is in part because of the insufficient financial and technical support

<sup>86</sup> It was built on the foundations laid by the Decentralization Support Project (2001-2005) implemented by the Ministry of Interior. UNDP Independent Evaluation Office, Assessment of Development Results Cambodia, July 2010, p. 38

provided by the National Council for Decentralization and Deconcentration (NCDD) the organization mandated by the Ministry of Interior to promote decentralization.<sup>87</sup> Without greater financial and political support from NCDD, progress in decentralizing services will continue to be slow. It is also because key ministries are unwilling to hand over control over their budgets to sub-national entities.

There is a need for more realistic and measurable indicators. There is also a need for more programme relevant data to be collected on effective decision-making and the capacity to deliver services by local bodies. The UNDAF has chosen to track progress on decentralization with reference to the amount of funds and functions transferred. Table 11.15 shows the percentage of recurrent revenue transferred to districts, one of the sub-national entities. The proportion allocated to district level entities indicates that progress has been slow. Similar modest increases characterize transfers to provinces and commune councils.

**Table 11.15** *Proportion of Current Revenues Allocated to Sub-National Districts*

	2014	2015	2016	2017	TARGET
District	0.8%	0.8%	0.9%	1%	0.5%

**Source:** Ministry of Economy and Finance.

## **2. Title: Rule of Law – Court Administration**

**Implementing Agency:** Office of the High Commissioner for Human Rights

**Government partner:** Extraordinary Chamber for the Courts of Cambodia (ECCC)

**Duration:** 2014-2018

There are a number of reforms undertaken by the Office of the High Commissioner for Human Rights (OHCHR) to improve the delivery of justice in the courts. The one that the UNDAF has chosen to track in its results matrix is the number of individuals held in prison without a trial. OHCHR has worked with courts and justice officials to make it more difficult for judges to justify holding accused individuals in prison awaiting trial by requiring judges to elaborate the reasoning as to why someone should be kept in pre-trial detention. Because of this, one might have expected a drop in the number of pre-trial detainees. But in recent months, the government has undertaken an Anti-Illegal Drug Campaign rounding up thousands of individuals and charging them with drug-related offenses resulting in a swelling of numbers in prison awaiting trial (see Table 11.16). This is one of a number of signs that, in spite of the determined efforts of OHCHR, the government is unlikely to be interested in engaging with the United Nations on issues relating to the independence of the judiciary.

**Table 11.16** *Number of Prisoners in Pre-trial Detention*

	2011	2016	2017	TARGET
Numbers held in pre-trial detention	4,496	7,495	9,970	3,200

**Source:** Ministry of Interior data provided by OHCHR.

<sup>87</sup> David Abbott and Sophal Chan, *Thematic Poverty Evaluation, Final Report*, UNDP, November 2016, 15

**3. Title:** *Labour Dispute Resolution Project – Arbitration Council***Implementing agency:** ILO**Government partner:** Ministry of Labour and Vocational Training**Duration:** 2003-present

The Arbitration Council was established in 2003 with assistance from ILO in order to arbitrate collective labour disputes involving wage payments, dismissals, occupational injuries and conditions of work that affect Cambodia's labour force primarily in the garment industry. In its first year of operation, it received only four cases a month. The caseload reached 28 per month by 2015, growing seven times in 12 years, an indication that The Arbitration Council fills an increasingly critical need in labour management relations, and ILO continues to play a critical role in creating an environment for labour and industry to work equitably together. A key milestone in the strengthening of the Arbitration Council was an MoU between employers and trade unions in the garment sector, which involved a commitment to binding arbitration on rights disputes. The results are impressive. The Arbitration Council is now viewed by employers and employees as 'their' organization and contributes to maintaining good relations among employers and employees in the country by ensuring dispute resolution services on which both sides can rely. Meanwhile, the strategic alliance with ILO continues reinforce ILO's credibility with both the private and public sector.<sup>88</sup> Table 11.17 shows the increase in number of cases per month over the 12 years of its existence; this serves as a proxy indicator for the one proposed for the results matrix, i.e. proportion of cases adjudicated within the established time frame.<sup>89</sup>

**Table 11.17** *Cases Before the Arbitration Council 2003-2015*

CASES	2003	2015
Cases per month	4	28
Cases per year	36	336

**Source:** The Arbitration Council 2015 Annual Report.**4. Title:** *Empowering Women Leaders at Sub-National Levels (WLSN2)***Implementing Agency:** UN Women**Implementing partners:** Ministry of Women's Affairs and SILAKA**Duration:** 2013-2016

A programme undertaken by UN Women to prepare women for leadership roles and potentially for enhanced political participation has provided leadership training to women as a contribution to increasing gender equality. A recent evaluation of this programme reports that the programme has built the confidence of participating women and thereby strengthened Cambodia's decentralization strategy for political decision-making.<sup>90</sup> The UNDAF results matrix has selected the proportion of elected representatives in commune councils and the national parliament as a standard of achievement. Tables 11.18 and 11.19 show that the proportion of seats in commune councils occupied by women decreased over the UNDAF periods while the proportion of women in the national parliament increased.

<sup>88</sup> ILO, *Arbitration Council: A Case Study*, Program Brief, 2017<sup>89</sup> The agreed upon time within which disputes are to be adjudicated is unless both parties agree to extend the time. While no data were available on this indicator proposed by the results matrix it is reported 70% of all cases are adjudicated within this target period.<sup>90</sup> SILAKA and Committee to Promote Women in Politics, *Empowering Women Leaders at Sub-national levels in Cambodia (WLSN II)*, Final Program Evaluation Report, April 2016

At the same time, the percentage of women serving as commune council chiefs increased from almost 5.7 per cent to 7.7 per cent of all commune chiefs.

**Table 11.18** *Proportion of Women in Commune Councils 2012 and 2017*

DATES	SEATS HELD BY WOMEN	TOTAL SEATS	%	TARGET
3 <sup>rd</sup> mandate 2012	11,459	2038	17.79%	n/a
4 <sup>th</sup> mandate 2017	11,572	1940	16.76%	25%

**Source:** UN Women, data assembled by NGO CEDAW 2017.

**Table 11.19** *Proportion of Seats Held by Women in the National Parliament*

DATE	SEATS	NO WOMEN	%	TARGET
2003	123	12	9.8%	n/a
2013	123	25	20.3%	25%

**Source:** Inter-parliamentary Union Data 2017.

## 5. Title: Gender-based Violence Programme

**Implementing Agencies:** UNFPA, WHO, UN Women

**Government partners:** Ministry of Women's Affairs, Ministry of Health and Cambodian Women's Crisis Centre, National Institute of Statistics

**Duration:** 2011-2018

UNFPA has developed a protocol including a manual accompanied by training for health workers in all 25 provinces to guide treatment of women and children presenting symptoms of violence and abuse. These National Guidelines for Health Sector Response to Violence were developed in collaboration with WHO following international standards. They have been disseminated to all 25 provinces ensuring that standardized minimum services for VAW/C in line with international standards (a results matrix indicator) are available to the majority of victims seeking medical assistance in Cambodia. The Health Sector Guidelines are integrated in the package of *Minimum Standards of Essential Services for Women and Girl Survivors of GBV* supported by UN Women, including standards for referral, counselling, mediation and justice.

Nationally representative data on prevalence of VAW has been collected through the National Survey on Women's Health and Life Experiences in Cambodia and the inclusion of the domestic violence module in the Cambodian Demographic Survey for 2015. This activity has supported the establishment and conduct of the Technical Working Group on Gender Sub-Working Group on GBV as a coordination mechanism and in the context of this group, supported the preparation and implementation of the National Action Plan for Violence Against Women II.<sup>91</sup>

## 6. Title: Disability Rights Initiative in Cambodia

**Implementing agencies:** UNDP, WHO, UNICEF

<sup>91</sup> Nakagawa Kasumi, *Thematic Evaluation of UNFPA Gender Based Violence Program, Final Evaluation Report*, UNFPA, August 2014

**Government partners:** Ministry of Social Affairs, Veterans and Youth Rehabilitation, Ministry of Health, Ministry of Labour and Vocational Training, and Ministry of Interior

**Duration:** 2014-2018

The Disability Rights Initiative in Cambodia (DRIC) is a joint programme involving three agencies (UNICEF, UNDP and WHO). UNDP was to promote the government's implementation of the Convention on the Rights of Persons with Disabilities and to help disabled persons have a greater voice in policies affecting them; WHO was to improve the capacity of the Ministry of Health to assist in rehabilitating persons with disabilities and to assist the Ministry of Health plan for assuming costs for rehabilitation nation-wide; and UNICEF was to undertake community-level programming to make rehabilitation services available and raise awareness and resources for assisting persons with disabilities in villages and communities. A recent mid-term review acknowledges that the programme is largely on track in achieving the state outputs, with the exception of component 3 (supporting rehabilitation systems strengthening, managed by WHO) which is the most complex and challenging. The conclusions of the review are, however, tempered, by the fact that "it was not stipulated at the design how much effect the programme was meant to have". This raised questions on whether the present effect is enough to justify the level of programme expenditure. Questions have been raised about the programme's sustainability given that very few of the government bodies serving as counterparts in the programme felt they were prepared to adopt their component, either in whole or in part. The concern was frequently expressed that the three agencies working in a joint programming approach were primarily concerned with their own component rather than with collaborating with others.<sup>92</sup> Partially in response to questions about the efficiency and sustainability of the programme, Australia's Department of Foreign Affairs and Trade (DFAT) decided to reduce the programme's duration and funding. Within these constraints, the review concluded that "it is still possible for DRIC to promote a valuable, principally transformational agenda, that is to bring about change in the norms and standards by which the rights of persons with disability are protected and promoted." In the future, the joint programme will probably not continue but the UN agencies will continue to address disability within their own programming.

**7. Title:** *Child Protection<sup>93</sup> – Reducing Numbers in Residential Care Facilities.*

**Implementing agency:** UNICEF

**Government partner:** Ministry of Social Affairs, Veterans and Youth Rehabilitation

**Duration:** 2016-2018

A large number of children are living in residential or alternative care facilities in spite of the fact that many have parents who could take care of them. Residential care facilities have become an unregulated industry in Cambodia with the consequence that too many children end up being placed in these alternative care facilities. The recently approved Juvenile Justice Law and the sub-decree on the management of residential care centres aims to regulate the management of these facilities. UNICEF has developed an action plan aimed at improving child care and in particular reducing the number of children living outside family care by 30 per cent between 2016 and 2018. No indicator is provided in the UNDAF results matrix to track progress in this area.

<sup>92</sup> This has been acknowledged in discussions with all three participating agencies – UNDP, WHO and UNICEF – as well as by the donor, DFAT Australia.

<sup>93</sup> In Cambodia, the UN has used the following working definition of child protection: "improved protection of children from violence abuse, exploitation and neglect".

## Appendix XII

# Budget Figures and Financial Reporting

### Financial Performance

There is limited data available on the financial performance of the UNDAF, including on the resources required to administer the UNDAF. The RCO tracks overall expenditures and costing, but no detailed information is available by agency or by output.

The financial performance of the UNDAF 2011-2015 is outlined in the table below. Overall, most outcomes had a major funding gap between their planned budget and actual expenditures. Among the explanations for this gap are changes in the donor environment, in particular cuts in bilateral donor support from a number of previous traditional donors.

**Table 12.1** *UNDAF Expenditures and Costing – 2011-2015 Cycle*

OUTCOMES	TOTAL COSTING 2011-15	TOTAL EXPENDITURES 2011-15	FUNDING GAP
Outcome 1	USD 181,704,696	USD 121,184,845	-33%
Outcome 2	USD 108,403,695	USD 132,676,566	+18%
Outcome 3	USD 32,619,860	USD 27,030,409	-17%
Outcome 4	USD 98,581,100	USD 48,648,973	-51%
Outcome 5	USD 158,026,597	USD 83,209,992	-47%
<b>TOTAL</b>	<b>USD 597,335,948</b>	<b>USD 412,750,785</b>	<b>-31%</b>

The total estimated funding requirements for the current UNDAF cycle (2016-2018) amount to USD 282 million. The financial information available so far only covers fiscal year 2016 as presented in the table below. The disbursements rates are impressive: 87 per cent (Outcome 1), 92 per cent (Outcome 2), and 97 per cent (Outcome 3). Approximately 29 per cent of the total UNDAF budgeted resources were executed during the first year of implementation. No explanation is available on the differences between committed and executed amounts and no data were available on the two first quarters of 2017.

**Table 12.2** *UNDAF Expenditures and Costing 2016 – 2016-2018 Cycle*

OUTCOME	COMMITTED PER OUTCOME		EXPENDITURES PER OUTCOME		TOTAL EXPENDITURES 2016
	CORE	NON-CORE	CORE	NON-CORE	
Outcome 1	USD 4,856,582	USD 15,909,870	USD 4,703,500	USD 13,340,423	USD 18,043,923
Outcome 2	USD 8,748,579	USD 35,701,904	USD 9,251,811	USD 31,863,159	USD 41,114,970
Outcome 3	USD 3,921,708	USD 18,559,500	USD 4,013,119	USD 17,732,086	USD 21,745,206
<b>TOTAL</b>	<b>USD 17,526,89</b>	<b>USD 70,171,274</b>	<b>USD 17,968,430</b>	<b>USD 62,935,668</b>	<b>USD 80,904,098</b>

A number of concerns emerged in the analysis of UNDAF financial information:

1. Some UN agencies do not provide financial information. For the current cycle, financial information was available for only 10 of the 24 agencies. To get financial data, the RCO has to pull the information from individual agencies' annual reports. This may be due to the lack of detailed financial reporting requirements for the UNDAF made known to the agencies by the Resident Coordinator's Office.
2. When agencies report on regional projects, it is impossible to clearly distinguish what percentage of the funds was executed in Cambodia.
3. Financial information available is only available at the outcome level. The CAWP is not connected financially at output level.
4. Not all agencies calculate costs in the same manner. Some include staff costs in programming costs and some do not, which makes it impossible to harmonize financial information.
5. Financial oversight seems to be lacking. The UNCT has a discussion on financial information once a year and usually, no questions are raised on the information reported. This seems to indicate that there is no oversight of expenditures or adjustments when gaps in funding are found at the UNCT level. Financial oversight is carried out at the agency level, following each agency's financial system.

An important proportion of the current cycle budget is based on funds to be mobilized as shown in the table below (approximately 69 per cent). The strategy to mobilize these resources is based on agency specific as well as joint resource mobilization. During the previous UNDAF cycle (2011-2015), there were no compelling efforts to jointly mobilized resources and for the current cycle, no coordinated resource mobilization efforts have been undertaken so far.

**Table 12.3 Resources Requirements for UNDAF 2016-2018**

UNDAF OUTCOME	REGULAR	OTHER RESOURCES	TO BE MOBILIZED	TOTAL
Outcome 1	USD 12,000,000	USD 25,000,000	USD 57,000,000	USD 94,000,000
Outcome 2	USD 22,000,000	USD 1,000,000	USD 120,000,000	USD 143,000,000
Outcome 3	USD 18,000,000	USD 10,000,000	USD 17,000,000	USD 45,000,000
<b>TOTAL</b>	<b>USD 52,000,000</b>	<b>USD 36,000,000</b>	<b>USD 194,000,000</b>	<b>USD 282,000,000</b>

With the recent Joint Partnership and Resource Mobilization Strategy (PRMS), the RCO plans to use joint-programmes as the strategic entry point for fund raising. The new youth employment joint-programme which has secured annual SDC funding of USD 1 million over a 10-year period is an example.

- An important aspect of UNDAF financial reporting is the potential savings and reduced transaction costs that could be made through coherent and coordinated interventions. Unfortunately, there is no data available on monetary savings due to increased coordination. The 2015 Business Operation Strategy (BOS) was designed to ensure that an efficient operational structure is in place to support the implementation of the UNDAF. To reduce transaction costs, UN agencies are expected to use common services and harmonized business practices. The Operations Management Team is in charge of the BOS oversight and implementation.
- As currently outlined, the BOS has limited potential to lead to significant monetary savings or to effectively track those savings. The BOS is described as voluntary, meaning that not all agencies



have to adhere to it. This is a clear limitation to achieving results and it is unclear how many agencies actually adhere to its principles. Monetary savings, if any, cannot be effectively tracked with the current indicators. Transaction costs may have been cut thanks to the BOS, but no official data exist to show these benefits. Examples of potential reductions in transaction costs include: existing long-term agreements made available to all agencies, use of common rosters for similar posts, improvements in staff welfare through agreements to access to gym or medical facilities, or the use of a common internet provider. The overall stakeholders' perception however is that the UNDAF may have cut transaction costs for government, but the design and implementation requirements for UN agencies are human resource intensive and may in fact have increased transaction costs.



## Appendix XIII

### List of Findings

- Finding 1: The alignment of UNDAF outcomes with national development needs and priorities is very high. The RGC is, however, less inclined to endorse human rights and good governance programmes and pushes for more support for economic growth.
- Finding 2: The UN as a government partner is experiencing a weakening of influence and capacity to shape policy in comparison to new donors. Despite that, UN agencies have been able to adapt their programming to the changing context in Cambodia.
- Finding 3: There are examples of flexible and adaptive programmes in the present UNDAF and interestingly, these are among those with positive track records.
- Finding 4: The UNDAF overall presents a unified approach but coherence in the design of the framework as whole is not robust. Outcome 2 is the most internally coherent component, while the programmes undertaken in Outcomes 1 and 3 have less connection to each other.
- Finding 5: The current implicit theory of change underlying the UNDAF is not robust. Developing a more accurate theory of change in line with the requirements set out of the 2017 revised UNDAF guidance will require UN agencies to be selective about which key areas they should focus on.
- Finding 6: The current results framework provides 33 general and broad indicators that can only directly assess the results of 12 UN programmes. The indicators are of limited relevance to the actual socio-economic impact of the interventions.
- Finding 7: Relevant data for assessing results at the outcome level is not consistently available, limiting the UN's capacity to assess results in a number of instances.
- Finding 8: The performance of the UNDAF as a whole is mixed. Outcome 2 is on track to achieving its targets, while the performance of Outcome 1 is moderate, and the performance of Outcome 3 is low.
- Finding 9: There are examples of successful partnerships with non-traditional partners at the agency-level, but partnerships between agencies, such as joint UN programming, have so far shown limited success.
- Finding 10: The UN has developed into a trusted source of expertise and partner for the Government in critical areas.
- Finding 11: The efficiency of the UNDAF varies across outcome areas. Resource utilization, management and availability of resources have all affected efficiency.
- Finding 12: Most UN agencies are experiencing drastic cuts in funding and are either following the money or discontinuing programmes altogether.

- Finding 13: The coherence and rationale of the UNDAF is limited by the absence of a dedicated budget line or full-time capacity.
- Finding 14: Most agency representatives believe the UNDAF is worth the effort, but many indicated that it did little to serve the specific interests of their respective agencies.
- Finding 15: There are currently few incentives for agencies to initiate joint programmes. There are no overarching rationale steering agencies towards combining their unique contributions toward identifying and achieving a specific common goal.
- Finding 16: Prospects for sustainability of results by outcome areas are mixed. Many programmes and initiatives have been institutionalized and are part of on-going government responsibilities, while other experience delays and lack of funding.
- Finding 17: The UNDAF's emphasis on building government capacity has had notable results in areas like improving the quality of schools, climate change and contraceptives.

## Appendix XIV

### List of Recommendations

- Recommendation 1: The UNCT and the RCO in consultation with the PMT should explore ways to assure full-time capacity with a dedicated budget to manage the UNDAF process, to guide its development and maintenance, to promote areas of coordination and joint programming, to ensure all agencies have an appropriate role, reconcile differences and usher in a new sense of common purpose.
- Recommendation 2: The UNCT and the RCO in consultation with the PMT should assume responsibility for building the next UNDAF on a credible and well-reasoned theory of change, undertaken in tandem with the Common Country Assessment, informed by widely accepted understandings of conditions of inclusive growth documented in the development literature.
- Recommendation 3: The UNCT and the RCO in consultation with the PMT, in collaborating with agencies, should follow the numerous directives already in place for utilizing the UNDAF to place Agenda 2030 at the centre of UN activities in Cambodia to develop the 2019-2023 UNDAF.
- Recommendation 4: The UNCT, the RCO and the PMT should take advantage of emerging opportunities for joint programming. These should be the stepping stones for a more coordinated UNDAF.
- Recommendation 5: The UNCT and the RCO in consultation with the PMT should be particularly cognizant of the considerable commitments the UNDAF requires of all agencies, large and small. Every effort should be made to ensure that the process is an inclusive one, sensitive to the considerable differences among agencies in size, endowments and expertise.
- Recommendation 6: The UNCT and the RCO in consultation with the PMT along with collaborating agencies should assume a more constructive, realistic and critical approach to results reporting.
- Recommendation 7: The UNCT and the RCO in consultation with the PMT should vet the UNDAF and its results matrices to ensure that extra care is taken to propose performance indicators, targets and data collection procedures that are pertinent to programme impact where it is taking place.
- Recommendation 8: The UNCT, the RCO, participating agencies and the PMT should be particularly attentive to achieving a reasonable balance between supporting economic growth on the one hand, and protecting specific vulnerable populations on the other.
- Recommendation 9: The UNCT in collaboration with the RCO should build on past programming successes. It is important to meet the challenges posed in the programming areas of governance with programming initiatives that recognize the obstacles and yet that meet these obstacles with renewed attention.

## Appendix XV

### Table of Findings, Conclusions and Recommendations

FINDINGS	CONCLUSIONS	RECOMMENDATIONS
<b>Finding 1:</b> The alignment of UNDAF outcomes with national development needs and priorities is very high. The RGC is, however, less inclined to endorse human rights and good governance programmes and pushes for more support for economic growth.	The UN's principle of aligning closely with government should not obscure the fact that there are convergences as well as divergences.	Recommendation 8: The UNCT, the RCO, participating agencies and the PMT should be particularly attentive to achieving a reasonable balance between supporting economic growth on the one hand, and protecting specific vulnerable populations on the other.
<b>Finding 2:</b> The UN as a government partner is experiencing a weakening of influence and capacity to shape policy in comparison to new donors. Despite that, UN agencies have been able to adapt their programming to the changing context in Cambodia.	n/a	n/a
<b>Finding 3:</b> There are examples of flexible and adaptive programmes in the present UNDAF and interestingly, these are among those with positive track records.	Maintaining the status quo is increasingly becoming a liability. Innovation is required at every level: in financing, collaboration in programme design and in delivery. There is no single key to innovation generally, but it is important to recognize that innovation is less likely to arise out of a sudden inspiration than out of building-in a flexible and experimental approach to design and delivery.	n/a
<b>Finding 4:</b> The UNDAF overall presents a unified approach but coherence in the design of the framework as whole is not robust. Outcome 2 is the most internally coherent component, while the programmes undertaken in Outcomes 1 and 3 have less connection to each other.	Coherence of the design varies greatly across outcomes. There is impressive coherence among health, education and social protection programming in Outcome 2, while there is almost no coherence among the diverse programmes found in the Outcome 3. The coherence for the UNDAF as a whole, given the considerable variation across outcomes, is lacking.	Recommendation 2: The UNCT and the RCO in consultation with the PMT should assume responsibility for building the next UNDAF on a credible and well-reasoned theory of change, undertaken in tandem with the Common Country Assessment, informed by widely accepted understandings of

FINDINGS	CONCLUSIONS	RECOMMENDATIONS
		conditions of inclusive growth documented in the development literature.
<p><b>Finding 5:</b> The current implicit theory of change underlying the UNDAF is not robust. Developing a more accurate theory of change in line with the requirements set out of the 2017 revised UNDAF guidance will require UN agencies to be selective about which key areas they should focus on.</p>	<p>The previous two UNDAFs were not closely guided by a credible, well-reasoned, theory of change. They did not benefit from a coherent focus in which agencies devise interventions to deliberately complement or support one another. This will now have to change, not only because agencies are mandated to do so by the UN System, but because this is how they will demonstrate that the resources of the UN are being used most effectively.</p>	<p>Recommendation 2: The UNCT and the RCO in consultation with the PMT should assume responsibility for building the next UNDAF on a credible and well-reasoned theory of change, undertaken in tandem with the Common Country Assessment, informed by widely accepted understandings of conditions of inclusive growth documented in the development literature.</p>
<p><b>Finding 6:</b> The current results framework provides 33 general and broad indicators that can only directly assess the results of 12 UN programmes. The indicators are of limited relevance to the actual socio-economic impact of the interventions.</p> <p><b>Finding 7:</b> Relevant data for assessing results at the outcome level is not consistently available, limiting the UN's capacity to assess results in a number of instances.</p>	<p>Many of the indicators and performance targets of the previous two UNDAFs have only an indirect relationship with the programmes they are supposed to account for and, as a consequence, they do little to keep the implementers adequately informed. Only about a third of the indicators chosen and included in the UNDAF 2016-18 results matrix are capable of saying anything useful about the efficacy of a programme. Performing well relies on keeping close track of a programme's progress.</p>	<p>Recommendation 7: The UNCT and the RCO in consultation with the PMT should vet the UNDAF and its results matrices to ensure that extra care is taken to propose performance indicators, targets and data collection procedures that are pertinent to programme impact where it is taking place.</p>
<p><b>Finding 8:</b> The performance of the UNDAF as a whole is mixed. Outcome 2 is on track to achieving its targets while, the performance of Outcome 1 is moderate and the performance of Outcome 3 is low.</p>	<p>The overall performance of the UNDAF was variable. In spite of some successes, the previous two UNDAFs have not fully met the standard criteria for development interventions nor the evolving expectations of the UN System in Cambodia.</p>	<p>Recommendation 9: The UNCT in collaboration with the RCO should build on past programming successes. It is important to meet the challenges posed in the programming areas of governance with programming initiatives that recognize the obstacles and yet that meet these obstacles with renewed attention.</p>

FINDINGS	CONCLUSIONS	RECOMMENDATIONS
		Recommendation 3: The UNCT and the RCO in consultation with the PMT, in collaborating with agencies, should follow the numerous directives already in place for utilizing the UNDAF to place Agenda 2030 at the centre of UN activities in Cambodia to develop the 2019-2023 UNDAF.
<p><b>Finding 9:</b> There are examples of successful partnerships with non-traditional partners at the agency-level, but partnerships between agencies, such as joint UN programming, have so far shown limited success.</p> <p><b>Finding 10:</b> The UN has developed into a trusted source of expertise and partner for the Government in critical areas.</p>	The UNDAF is perceived as a platform to leverage partnerships to reduce duplication and leverage funding opportunities. Relationships with the RGC are generally positive at a technical level and the Government trusts the UN as a source of expertise. UN agencies have to think of ways to make their partnership with the RCG closer as their leverage diminishes in comparison with other partners in the region.	Recommendation 4: The UNCT, the RCO and the PMT should take advantage of emerging opportunities for joint programming. These should be the stepping stones for a more coordinated UNDAF.
<p><b>Finding 11:</b> The efficiency of the UNDAF varies across outcome areas. Resource utilization, management and availability of resources have all affected efficiency.</p> <p><b>Finding 12:</b> Most UN agencies are experiencing drastic cuts in funding and are either following the money or discontinuing programmes altogether.</p>	All UN agencies are facing budget reductions, some of them severe and some less severe. Reductions have consequences for delivering programmes and ensuring their efficacy. The reductions also have consequences for the level of competition among agencies for scarce resources, the terms of collaboration and for successfully accessing non-traditional sources of funding. As funds for UN programmes decline overall so does the UN's political weight in the country. Resource adequacy has been an important factor in previous UNDAF performance and will be an equally important consideration in the future.	n/a
<b>Finding 13:</b> The coherence and rationale of the UNDAF is limited by the absence of a dedicated budget line or full-time capacity.	The UNDAF is a complex enterprise that requires resources and full-time capacity to manage. If the upcoming UNDAF is to meet increasingly onerous expectations for coordination and efficiency, there will have to be additional resources dedicated to the RCO and adequate committed resources.	Recommendation 1: The UNCT and the RCO in consultation with the PMT should explore ways to assure full-time capacity with a dedicated budget to manage the UNDAF process, to guide its development and maintenance, to promote areas of coordination and joint programming, to ensure all agencies

FINDINGS	CONCLUSIONS	RECOMMENDATIONS
		have an appropriate role, reconcile differences and usher in a new sense of common purpose.
<b>Finding 14:</b> Most agency representatives believe the UNDAF is worth the effort but many indicated that it did little to serve the specific interests of their respective agencies.	n/a	Recommendation 5: The UNCT and the RCO in consultation with the PMT should be particularly cognizant of the considerable commitments the UNDAF requires of all agencies, large and small. Every effort should be made to ensure that the process is an inclusive one, sensitive to the considerable differences among agencies in size, endowments and expertise.
<b>Finding 15:</b> There are currently few incentives for agencies to initiate joint programmes. There is no overarching rationale steering agencies towards combining their unique contributions toward identifying and achieving a specific common goal.	There is close collaboration within Outcome 2 but far less so within the other two outcomes and equally less so for the UNDAF as a whole. The very few joint programmes and the relatively poor performance of these few reflect the low level of collaboration among agencies across the UNDAF as a whole.	Recommendation 4: The UNCT, the RCO and the PMT should take advantage of emerging opportunities for joint programming. These should be the stepping stones for a more coordinated UNDAF.
<b>Finding 16:</b> Prospects for sustainability of results by outcome areas are mixed. Many programmes and initiatives have been institutionalized and are part of on-going government responsibilities, while other experience delays and lack of funding.	The UN's principle of aligning closely with government should not obscure the fact that there are convergences as well as divergences. The preferences of the government are not always those of the UN. There is an inclination, in UN reporting, to avoid mention of these differences. It is perhaps necessary to acknowledge areas of divergence instead of glossing them over and advocate actively for change on matters of principle.	n/a
<b>Finding 17:</b> The UNDAF's emphasis on building government capacity has had notable results in areas like improving the quality of schools, climate change and contraceptives.	n/a	n/a
No specific finding, but challenges related to reporting are described in the text. Agency reporting provides a broad and positive picture	Realistic, even critical assessments are essential for devising innovative approaches that learn from and improve upon what	Recommendation 6: The UNCT and the RCO in consultation with the PMT along with collaborating agencies should

FINDINGS	CONCLUSIONS	RECOMMENDATIONS
of programmes that does not account for the challenges faced and how they have been addressed.	has previously been done. Current reporting practices do not take this approach, but rather inventory success.	assume a more constructive, realistic and critical approach to results reporting.



## Appendix XVI

### Evaluation Team

#### **Dr. Jim Freedman, Team Leader**

Jim Freedman taught Development Studies, Anthropology and Research Methodology at Western University in Canada between 1972 and 2000. He created his own consulting firm (Jim Freedman Consulting and Writing Inc.) in 1984. Since 2000, he has maintained an affiliation with the University as an Emeritus Professor while engaged full time implementing consultancies and policy studies through his consulting firm. He has executed more than 60 international assignments in the past 25 years – serving as team leader in half of these - on design/review missions for the World Bank, United Nations Agencies, European Union, bilateral donors, governments, civil society and private sector firms on missions dealing with humanitarian response to complex emergencies, decentralization and capacity building in local governing bodies, country level development program assessments, post-conflict development interventions, enterprise development, extractive sector risk assessments, aid effectiveness, sanctions impact, landmine removal, irrigation and agriculture.

He has provided professional services in 26 countries. Cambodia figures prominently among these. He has worked on three separate occasions in Cambodia on a variety of issues including approaches to land mine removal and the devolution of public services to local authorities. He has worked on numerous occasions (13) with the UNDP, most particularly leading/ participating in Assessment of Development Results exercises and conducting country level program designs and evaluations.

He has authored or co-authored 15 books and monographs on topics including innovations in development theory, pro-poor growth, international law, African history, social audits for mining corporations, landmine removal, evaluation methodology, response to complex emergencies and diverse fiction and non-fiction.

#### **Ms. Mariane Arsenault, International Consultant**

Ms. Arsenault is a consulting professional with over 10 years of experience in evaluation of international development programmes. She holds a Master's in Public Administration (MPA) in Program Evaluation and has extensive knowledge of evaluation approaches and (qualitative and quantitative) methodologies. She has been involved in large portfolio reviews and has applied cutting edge evaluation methodologies to previous assignments. She has also worked on projects requiring the analysis of large databases and has experience in managing and cleaning them to ensure a strong analysis.

Ms. Arsenault has worked with many UN agencies over the past decade and is familiar with the work of a number of agencies. Most recently, she conducted an evaluability assessment for the UNICEF Angola Country Office, for which she also developed a theory of change. She has previous experience in the following sectors: poverty reduction, human rights, gender, education, child protection, and humanitarian action. She is also well aware of UN-wide practices through her involvement in the review of UNDAF and Delivering-as-One approaches in countries such as Rwanda and Ethiopia.

### **Ms. Alexandra Buskie, International Consultant**

Alexandra Buskie is an evaluation analyst and human rights expert with Universalialia's Organization and Partnership Evaluation Practice. Since joining Universalialia, she has contributed to analysis, writing and research on projects with a number of bilateral and multilateral organizations (e.g. Swiss Federal Department of Foreign Affairs, the Bill and Melinda Gates Foundation, the Caribbean Development Bank). Alex has four years' experience in managing diverse policy and advocacy programmes with a human rights-based approach and has a proven track record of building momentum to secure policy changes. She has strong analytical skills and is a superior writer and editor; she has published numerous articles, reports and briefings for policy and public audiences. She has a Masters in International Relations and has international experience in the UK, Jordan, Canada and the US. Her thematic expertise lies in mainstreaming human rights, with a specific focus on implementing human rights-based approaches to conflict prevention and development. She currently sits on the executive boards of the United Nations Association of Canada – Montreal Branch and the Montreal Press Club and is an advisor to Protection Approaches, a UK based charity.

### **Mr. Hong Seng, National Consultant**

Mr. Hong is an expert in M&E, impact evaluations and baseline surveys, project design and development, project management, and policy review and development. Mr. Hong has long term experience with ADB's nationwide, with SDC, and with the EU and WB. He has more than 10 years of experience leading and managing project evaluations in various sectors including human right and child rights, community development and mine clearance, mine risks reduction, community development and climate change adaptation with a variety of clients such as SIDA, Australian Red Cross, IOM, Plan International, AusAID, Oxfam, UNDP-GEF, Partage-Bondos Komar, Puthi Komar, ADB, WB, EU, and SDC.

He has experience facilitating workshops and training on project planning and implementation, leadership, survey design, data collection and data analysis, strategic plan, and team building to the government and NGOs' staff. In addition, he is familiar with UN Sustainable Development Goals, especially goal number 4 - Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all.

Mr. Hong holds a Master's degree in regional and rural development planning from AIT, Thailand (2002), and a Diploma in Public Policy from the National University of Singapore (2015).