INTERMEDIATE EVALUATION OF THE UNDP GLOBAL ART INITIATIVE

ANNEX 5 - QUESTIONNAIRE FOR COUNTRY FRAMEWORK PROGRAMS

Instructions

In this section we try to explain better the information we are interested in and present the informant with some simple instructions on how to fulfil the questionnaire.
The completion of a questionnaire is a demanding but - we think – realistic task for each key informant to which it is addressed.
There are not good/correct or bad/un-correct answers to the proposed questions. If one of more questions cannot be answered, we kindly ask you to precise why you cannot answer the questions (the information does not exist, you cannot access it, the formulation of the question is not relevant or appropriate).

The First Part of the questionnaire is intended for programme's CTAs and staff, and presents a template for collecting (mostly quantitative) information on the general profile and implementation of each ART programme at national and sub-national level. Some of the information spans past implementation years. This information is central to understand the dynamic and evolution of a program, which is in turn crucial to reflect its complexity.

The Second Part of the questionnaire is intended for the different stakeholders of the programme: (i) programme staff and UNDP; (ii) national actors; (iii) local actors; (iv) donors and partners. It is composed of the following five sections, corresponding to core evaluation questions:
Section / EQ1: Information on if and how the ART framework is evolving and consolidating in accordance with international and national strategic development priorities.
Section / EQ2: Information on if and how the programme is contributing to the establishment of improved systems of actors for integrated and sustainable human development (ISHD) at the territorial level
Section / EQ3: Information on if and how the relation between the programme and the global ART Initiative are contributing to improved coordination and access to shared knowledge and resources for ISHD at the territorial level through dialogue and articulation of actors across territories.
Section / EQ4: Information on if and how the programme is contributing to improved policy frameworks for decentralization and local development.
Section / EQ5: Information on if and how the global ART initiative is facilitating the integration of the programme with the national and international development cooperation framework

Each general section/core question is divided into specific questions, and each specific question presents specific sub-items. Each specific question is addressed to the relevant group(s) of stakeholders, not necessarily all for each question. **Every group of stakeholders will therefore find in the questionnaire only the questions of specific relevance to its point of observation**.
For each section/core question, the informant is asked to introduce a combined (mostly qualitative) judgement on the different dimensions of a program through (i) a short narrative analysis based on evidence (facts and figures, examples, statements or behaviours showing perception and appreciation by specific stakeholders), and (ii) her/his perception and appreciation based on a 'likert' scale, filling the following box → |__| ← with reference to the following rating scale: .

Very Negative				Negative	Positive				Very Positive
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1	2	3	4	5	6	7	8	9	10

A different type of information is requested in relation to each level (core question, specific question, sub-item). For example, in relation to section 2, the informant will find:

-A core question: **Evaluation Question (EQ) 2: To what extent is the programme contributing to the establishment of improved systems of actors for integrated and sustainable human development (ISHD) at the territorial level?**
Requested information: a general perception/appreciation through a box → |__|←for inserting a likert/rating scale number; and a box for a narrative answer expressing the overall perception/appreciation of the informant).

The core question is found at the end of the sequence of specific questions and items, as the general answer should be the synthesis of the specific evidence associated to each specific question and related items.

-A number of specific questions, e.g.: **Specific Question 2.1: To what extent is the programme contributing to an increase in institutional capacities for ISHD?**
Requested information: a general perception/appreciation through a box → |__|←for inserting a likert/rating scale number; the detailed answer to each specific question is presented through a varying number of **sub-items**, including a list of indicators to be used where relevant and to the extent that related information is available, e.g. : **2.1.2**. Improvement in the identification and articulation of the needs of different segments of the population including marginal/vulnerable groups: coverage and relevance of formulated plans; evidence of relevant measures for inclusion of vulnerable groups (women, youth, disabled).
Requested information: a box is included for presenting specific evidence in a narrative form in relation to each sub-item.

Additional items might be added by the informant if she/he deems that relevant dimensions where missed out in the preparation of the questionnaire.

PART I General Programme Profile (for CTA/programmes staff)

Staff members involved in compiling the information_____

e-mail of the person in charge _____ telephone number _____ Date_____

Information spanning the implementation of the programme at national and sub-national levels across-time. Please try – where requested – to disaggregate information on the sub-national level with as much detail as possible

Item	Detail	Years of implementation (where applicable) Year n (beginning of the programme) _____	Year n. + 1 _____	n. + 2 _____	n. +3 _____	n.+4 _____	n. + 5 etc.. _____	Total (where applicable)
Existence of similar **initiatives before current ART programmes**	UN human development programs at the local level, pilot/preparatory initiative etc..							
Time-frame	Programme implemented from year x to year y							
Institutional partner/counterpart	National ministry or other institution							
Implementation modality	DIM/NIM							
Coverage	No. and type of geographical/administrative units where the programme has been working							

	Basic features of each area: administrative set-up; surface; population.							
Resources: Funding sources and additional funds mobilization over time: (time series and % in relation to sources) Please specify the currency	Initial programme budget and origin of funds by donor (%)							
	% of total funds executed, by geographical unit (region/province) where the programme operates							
	Total additional funds mobilised and executed:							
	Additional funds (mobilised and executed) by: National, Regional and local partners							
	Private sector, NGOs, Universities of the country							
	Bilateral Donors							
	Decentralised Cooperation partners							
	United Nation Agencies							
	% of additional funds mobilised and executed in each geographical unit (regions, provinces)							
Partners involved	No. of international partners							
	No. of national partners							
	Type and respective number of agreements (framework agreements, agreement per							

	individual project, direct implementation / general contribution to programme budget...)							
	Number and type of agreements for specific project							
	Number and type of partners in each geographical unit (region/province)							
Life-cycle of the programme	Evolution of programme's implementation through core stages: (i) preparatory/ programming (diagnostic, design (ii) start-up (institutional and operational set-up, implementing structures) (iii) consolidation (full-fledged implementation of the methodology), (iv) institutionalization (ownership and replication) (v) exit.							
	Evolution of implementation in each geographical unit (regions/provinces)							
Implementation milestones	Specific internal or external factors affecting the continuity of implementation of the programme at national and/or regional/local level in negative or positive terms (political events, civil strife, institutional and funding issues, changed partnership framework, extension of the programme in time or coverage..)							

Implemented projects and support provided	No. and value of projects funded and implemented in the different thematic areas (including capacity building) in each geographical unit (region/province) e.g. in 2009: x project in LED for yy USD in the nn region;							
	Type of support provided respective % of technical assistance, training, knowledge sharing/study visits, capital investment for each thematic area							
Major south-(North)-South cooperation initiatives (No. and title)	Including the institutional actors involved at national, regional, local level in both countries							
Participation to major international events (No. and title)	Including the institutional actors involved at national, regional, local level							

PART II Evaluation questions

Institutions, function and surnames of the persons involved

_____

e-mail of the person in charge _____ tel. n. _____

Date_____

Section 1: Information on if and how the ART framework is evolving and consolidating in accordance with international and national strategic development priorities.

Specific question: 1.1: How do you perceive the role of the programme and its evolution in relation to national and international priorities? **SQ1.1. → |__|←**

1.1.1. relevance and coherence with national and international strategic documents and policies

3

1.1.2. perception/expectation of key stakeholders

3

1.1.3. ownership of the programme through consolidation/institutionalization stages

3

1.1.4. involvement of the programme in global policy processes

General question EQ1: To what extent is the ART framework evolving and consolidating in accordance with international and national strategic development priorities? **EQ1 → |__|←**

Section 2: Information on if and how the programme is contributing to the establishment of improved systems of actors for integrated and sustainable human development (ISHD) at the territorial level

Specific question 2.1: To what extent is the programme contributing to an increase in institutional capacities for ISHD? **SQ2.1. → |__|←**

2.1.1. Introduction of relevant and effective instruments/mechanisms for promoting and steering integrated and sustainable territorial development processes: TWGs and other structures established and operational; relevant development actors (public, private and civil society) represented and participating; improvement in key local governance functions (leadership and decision making, coordination of local actors, outreach, accountability, mobilization of funds and partners, elaboration of strategies and policies for sustainable development); evidence of coordinated (multi-actors) and integrated (cross-cutting) initiatives following the introduction of working groups and other mechanisms; participatory formulation of plans; existence, relevance and quality of plans (inclusiveness, integration, sustainability, inclusion of relevant cross-cutting issues /indicators -gender, environment..); adequate measures introduced for linking plans to implementation (funding, links to relevant mandates…)

3

2.1.2. Improvement in the identification and articulation of the needs of different segments of the population including marginal/vulnerable groups: coverage and relevance of formulated plans; evidence of relevant measures for inclusion of vulnerable groups (women, youth, disabled)

3

2.1.3. Improvement in operational and administrative capacities in relation to the mobilization and use of funds: additional funds mobilization in relation to the formulation and implementation of plans; improved procedures for the use and account of funds; accountability at local government level (accessible and transparent information on availability and use of funds)

3

Specific question 2.2: To what extent is the programme contributing to improved processes for ISHD? SQ2.2. → |__|←

2.2.1. Increase in social capital (participation, consensus and trust): citizens' and communities' participation and influence on design and implementation of relevant policies and measures

3

2.2.2. Improvement in coordination and synergies among local actors: no. and type of joint initiatives ensuing from identified priorities for action; no. and type of local actors involved

3

2.2.3. Shared strategies and vision: formulation/adoption of shared strategic documents on relevant thematic areas; degree of involvement and ownership of local actors

3

Specific question 2.3: To what extent is the programme contributing to the institutionalization of introduced instruments and processes (working groups, participatory planning, donors/partners' coordination..)? SQ2.3. → |__|←

2.3.1. Ownership by national and local institutions: programme (direct and facilitated) activities included in local/national development plans and budgets; degree of integration of introduced structures, mechanisms and procedures with mandatory local government functions; effective leadership of national/local governments and partners on external aid coordination; relevant complementary measures by local/nat. governments; participation and commitment of key institutional actors; local govt staff seconded to programs; scaling-up of proposed/introduced mechanisms and practices

3

2.3.2. Structural changes in the legal/institutional framework: changes in mandates and attributions, approaches, tools and procedures, associated to a specific function; allocation of additional resources for implementing the improved function/framework

3

2.3.3. Alignment of programme's instruments and procedures with country frameworks: alignment with/use of national-local planning and budgeting cycles, rules and procedures; definition and adoption of a common planning and budgeting framework for donors/partners at local and national level; formulated plans and guidelines complement and integrate (where existing) local plans and budgets

3

Specific Question 2.4. To what extent are introduced instruments and processes contributing to aid effectiveness at the local level through the harmonization of donors' interventions? SQ2.4. → |__|←

2.4.1. Establishment/use of common structures and practice: effective donors' involvement and participation in programs' working groups and planning cycles; introduction of further specific coordination structures for donors' alignment and harmonization at local and/or national level; adoption of common processes and tools for diagnostic, planning, M&E; knowledge and information sharing; shared external TA and support facilities

3

2.4.2. Level of synergy and complementarity among different donors' actions: degree of recognition and use of guidelines as basis for donors' intervention strategy at local/national level; formulation and implementation of joint programs and projects; collaboration on/and co-funding of specific initiatives

3

2.4.3. Consistency and integration of external dev. partners' support with local planning and budgeting processes: inclusion of external support actions in local development plans and budgets

Specific Questions 2.5: To what extent are innovative thematic practices introduced through the programme contributing to improved 'functions' at the territorial level (i.e. improved sectoral/thematic frameworks from an holistic perspective)? SQ2.5. → |__|←

2.5.1. Specific improved functions (ex LED planning and promotion, water management, health services, capacity building…) following the introduction of innovative/value adding practices at the relevant territorial level

2.5.2. Integration of different actors and mandates within and across thematic areas/sectors

3

General question EQ2: To what extent is the programme contributing to the establishment of improved systems of actors for integrated and sustainable human development (ISHD) at the territorial level?

EQ2 → |__|←

Section 3: Information on if and how the relation between the programme and the global ART Initiative are contributing to improved coordination and access to shared knowledge and resources for ISHD at the territorial level through dialogue and articulation of actors across territories.

Specific Question 3.1; To what extent is the articulation of actors within the ART multilateral platform contributing to increase the effectiveness of decentralized cooperation action in meeting local demand for support? SQ3.1. → |__|←

3.1.1. Significance (volume and quality) of the intervention at the programme level: No. and trends of decentralized partnership agreements; geographical and thematic distribution; volume and type of resources

channelled (respective % of TA/capacity building, financial support/investment, etc….); relevance and actual use/application of transferred resources and skills

3.1.2. Effective supply-side coordination mechanism: systematic information/promotion of local demand; promotion of dialogue and exchange between local actors and decentralized partners (no. and type of events, forums, debate..); promotion of dialogue and exchange between decentralized partners' engaged in the same (geographical/thematic) areas

3.1.3. Relevance, concentration and continuity/sustainability of decentralized support action: duration and continuity of support by decentralized partners (number, type and sequence of actions over time); density/concentration of support actions in a given (geographical and/or thematic) area; relevance and evolution of support in specific thematic areas

3.1.4. Integration and complementarity between different interventions at the territorial level): no. and % of joint or integrated/complementary actions by decentralized partners (in the same geographic and/or thematic area); joint initiatives between decentralized partners and other donors;

Specific Question 3.2: To what extent is dialogue and articulation of actors contributing to the structuring and consolidation of territorial partnerships on functional and/or thematic basis?
SQ3.2. → |__|←

3.2.1. Effective association of decentralized actors: No. and role of associations and networks of decentralized actors' (local governments', regions, LEDAs etc…) involved in joint/coordinated initiatives within the programme

3.2.2. Up-scale/replication of pilot experiences: no. and type of experiences and practices piloted by the programme replicated in other territories or countries (and/or vice-versa) through inter-municipal/territorial, cross-border, South-South, ART program to program cooperation frameworks

3.2.3. Joint initiatives for knowledge sharing, capacity building, improved services provision across-territories: no. and type of joint/complementary initiatives between national/local 'programme' partners and partners from other territories or countries (Inter-municipal/territorial, South-North-South, cross-border, ART program to program cooperation frameworks); joint applications for funds between local and decentralized partners (North-South, South-South) / additional resources raised

3.2.4. Institutionalization of partnerships: South-North-South/program to program agreements for continued interaction between relevant actors across territories; specific structures and mechanisms introduced

Specific Question 3.3: How effectively is the knowledge and experience generated through decentralized cooperation across territories systematized and shared as a basis for mutual learning opportunities?
SQ 3.3 →|__|←

3.3.1. Relevance and use of knowledge production effort at programme and global level: adequate resources and tools for knowledge management within the programme (inventory and systematization of local practices and experience, M&E) and at ART global coordination level; no. and type of knowledge production and dissemination activities at programme level; improved access to relevant global knowledge and skills; concrete use and application of acquired global knowledge at the local level

3.3.2. Integration of thematic areas: no. and type of thematic partnerships between programme partners and other decentralized/global actors; access and use of thematic platforms and networks for sharing of thematic knowledge and practice

3.3.3. Mutuality of learning opportunities: knowledge and experience generated in the framework of the program feeding into policies and practices in other partners' territories

General question EQ3: To what extent is the relation between the programme and the global ART initiative contributing to improved coordination and access to shared knowledge and resources for ISHD at the territorial level through dialogue and articulation of actors across territories?
EQ3 →|__|←

Section 4: Information on if and how the programme is contributing to improved policy frameworks for decentralization and local development.

Specific Question 4.1. How effectively are practices and tools piloted locally being used as input for relevant policy development? SQ4.1 → |__|←

4.1.1. Ownership and up-take by national government: effective participation and commitment by national government counterparts (regularity and content of NCC meetings, effective steering and coordination of relevant activities at national level)

4.1.2. Perception and appreciation by national and local governments representatives;

4.1.3. Improved mechanisms and structures (e.g. for donors' coordination) within national institutions, and allocation of staff and functions to implement them; allocation of resources from national budget for implementing local plans and structures

4.1.4. Extension of programme implementation to new regions

4.1.5. Mainstreaming of piloted practices: specific practices replicated in other territories and/or formally adopted as (part of) national policies and (institutional, sectoral) frameworks; specific framework policies informed by specific experience at the local level (ex national territorial planning frameworks, nat. framework for decentralized cooperation).

General question EQ4: To what extent is the programme contributing to improved policy frameworks for decentralization and local development? EQ4 → |__|←

Section 5: Information on if and how the global ART initiative is facilitating the integration of the programme with the national and international development cooperation framework

Specific Question 5.1: To what extent is the programme experience integrated with the global discourse and practice? SQ5.1 → |__|←

5.1.1. Access to global knowledge and global partnership frameworks: access to and use of global thematic platforms and networks by different programme partners/stakeholders; participation of programme partners into multi-level and multi-stakeholders governance structures at the global level (consultative forums, multi-donors platforms etc..); contribution of the programme to relevant products (knowledge products/best practice reviews, positions papers etc…) enhancing the debate and policy framework on key relevant issues

5.1.2. In particular, contribution to strategic processes on aid effectiveness (Busan) and sustainable development (RIO+20)

5.1.3. Recognition of the programme as a bridge with international/global players: perception and appreciation by relevant stakeholders in the country (donors, networks, national institutions etc,)

Specific Question 5.2: How effectively is the programme integrated with UNDP Country Office (CO) strategic and operational framework? SQ5.2 → |__|←

5.2.1. Integrated strategic and programming framework: joint, complementary activities with other relevant CO programmes/initiatives at the country/local level

5.2.2. Ownership and appreciation by UNDP CO representatives

5.2.3. Common communication platform, also as a basis for visibility and coordination with national counterparts and other donors

5.2.4. Procedural/operational integration (according to specific implementation modalities and requirements)

Specific Question 5.3: To what extent is the programme contributing to the integration of its decentralized cooperation partners into the national and international development cooperation framework? SQ5.3 → |__|←

5.3.1. Legitimacy and recognition of decentralized actors as equal status partners at national level: relevant strategic statements /policy documents making significant reference to the role of decentralized cooperation partners; perception and appreciation of relevant stakeholders; introduction of facilitating operational modalities and procedures

5.3.2. Joint participation of programme's stakeholders and decentralized partners in global initiatives and processes

General Question EQ5: To what extent is the global ART initiative facilitating the integration of the programme with the national and international development cooperation framework? EQ5 → |__|←