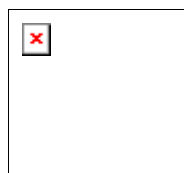


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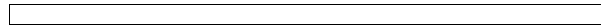
Guidelines

United Nations Common Country Assessment (CCA)

April 1999

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Preface

"We the Peoples of the United Nations determined ... to reaffirm faith in fundamental human rights, in the dignity and worth of the human person, in the equal rights of men and women and of nations large and small, and to establish conditions under which justice and respect for the obligations arising from treaties and other sources of international law can be maintained, and to promote social progress and better standards of life in larger freedom ... and to employ international machinery for the promotion of the economic and social advancement of all peoples ... have resolved to combine our efforts to accomplish these aims."

**Preamble
Charter of the United Nations**

The United Nations Charter lays down universal principles and norms that are as relevant today as at any time during the past fifty years. Since then the international community has agreed to a powerful set of standards and goals arising out of United Nations conventions and global conferences. Peace, security, human rights and development are now recognized as interdependent conditions for human progress¹. Through the proclamation of the Right to Development and other instruments, the human person has been reaffirmed as the central concern of development, with every individual both a contributor to and beneficiary of this right². The United Nations system has played a leading role in this evolution of development policy and practice.

In 1997 the Secretary-General launched a programme for reform with the aim of preparing the United Nations for the challenges of the 21st century. A number of the reform actions set forth by the Secretary-General address the development work of the United Nations, a core mission that remains of vital importance. While

recognising the major contribution that the United Nations has made in international development over the past fifty years, the Secretary-General proposed measures to enhance the organization's capacity to implement its development mandate.

The United Nations Development Group (UNDG) was charged with the elaboration of the United Nations Development Assistance Framework (UNDAF), intended to bring "greater coherence to the United Nations programmes of assistance at the country level ... with common objectives and time frames in close consultation with governments³". Provisional guidelines were developed as the basis for an UNDAF pilot exercise. Following an assessment of the pilot exercise and extensive consultations with the United Nations system, the UNDAF guidelines have been revised and guidelines for the Common Country Assessment (CCA) developed.

The UNDAF was one of the most important subjects discussed in the General Assembly during the 1998 triennial policy review of operational activities for development of the United Nations system. In the resulting resolution⁴, the General Assembly emphasized the need to ensure the full participation and direct involvement of governments and all parts of the United Nations system in the UNDAF process.

The Administrative Committee on Coordination (ACC) has issued a statement⁵ of support encouraging the active participation of all its members in the CCA and UNDAF. All members of the resident coordinator system, resident and non-resident, are expected therefore to participate fully.

United Nations country teams, under the leadership of the Resident Coordinator, can adapt these guidelines to local conditions, while capturing the spirit of collaboration of the Secretary-General's reform. Above all these guidelines are intended to harness our creativity to respond strategically to the needs and aspirations of the peoples we serve, especially the most vulnerable and poorest.

1

Definition of the CCA

What is a CCA?

The Common Country Assessment (CCA) is a country-based process for reviewing and analyzing the national development situation and identifying key issues as a basis for advocacy, policy dialogue and preparation of the UNDAF. The findings emerging from this exercise are described in a CCA document.

This process is participatory, dynamic and continuous; it ensures learning from prior experience, brings in the UN system organizations' combined knowledge, know-how and new ideas, advocates new approaches, reaches new or revised consensus and updates the CCA document accordingly.

Partners involved

The Common Country Assessment is undertaken by the United Nations system (UNS) with key partners⁶. In particular, the CCA is undertaken with the close involvement of the government.

The United Nations system. All United Nations organizations participate in the CCA process⁷. The management of the preparation of the CCA is a core responsibility of the United Nations country team (UNCT), under the leadership of the Resident Coordinator (RC). The CCA provides a key opportunity for the participation of non-resident agencies, including the Regional Commissions, and other UN entities. The RC should, therefore, invite these partners to participate in the CCA as early as possible, in order to secure their timely and substantive inputs at all critical stages of the exercise. *See also section 4 on the CCA process.*

The government. The CCA process should involve full government participation. This includes different parts of the government, such as the coordinating authority, line ministries, statistical departments and public institutions like think tanks and universities. The actual level and extent of participation will be determined by local circumstances.

The UNS and the government should seek the active participation of and consult with the following national and international development partners, using to the extent possible existing coordination mechanisms:

The civil society. The CCA process must actively involve and encourage the participation of civil society, and mechanisms should be set up to do so. This includes non-governmental organizations (NGOs), research institutions, local communities and associations, women's groups, interest groups and others. The civil society contributes by, *inter alia*, communicating different perspectives on national needs and engaging in advocacy.

The private sector. The role of the private sector, formal and informal, in economic growth, technology transfer, employment creation and other social and environmental issues has intensified at national as well as global levels. Country teams may wish to explore ways in which private enterprises, companies and business associations can be engaged in the CCA process, both in terms of drawing on their expertise and perspectives, and in terms of influencing their practices to elevate social standards and contribute to the overall development objectives.

The donor community. This includes bilateral and multilateral donors. Most will be locally represented but regional representatives (or officials in the donor country) may also be involved in some cases. Many international NGOs also have a donor interest. Donors often participate in thematic or donor coordination groups that contribute to the CCA process. Where donors have closely participated, they share in the follow-up to the issues identified in the CCA. Donors also make use of the CCA document.

The Bretton Woods Institutions. It is important to involve the Bretton Woods Institutions (BWIs) fully in the CCA process. Collaboration should take place at the country level between the World Bank's and/or IMF's Country Director/Resident Representative in the field and the UNCT under the leadership of the Resident

Coordinator. The form that this collaboration assumes should be determined by country conditions and take into account the need for flexibility. For example, the IMF may provide valuable contributions on macro-economic policy.

BOX 1: Principles for CCA participation.

The broader and more active the participation in the CCA process, the more the process improves the potential for success in creating alliances around the issues and thereby ensuring follow-up. However, this must be balanced with the complexity of involving a large number of partners. In any case, the government must be closely associated with the exercise; consultations should also be undertaken with multi- and bilateral donors to obtain their specialised input and expertise. Civil society must equally be engaged in a dialogue on national needs and priorities, to enrich the assessment of development challenges.

2

Objectives and use of the CCA

Objective of the CCA

The objective of the Common Country Assessment is to achieve deeper knowledge of key development challenges among the partners involved in the CCA, based on a common analysis and understanding of the development situation of a country and a people centered approach. The CCA also develops a common understanding of key internal and external risks to the development process, identifies contingencies and any recovery and rehabilitation needs as may be appropriate.

Expected results of the CCA

- a. **A CCA document** containing an overview of a country's development situation with a focus on people as the means and ends of development; an analysis of key development challenges, especially those faced by the poorest strata, and national priorities and needs; an assessment of national capacities; and information on the status of coordinated follow-up to UN conferences and of the implementation of UN conventions and declarations. Where relevant, the CCA document also identifies recovery needs.
- b. **A common information base** composed of country-relevant information including sex-disaggregated quantitative and qualitative data and measures to close any data gap. The level of disaggregation of data should be, to the extent possible, sub-national, one of the main objectives being the identification of the poorest and most vulnerable groups.
- c. **Improved United Nations collaboration**, strengthened analytical capacity of

the partners involved and a common understanding of major development challenges and key issues for priority attention, including risk assessment.

The scope of the CCA

The Common Country Assessment should address:

- a. National priorities and needs;
- b. The status of coordinated follow-up to UN conferences and of the implementation of UN conventions and declarations.

The assessment should take full account of crosscutting issues, defined in these guidelines to include human rights, food security, environmental sustainability, population, gender equality, poverty eradication, governance, HIV/AIDS, and the promotion and protection of children's rights.

BOX 2: CCA and regional concerns.

The CCA scope should normally include regional concerns and initiatives, and any other elements considered relevant to the analysis. This includes regional plans of action that are formulated and adopted as a result of global conferences and conventions, as well as regional agreements (e.g. on trade or environment). The scope should take into account and build upon other UNS cooperative efforts such as the United Nations Special Initiative on Africa. These concerns also help to situate the country's development situation within the region and relate it to that of other countries.

The use of the CCA

The Common Country Assessment can be used, *inter alia*, for:

- a. **Preparing the UNDAF.** General Assembly resolution 53/192 (TCPR), paragraph 22, states that: "The CCA is an essential first step for the effective formulation of the United Nations Development Assistance Framework (UNDAF)". It generates a common understanding within the UNS of the causes of development problems as well as the needs and priorities of a country. This helps define the purpose and strategy of United Nations system support to a country, which is described in the UNDAF. At the same time, the teamwork promoted by the CCA is indispensable for uniting the United Nations system around the subsequent UNDAF, and for building alliances with key development actors. *See also the UNDAF guidelines (section 1 on linkages and section 4 on the preparation of the UNDAF).*
- b. **Facilitating country-level follow-up to UN conferences and support for the implementation of UN conventions and declarations.** The CCA provides an assessment of the status of national-level, coordinated follow-up to the UN conferences and of the implementation of UN conventions and declarations, including regional initiatives. This helps to facilitate efforts for coherent, integrated and coordinated United Nations support to government follow-up

to the conferences and the implementation of conventions at the field level⁸. (*Annex B provides a list of the major conventions, declarations and conferences*)

- c. **Policy analysis.** The CCA provides a foundation for policy analysis. The set of issues emerging from the CCA allows the United Nations system, the government and other development partners involved to focus the policy analysis around national development priorities and trends. It should also help in seeking new and innovative solutions to development challenges, in light of relevant lessons learnt and past experience.
- d. **Advocacy.** The CCA provides a forum for advocacy and dialogue among the government, the United Nations system and the broader development community⁹. Advocacy is further strengthened by the use of problem analysis and information including qualitative and quantitative data. Issues identified in the CCA will most likely be too extensive for the UNS to address alone and it is not expected that the UNS will take action on *all* the issues identified. However, through their participation in the CCA process, the other partners involved are encouraged to pursue issues in which they might play a useful role. The CCA is an ongoing process; dialogue continues on issues when reaching consensus is difficult. Thus the CCA provides an objective basis for resolving policy-level issues between the government and the UN system.
- e. **Promoting partnerships and alliances.** The participatory discussions of the assessment provide an opportunity for building alliances and partnerships in support of national priorities and needs and internationally agreed goals, for instance, with civil society. Where appropriate, a stakeholder analysis may help determine what partners to involve and how.
- f. **National capacity building.** The CCA is also expected to indirectly help strengthen the analytical capacity of the partners involved, through their active participation in the process. By identifying measures to close data gaps, the CCA process may also contribute to capacity building in data development and statistics. The CCA should also identify national capacity building needs / gaps.
- g. **National databases and reports.** The relationship between the CCA and other reports and databases is mutually reinforcing. The CCA draws actively on existing reports and databases, while the CCA document and its information base may be used for a number of other reports. Such reports include poverty assessment reports; UN human rights documents, including conclusions and recommendations of international human rights treaty bodies; and detailed situational analyses and National Human Development Reports (NHDRs), as well as documents for the Consolidated Appeals Process/Strategic Frameworks and the Consultative Group and Roundtable processes. The CCA should also enable UNS organizations to agree on and harmonise the indicators and database used for reporting in a given country.
- h. **Programming.** The CCA is the basis for the preparation of the UNDAF, which indicates the objectives and strategies of UN assistance and guides the subsequent country programmes. In addition, the analytical information and

the thematic assessment sections of the CCA document can serve as a background for UN programming within the themes covered by the CCA. The CCA quantitative data should be used as baseline information in all programme documents. Moreover, the CCA should be of such quality and analytical content that it could replace the situational analysis done by individual agencies as a mandatory part of their preparations for a new country programme. Where necessary, agency-specific situational analyses can be considered as more detailed extensions of selected aspects of the CCA.

- i. **Monitoring.** The assessment mechanisms and information base of the CCA may be used for an ongoing process of monitoring the major issues identified. The CCA indicators are also used to monitor trends in national development over time.
- j. **Sector programmes.** As early as possible in the CCA process the UNCT should take into account the work done for the preparation of any sector programmes, such as sector investment programmes (SIPs) and sector-wide approaches (SWAPs), as well as the results achieved and lessons identified so far by them. Where individual RCS members are involved in these mechanisms they are encouraged to promote and use the CCA as a key analytic contribution to the design of such programmes.
- k. **CCA in emergencies and recovery situations.** The CCA can be useful in dealing with the spectrum of issues that link relief and development, such as risk and vulnerability assessment (including population displacements and the impact of armed conflict on children), disaster preparedness and mitigation, and post-conflict and post-natural disaster recovery and rehabilitation. The scope of the assessment will vary, depending on whether the assessment is being made of anticipated or manifest risks and vulnerability, a temporary shock or sudden reversal in the development process, or whether a more elaborate programme of post-emergency recovery is envisaged. In all cases, the CCA process would need adaptation in terms of, *inter alia*, speed of assessment, methodologies used (to enable identification of people and areas at risk), the partners involved, the sectors analysed, the indicators used, and data available, to enable a rapid, effective and coordinated response.

3

Content of the CCA

Content of the CCA

All Common Country Assessment documents should contain¹⁰:

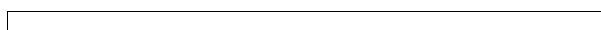
- a. An assessment of key development issues and the status of the coordinated

follow-up to UN conferences and of the implementation of UN conventions and declarations, with a focus on the crosscutting themes. This should include a summary of the main findings of the assessment, and an analysis of demographic, socio-economic and political development trends, as well as an indication of the geographic incidence of poverty and vulnerability. (See boxes below on Assessment and Analysis.)

- b. An in-depth analysis of key areas emerging from the assessment.
- c. Main conclusions, including a set of key issues. These issues provide a basis for determining the strategic focus of the United Nations system and the CCA partners for support and advocacy. These priorities should reflect the relevance of crosscutting issues and, where possible, be specified in a gender-sensitive way. The CCA allows for the identification of baseline data on the key issues, including vulnerability analysis.
- d. Data for the CCA indicators, including information showing where the countries stand on the key indicators that correspond to the international conference and convention goals, as well as additional country-relevant indicators and information relating to national priorities and needs. This information is often provided in annexes in the form of tables and spreadsheets. (See Annex A for the CCA Indicator Framework.)
- e. The country-specific terms of reference (TOR) of the CCA in an annex.
- f. A description of the methodology used (i.e. collection of data, consultation process, participants and their role, and analytical approach), often provided in an annex.

"CCA format"

The partners involved are encouraged to develop an appropriate format and layout for the CCA document, while reflecting the above content.



4	The CCA preparation process
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This section suggests how the CCA process should be launched and managed. It includes the steps of the five key phases of the CCA process, described below¹¹.

Duration

The CCA promotes the establishment of a system for continuously assessing development trends and reviewing the situation of the country. This enables the UN

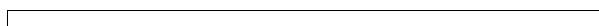
system to monitor key development challenges. The CCA document is formulated when the assessment process has produced key conclusions, but this does not mean that the process comes to a halt. The CCA partners continue to discuss outstanding issues, monitor the issues identified and assess and analyse new developments. Planning for a CCA process of no more than four months, from the launch to the issuing of the CCA document, is recommended. The CCA document itself is subsequently revised as determined locally. Revision is normally triggered by the formulation of the UNDAF, joint mid-term reviews, or by the preparation of country programmes.

Timing

The CCA can be used most effectively when undertaken as an initial step for the United Nations Development Assistance Framework (UNDAF) and the subsequent preparation of country programmes.

Financing

The preparation of the CCA should not require substantial financial resources. All costs associated with its preparation have to be borne locally from the budgets of the Resident Coordinator and the participating UN system organizations.



PHASE 1: PREPARATION

Definition of Terms of Reference

The Terms of Reference (TOR) for the CCA exercise in the country are established by the country team after consultation among the partners involved, especially the government and non-resident UNS organizations. Other development partners (civil society, donors, BWIs) are also consulted where appropriate. The day-to-day management of the CCA process is the responsibility of the UNCT under the leadership of the Resident Coordinator, who seeks and facilitates the participation of non-resident UNS organizations in order to secure their timely and substantive inputs at all critical stages of the exercise.

BOX 4: Terms of Reference for the CCA process.

The TOR outlines the roles and responsibilities of different participants, the scope of the CCA, the methodology and the consultation process to be followed with the broader development community, and the approach to collecting information. In order to measure the success and quality of the CCA, its expected results in the country should be specified, including initial indications

for effective follow-up. The training requirements and need for expertise in mainstreaming the crosscutting issues, including gender equality, should be reflected in the TOR.

Work Planning

The United Nations Country Team in consultation with the government, other non-resident UNS organizations and the other CCA partners decides how the CCA exercise will be carried out. This includes developing a workplan; estimating costs and how to share them; indicating support required; deciding how the process will be managed and its expected duration; and determining how and by whom information will be assembled, including how civil society representatives will be involved in the preparatory process.

The partners may want to establish a "steering committee" to take charge of the day-to-day implementation and monitoring of a CCA workplan. Such a "steering committee" would normally consist of technical/programme staff of the participating organizations and reflect gender balance and gender expertise.

Constitution and use of thematic groups

The participants decide on the collaborative mechanisms for conducting the CCA exercise, making effective use of thematic groups¹². Where such coordination mechanisms already exist, such as HIV/AIDS groups, their members would be asked to take a critical look at how these thematic groups might best be used in the CCA process. There may be a need to reconstruct the groups strategically around the key issues emerging from the CCA, and to adjust their workplans, participation or structures accordingly.

Decisions will also be required on the expertise to be associated with each thematic group to ensure an effective process of assessment and analysis, in particular expertise on the crosscutting issues. Experience has shown that when the government has been involved directly with the analytical work of the thematic groups, the results are more significant. Attention should be paid to ensuring gender balance in the participation and leadership of the thematic groups, and to addressing the crosscutting issues in each group.

Box 5: Role of thematic groups.

The thematic groups are the core mechanism for undertaking the CCA assessment and analysis, as reflected in the CCA TOR. The members of a group sit together and review jointly the development situation with regard to both national priorities and progress towards conference and convention commitments, as related to the group's "theme". Their findings on key development challenges are the basis of the CCA document. The thematic groups should ideally engage a wide range of development partners (government, UNCT, other multi/bilateral agencies, CSOs). Care should be taken to invite non-resident UN organizations at the outset to take part in the

work of the thematic groups. These groups can also benefit from contacts with the relevant inter-agency thematic groups at the regional level.

PHASE 2: ASSEMBLY OF DATA AND INFORMATION

Deciding on indicators for which to assemble data

The CCA Indicator Framework (see Annex A) serves as the point of departure for collecting quantitative data. It is intended to ensure that the major global concerns are considered. This framework only includes indicators for the global conferences, conventions and declarations and contextual indicators for reference. In order to address fully the CCA scope, including national priorities and needs, additional indicators covering these need to be added at the local level.

Assembling and compiling information

The participants identify sources of information including both quantitative and qualitative data¹³. When assembling the information, it is useful to compile it around the "themes" of the CCA. Each agency should support the assembly of information, including quantitative and qualitative data, within its mandate. The government statistical departments are always involved in the data collection and information base issues. Information should be assembled for several past years in order to identify trends. UN country-specific reports¹⁴ often contain useful indicators, data and analyses on the country, and should be used for assessment and analysis. Such reports also provide information on differences in development at the sub-national level and should be used to deepen the analysis of inequalities within the country. At this point in the process, it may be useful to enter the data into simple spreadsheets to facilitate discussions.

Identification of data gaps

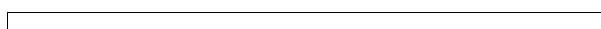
High quality, comprehensive, national level quantitative data may not always be readily available for all themes or areas. Such data gaps should be noted as an issue requiring attention, such as measures to close them. Meanwhile, the best possible use should be made of existing data: in-depth case studies are often sufficiently informative for identifying priorities, even if they lack the breadth of large-scale surveys.

Establishment of a common information base

The term "CCA information base" applies to the information compiled for the purpose of the CCA. Also called "the CCA database", it includes quantitative and

qualitative data on demographic, social, economic and other issues. The quantitative data (figures/numbers) are derived from existing national and international databases, in which the information continues to remain¹⁵.

While the data itself continues to be nationally owned in the original national database or other source from which it was derived, the CCA information base becomes a common resource for the CCA partners. It normally consists of data compiled from these sources in the form of spreadsheets, tables, charts, files or other records. The partners decide how the information base will be used, e.g. for monitoring the development situation, reporting, baseline data, etc. Ideally it should be electronically accessible, dynamic and sustainable for all UN agencies within the country, as well as for other beneficiaries.



PHASE 3: ASSESSMENT AND ANALYSIS

This phase is the crucial part of the CCA. Figure1 below illustrates the assessment and analysis process with regard to the CCA scope. The process requires that the participants make informed choices as the assessment evolves.

Figure 1: The CCA scope and assessment¹⁶ process



UNDAF

Assessment of the information (level 1)

The assessment exercise should start with a reasonably broad scope to be "narrowed down" during the assessment process. At the initial stage (level 1) the thematic groups review the development situation with regard to both national priorities and needs and progress towards conference and convention commitments within the "theme" of their group. They assess and interpret available information and data assembled for that "theme" in order to identify emerging key development challenges that merit further analysis (see Figure 1, level 1.) They record their findings¹⁷. All thematic groups should consider the implications of crosscutting issues, including gender equality and human rights, for their theme.

Analysis of the information in key areas (level 2)


Based on the initial broad assessment (level 1), major development challenges or problem areas emerge as important, and the partners elect the areas for analysis (level 2). The analysis should identify underlying causes of the problems, including the causal role of social inequalities. Each thematic group records its findings in brief papers that will serve as a basis for the CCA document. Indices (composite indicators) can be a powerful tool for analysis and advocacy. Such indices include the Human Development Index (HDI), the Human Poverty Index (HPI), the Gender-related Development Index (GDI) and the Gender Empowerment Index (GEM).

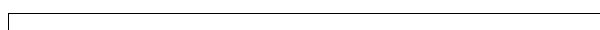
Reaching agreement on priority issues (level 3)

Based on the results of the in-depth analysis (level 2), participants decide on key issues for priority attention for the UNS and draw conclusions (level 3). Where possible, they may also identify the geographical areas where these issues are concentrated.

The findings are shared among thematic groups, the UNCT and other partners in order to consolidate and draw conclusions. Based on the consolidated findings, the participating United Nations system organizations agree with national partners on a set of issues for priority attention by the United Nations system¹⁸. The partners first focus on issues on which there is agreement. Where there are controversial issues, they continue the dialogue to seek a common understanding. It is crucial, however, that agreement is reached within the UNS on the key issues for priority attention, as a basis for the UNDAF. Other development partners also can participate in addressing the strategic issues identified for priority UNS attention, and through their participation in the CCA process, be encouraged to pursue the

remaining issues.

BOX 6: What is assessment?		BOX 7: What is analysis?
<p>Assessment is a process for determining which problems exist, as well as identifying opportunities and achievements. The partners review where the country is in terms of the national development situation and in achieving the goals of international conferences and conventions. This requires the use of qualitative and quantitative information with regard to each theme or problem area identified, for the current and previous years. This first step in the CCA process is usually descriptive in nature; it only describes the situation that exists, compared to the situation of past years. At this point it is usually necessary to group similar problems together and make a choice of which of them to analyse.</p>		<p>Analysis is a process for determining causes of problems and relations among them. It involves probing in depth into development challenges, and establishing trends in development. This requires building a causal tree, which identifies the immediate causes of a problem, the underlying causes and the basic or structural causes. The analysis often shows that there are common basic or structural causes to different development problems.</p>



PHASE 4: DRAFTING THE CCA DOCUMENT

Drafting the CCA document

(See section 3 on the content of the CCA document.)

The findings of the thematic groups, priority issues, consolidated findings and information including qualitative and quantitative data are reflected in a CCA document. The CCA document should primarily focus on those issues on which the participating partners reach an agreement¹⁹.

Depending on local circumstances, the UNCT, with other organizations, decides how to reflect sensitive issues (if any) in the CCA document²⁰. In any case, issues that need further work remain in the CCA process with the different perspectives captured.

Finalising the CCA document

The UNCT ensures that the findings and main conclusions are accurately recorded in the CCA document. It also assures review to guarantee the quality of the final draft of the CCA document.

The Resident Coordinator should facilitate the participation of non-resident agencies through the use of electronic communications, for example, by providing the draft CCA document by e-mail and asking the agencies to comment.

The CCA is an assessment process. As such, there is no requirement to secure formal approval and signature of the CCA document, which is merely a summary of the findings and conclusions of the process.

PHASE 5: FOLLOW-UP ACTIVITIES

Establishment of a follow-up strategy

Starting from the TOR, the United Nations country team, with partners, should develop a strategy for effective use and follow-up of the CCA exercise, including identification of the respective responsibilities of each participant. The strategy would normally address, *inter alia*, the following:

- a. **Improvement of the CCA process.** The participants review the CCA process, as envisaged in the TOR, in order to draw lessons for improvement of the CCA. The Resident Coordinator, by encouraging the participants to continually review and learn from the experience of implementing the CCA, is provided with a tool for constantly monitoring the appropriateness and effectiveness of UN support. In order to improve the CCA, the participants may also draw on best practices and relevant experiences from other countries.
- b. **Monitoring of the development situation.** The partners involved should ensure an effective system for monitoring changes in the development situation, particularly on the progress made in dealing with the key strategic issues identified in the CCA. This will allow them periodically to verify the continued validity of the priorities identified and update the CCA as required. The CCA indicators will be used for this purpose. Existing monitoring mechanisms and those within the UNDAF and programmes/projects may be used to generate information on progress with regard to CCA issues.
- c. **Use and application of the CCA.** On behalf of the RCS, the RC ensures wide distribution of the CCA findings to concerned parties both within and outside the UN system. Building on the alliances established through the CCA process, the UNCT should make efforts to ensure effective application of the CCA, in

particular by:

- use of the CCA to prepare the UNDAF (*see the UNDAF guidelines*).
- use of the CCA in a "stand-alone" capacity by the UNS, the government and other national and international partners. The CCA may be used, *inter alia* to strengthen policy dialogue among national authorities and donor organizations; to inform the public on social development issues; and to share information and issues related to national development with other countries (e.g. South-South cooperation).
- use of the CCA as an input and basis for the formulation of UNS organization country programmes and projects.

See section 2 for possible uses of the CCA.

- d. **Updating the CCA.** Assessment and analysis of national development issues is not done only at one point in time; it is continuous. The partners should continue the dialogue and make other assessment and analysis exercises an integral part of the CCA mechanism. Where necessary, additional causal analysis should be carried out if the trends indicate an unexpected result. In case of changes, a brief update should be prepared to reflect the new results.

The CCA document itself is updated as determined locally. This is normally triggered by the formulation of the UNDAF, joint mid-term reviews and subsequent preparation of country programmes.

Taking the above into account, the responsibilities, mechanisms and periodicity of updating should be addressed by the partners as part of the follow-up strategy, linked to monitoring and the lessons learnt.

- e. **Maintaining the information base.** The CCA information base should be updated as new information emerges. The participating United Nations organizations should support a national system for keeping it current as well as improving the data. For increased efficiency, the update could also be linked to documents such as the annual National Human Development Report, the State of World Population Report, individual agencies' annual reports, reports to donors, project and fundraising proposals or similar country-level exercises. The participants should decide on responsibilities and periodicity of maintaining the information base.

ANNEX A

The Common Country Assessment (CCA)

Indicator Framework

The Indicator Framework presented here is an instrument to assist the United Nations country team in the preparation of the CCA. Its main purpose is to highlight potential major issues in a country by focusing attention on and measuring progress in specific areas. The list of indicators contained in this annex, while limited, represents an attempt to reflect a balanced representation of key issues and provide a means of entry into the areas covered by the mandates of United Nations system organizations. It is intended to be suggestive and is by no means exclusive. Country teams will need to expand the list with country-specific qualitative and quantitative data.

The CCA Indicator Framework comprises four components:

- ☐ First, indicators relating to development goals and objectives set forth in UN conventions, conferences and declarations. This group of indicators builds upon the existing established global lists of OECD, the World Bank and the UN, the ACC document on Basic Social Services for All and the Minimum National Social Data Set.
- ☐ Second, conference and convention indicators relating to governance and political and civil rights.
- ☐ Third, basic contextual indicators relating to the demographic and economic conditions of a country, which provide the necessary background for understanding development concerns.
- ☐ Fourth, thematic indicators, which will be suggested in separate guides and are not presented here. The thematic indicators will provide further insights into issues of major concern for development, taking into account specific country settings, national priorities and needs and crosscutting issues.

The CCA indicators can be used as measures of progress along a large number of development concerns. It follows that the indicators will be needed for at least two points in time, or preferably time trends - say at 5 or 10 year intervals. This will enable changes in the level or quality of development progress to be measured through changes in the values of the indicators. It will seldom suffice merely to have the indicators for just one point in time.

Selection Criteria

The three main criteria that guided the selection of the indicators were as follows:

Indicators should provide relevant and robust measures of progress towards goals and objectives contained in UN conventions, conferences and declarations; they should be clear and relatively straightforward to interpret; and they should provide a basis for international comparison;

Indicators should not impose an unnecessary burden on countries and where practicable should be broadly consistent with other global lists;

Insofar as possible, the indicators should be constructed from existing and well-established data sources, be quantifiable and capable of consistency of

measurement over time.

The CCA Indicator Framework, like any indicator list, is dynamic and will necessarily evolve in response to changing needs. Definitions for the indicators and the methodology for data collection and analysis will be provided in the Q&As.

Human Rights

Indicators in all categories included in the CCA Indicator Framework may be expressed in human rights terms. As such, the human rights covered include, *inter alia*, food security, health, education, gender equality, employment, housing, security of person, access to justice, democratic governance and the principle of non-discrimination. Indicators relating to security of person, justice and governance will be reviewed by the relevant agencies to take account of on-going work aimed at developing the most appropriate measures. With respect to non-discrimination, all relevant indicators within the CCA Indicator Framework should be disaggregated, to the extent possible, by race, colour, sex, language, religion and other status.

Gender

All relevant indicators should be compiled and analysed separately by sex so as to assess progress in gender equity.

Geographic Level

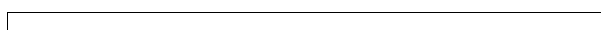
Where possible and applicable, the indicators should be classified separately for urban and rural areas, and even for peri-urban areas. The indicators should also be separately compiled and analysed for provinces, regions and states.

Use of National Sources

Country data should be used for compiling the selected indicators where such data are available and of reasonably acceptable quality.

Wider Information Base

The data in the core CCA Indicator Framework will serve to flag particular issues. The assessment will necessarily require a much wider information base.



Common Country Assessment Indicators ^(a)

A. Conference Indicators

Conference Goal	Target	Indicators (disaggregated by sex)
<p>Income-Poverty Measurement of human poverty designated elsewhere in the list, such as child malnutrition and the % of population chronically under-nourished, should be used in conjunction with indicators of income poverty to reflect the multi-dimensionality of poverty)</p>		
Reduced poverty levels	Proportion in extreme poverty in 1990 reduced by ½ by 2015 (WSSD)	<ul style="list-style-type: none"> <input type="checkbox"/> Poverty headcount ratio (% of population below \$1 dollar a day) <input type="checkbox"/> Poverty headcount ratio (% of population below national poverty line) <input type="checkbox"/> Poverty gap ratio <input type="checkbox"/> Poorest fifth's share of national consumption
<p>Food Security and Nutrition</p>		
Improved child nutrition	Severe/moderate malnutrition among children <5 ½ of 1990 level by 2000 (WSSD/FWCW/WSC/WFS)	<ul style="list-style-type: none"> <input type="checkbox"/> % of children under age 5 suffering from malnutrition
Increased food security	Reduce number of chronically under-nourished by half by 2015 (WFS)	<ul style="list-style-type: none"> <input type="checkbox"/> % of population below minimum level of dietary energy consumption (caloric intake in context of food balance sheet) <input type="checkbox"/> % of household income spent on food for the poorest quintile
<p>Health and Mortality</p>		
Improved health care	Universal accessibility of primary health care (ICPD/WSSD/FWCW)	<ul style="list-style-type: none"> <input type="checkbox"/> % population with access to primary health care services

Reduction in levels of HIV/AIDS	Universal access to RH services and information by 2015 (ICPD)	<input type="checkbox"/> Estimated HIV adult prevalence rate <input type="checkbox"/> HIV prevalence in pregnant women under 25 who receive antenatal care in capital cities/major urban areas
Reduced infant mortality	Reduction of IMR by 1/3 of 1990 level and below 35 per 1,000 by 2015 (ICPD/WSSD/WCW/WSC)	<input type="checkbox"/> Infant mortality rate
Reduced child mortality	MR at ages <5 reduced by 2/3 of 1990 level by 2015 (ICPD/WSC)	<input type="checkbox"/> Under 5 mortality rate
Reproductive Health		
Improved maternal health and reduced maternal mortality	Reduction by ½ of 1990 levels by year 2000 and a further ½ by 2015 (ICPD/WSSD/FWCW/WSC)	<input type="checkbox"/> Maternal mortality ratio <input type="checkbox"/> % of births attended by skilled health personnel
Increased access to family planning	Universal access to safe/reliable contraceptive methods (ICPD)	<input type="checkbox"/> Contraceptive prevalence rate
Child health and welfare		
Improved child health	Universal immunization against measles (WSC)	<input type="checkbox"/> % of 1 year old children immunized against measles
Reduced child labour	Elimination of child labour (WSSD)	<input type="checkbox"/> % of children < age 15 who are working
Education		
Increased access to basic	Universal access, and completion of primary	<input type="checkbox"/> Net primary enrolment or attendance ratio

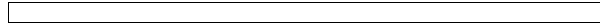
education	education by 2015 (EFA/WCW/WSC/ICPD)	<input type="checkbox"/> % of pupils starting grade 1 who reach grade 5
Increased literacy	Adult illiteracy reduced by ½ 1990 level by 2000 (EFA/WSSD/WCW)	<input type="checkbox"/> Adult literacy rate <input type="checkbox"/> Literacy rate of 15-24 year olds
<i>Gender Equality and Women's Empowerment</i>		
Gender equality in education	Eliminate disparity in primary and secondary education by 2005 (ICPD/WSSD/FWCW)	<input type="checkbox"/> Ratio of girls to boys in secondary education
Gender equality in employment	Eliminate discriminatory practices in employment (FWCW)	<input type="checkbox"/> Females share (%) of paid employment in non-agricultural activities
Women's political empowerment	Equitable access to political institutions (FWCW)	<input type="checkbox"/> % of seats held by women in national government, including parliament
<i>Employment and Sustainable Livelihood (b)</i>		
Creation of full employment	Universal access to paid employment (WSSD)	<input type="checkbox"/> Employment to population of working age ratio <input type="checkbox"/> Unemployment rate <input type="checkbox"/> Informal sector employment as % of total employment
<i>Housing and Basic Household Amenities and Facilities</i>		
Adequate shelter for all	Provision of sufficient living space and avoidance of overcrowding (HABITAT II)	<input type="checkbox"/> No. of persons per room, or average floor area per person
Improved access to safe drinking	Universal access to safe drinking water; Full	<input type="checkbox"/> % of population with (sustainable) access to

water	coverage of drinking water supply (by 2025). (WCW/WSSD/UNCED)	safe drinking water
Improved access to safe sanitation	Universal sanitary waste disposal (WCW/WCS/WSSD/UNCED)	<input type="checkbox"/> % of population with access to adequate sanitation
Environment (Indicator specification under review)		
Improved environment	Clean and healthy environment and reversal of current trends in loss of environmental resources (UNCED)	<input type="checkbox"/> Carbon Dioxide emissions (per capita) <input type="checkbox"/> Biodiversity: Land area protected <input type="checkbox"/> GDP per unit of energy use <input type="checkbox"/> Arable land per capita <input type="checkbox"/> % change in km ² of forest land in past ten years <input type="checkbox"/> % of population relying on traditional fuels for energy use
Drug Control and Crime Prevention		
Improved drug control	Measurable results in reducing cultivation, manufacture, trafficking and abuse of illicit drugs by 2008 (UNAD)	<input type="checkbox"/> Area under illegal cultivation of coca, opium poppy and cannabis <input type="checkbox"/> Seizures of illicit drugs <input type="checkbox"/> Prevalence of drug abuse
Improved crime prevention	Eliminate/significantly reduce violence and crime (UNCPCTO)	<input type="checkbox"/> No. of crimes per 100.000 inhabitants

Notes:

(a) As noted earlier in these Guidelines (page 10), in addition to the indicators included in the CCA Indicator Framework, certain indices, such as the Human Development Index, the Human Poverty Index, the Gender Empowerment Measure and the Gender-related Development Index, and possibly detailed cross-classified tables related to the variables included in the framework, should also be included in the CCA.

(b) Indicators on sustainable livelihoods are under development.



B. Conference and Convention Indicators on Governance and Civil and Political Rights

The indicators below differ from the more traditional quantitative socio-economic indicators given above in that they are largely qualitative in nature and have not yet been fully field-tested. Moreover, there are currently no internationally agreed standards of methodology and definitions for indicators on governance and civil and political rights. However, these indicators may be used to the extent that data are already available in government and United Nations documents. Indicators are currently under development on:

- i. public sector accountability to promote an efficient and accountable public sector that serves all citizens; and
- ii. decentralization for participatory governance that supports local governance and empowers communities and local institutions.

Additional indicators are being developed on the application of human rights instruments and institutional safeguards for the security of person.

Conference Goal	Target	Indicators
<i>International Legal Commitments for Human Rights (c)</i>		
Universal ratification of international human rights instruments	Acceding to all international human rights instruments and avoiding the resort to reservations, as far as possible	<input type="checkbox"/> Status of ratification of, reservations to and reporting obligations under international human rights instruments <input type="checkbox"/> Status of follow-up to concluding observations of UN human rights treaty bodies
<i>Democracy and Participation</i>		

Strengthened democratic institutions and popular participation	Free and fair elections and democratic government (WCHR)	<input type="checkbox"/> Periodicity of free and fair elections <input type="checkbox"/> Recognition in law of the right to freedom of expression, association and assembly
Administration of Justice		
Fair administration of justice	Effective legislative framework, law enforcement, prosecutions, legal profession, and fair trials in conformity with international standards (WCHR)	<input type="checkbox"/> Recognition in law of guarantees for independent and impartial judiciary and fair trial
Improved framework of remedies	Existence of legal remedies in conformity with international standards	<input type="checkbox"/> Recognition in law of the right to seek judicial remedies against state agencies/officials
Security of Person		
Liberty and security of person	Elimination of gross violations of human rights affecting security of person, including torture and cruel, inhuman or degrading treatment or punishment; summary and arbitrary execution; disappearances, and slavery (WCHR)	<input type="checkbox"/> Recognition in law of the prohibition of gross violations of human rights affecting the security of person

Note:

(c) These commitments include economic, social and cultural rights as well as civil and political rights.

C. Contextual Indicators

<i>Demographics</i>	<input type="checkbox"/> Population size ^(d) <input type="checkbox"/> Total fertility rate <input type="checkbox"/> Life expectancy at birth
<i>Economy</i>	<input type="checkbox"/> GNP per capita (US\$ and PPP) <input type="checkbox"/> External debt (US\$) as % of GNP <input type="checkbox"/> Decadal growth rate of GNP per capita (US\$) <input type="checkbox"/> Gross domestic savings as % of GDP <input type="checkbox"/> Share of exports in GDP <input type="checkbox"/> Share of Foreign Direct Investment (FDI) inflows in GDP <input type="checkbox"/> % of public expenditure on social services

Note:

^(d) An age classification will also generally be required to identify target groups, for example the elderly, and this should be defined contextually.

D. Thematic Indicators

Thematic indicators should be added at country level for the themes addressed by the CCA in that country, reflecting national priorities and needs. A limited selection of thematic indicators is given in the Q&A. Such indicators will also be suggested in future guides.

ANNEX B

List of major Conventions,

Declarations and Conferences

Conventions and Declarations

Universal Declaration of Human Rights	1948
International Convention on the Elimination of All Forms of Racial Discrimination	1995
International Covenant on Economic, Social and Cultural Rights	1966
International Covenant on Civil and Political Rights	1966
Convention on the Elimination of All Forms of Discrimination against Women	1979
Convention against Torture and Other Cruel, Inhuman or Degrading Treatment or Punishment	1984
Declaration on the Right to Development	1986
Convention on the Rights of the Child	1989

International Conferences

World Conference on Education for All (EFA)	<i>Jomtien</i>	1990
World Summit for Children (WSC)	<i>New York</i>	1990
United Nations Conference on Environment and Development (UNCED)	<i>Rio de Janeiro</i>	1992
World Conference on Human Rights (WCHR)	<i>Vienna</i>	1993
International Conference on Population and Development (ICPD)	<i>Cairo</i>	1994
World Summit for Social Development (WSSD)	<i>Copenhagen</i>	1995
Fourth World Conference on Women (FWCW)	<i>Beijing</i>	1995

Ninth Congress on the Prevention of Crime and Treatment of Offenders (UNCPCTO)	<i>Cairo</i>	1995
Second United Nations Conference on Human Settlements (HABITAT II)	<i>Istanbul</i>	1996
World Food Summit (WFS)	<i>Rome</i>	1996
Ninth Session of the United Nations Conference on Trade and Development (UNCTAD IX)	<i>Medrand</i>	1996
General Assembly Twentieth Special Session on the World Drug Problem (GAD)	<i>New York</i>	1998

Notes:

1. *The Agenda for Development: GA resolution A/51/240; Right to Development: GA resolution A/51/99.*
2. *GA resolution A/41/128/; GA resolution A/53/155.*
3. *Action 10 a) of the Report of the Secretary-General 'Renewing the United Nations: A Programme for Reform'; A/53/192.*
4. *GA resolution A/53/192.*
5. *See Summary of conclusion of the ACC at its first regular session of 1999; ACC/1999/4.*
6. *Further references to 'partners' in these guidelines will mean the parties that are directly involved in any specific country-level CCA; they will vary depending on the country situation.*
7. *The "ACC Guidance Note on the implementation of the CCA and UNDAF processes" (in the Report of the CCPOQ on its 14th session; ACC/1999/7) should also be consulted.*
8. *UN system-wide guidance on several of these issues has been prepared by the ACC and should be consulted.*
9. *Advocacy should ideally take place through active participation in the CCA process, which tends to be more effective than simply presenting the results of a UNS analysis to the government and development community.*
10. *Any other elements found relevant may be added to the CCA document at the local level.*
11. *The steps of the phases are not in chronological order and many may be undertaken in parallel. For example, it may be efficient to allow data assembly to occur concurrently with the development of ideas and issues for the CCA. The process as described here is based on lessons learnt from CCA experiences. However, the process is flexible and adaptable to local circumstances, bearing in mind the expected results of the CCA.*
12. *GA resolution 53/192.*
13. *If useful, establish an "information group" to compile and structure the available data.*
14. *Such UN country-specific reports include, inter alia, the National Human Development Report, the Situation Analysis of Children and Women and national population situation reports.*
15. *For efficiently, the partners may decide to use and expand one of the existing databases at the local level. A dedicated computer system does not necessarily need to be specifically developed for this purpose.*
16. *The assessment should take account of crosscutting issues. Assessment only around 'sectoral themes' (e.g. health, industry, agriculture...) and/or 'agency mandates' often limits the value of the exercise because it is more difficult to conduct a joint assessment in areas*

- where one participant has particular authority and expertise. Such an assessment also misses out on the inter-linkages among issues. A combination is therefore recommended.*
- 17. Existing assessment mechanisms should be used to enrich the CCA. For example, use other meetings to conduct assessments, such as programme reviews and appraisal meetings; record the findings and feed them into the CCA.*
 - 18. UNDAF is the mechanism for choosing, among the key issues of the CCA, the key strategic ones that the UNS will address.*
 - 19. It is on the basis of these key issues that the UNCT develops the UNDAF.*
 - 20. Different approaches may be needed. For example, the CCA document may: (a) fully describe the different perspectives; (b) reflect only where there is agreement but note that dialogue will continue to seek common understanding on remaining issues; (c) indicate that different perspectives are reflected elsewhere, such as in additional discussion papers through further research and information gathering.*