

1. Cover Page

Joint Programme Title:

UN Transitions Project – Sustaining Peace and Development Beyond Mission Withdrawal

Joint Programme Outcomes:

Outcome 1: The UN in transition settings adapts its strategy and footprint in a more pro-active, integrated, and forward-looking manner to support transitions

Outcome 2: UN Transitions are increasingly prioritized and institutionalized within the UN system in a manner reflecting a more effective approach to transition processes

Outcome 3: Key member states, regional organisations, IFIs & other partners increasingly collaborate with the UN on transitions

Outcome 4: Host governments, regional and sub-regional organisations, and bilateral partners increasingly collaborate with the UN on transitions in priority countries

Total Estimated Budget: US \$9,409,928

Funded budget: \$ 4,256,615
 Unfunded budget: \$5,153,313

Source of Funded Budget:

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Programme Duration: 3 years (2020 – 2023)

Anticipated start/end dates: 21 December 2020 – 30 June 2023

Participating UN Organizations: UN Development Coordination Office (DCO), UN Department of Peace Operations (DPO), UN Department of Political and Peacebuilding Affairs (DPPA), and UN Development Programme (UNDP).

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2. Executive summary

Transitions are complex, inherently political and strategic processes that present a moment of heightened risk and uncertainty to the host country and the UN. The withdrawal of a UN mission, or reconfiguration from one type of UN mission to another, signals a critical phase in a country's journey toward resilient peace. How these transitions are planned for and managed can be a determining factor in the consolidation of progress made on peace and sustainable development¹.

Ensuring proactive, integrated and forward-looking UN Transitions is at the heart of the Secretary-General's reform agenda and will remain a key focus area for the UN System in the coming years: transition processes resulting from the drawdown and withdrawal of UN missions (peacekeeping operations and special political missions) in Sudan and Guinea-Bissau are fully underway and require continued support for their successful completion; large-scale multidimensional UN peacekeeping operations in the Democratic Republic of Congo, Mali, and the Central African Republic have been asked to initiate or intensify transition planning. These ongoing and future transition processes are taking place in contexts increasingly characterized by complex political dynamics and marked by protracted and multifaceted humanitarian, development, peace and security challenges, with regional spill-over effects. Responding to these changing dynamics requires the UN to develop new approaches and partnerships.

The *UN Transitions Project*, as a key cross-pillar mechanism, has made important achievements to improve organizational practice in recent years through direct country support, providing thought leadership on ways to address recurrent transition challenges, and strengthening operational and policy coherence on UN transitions.

Given the increasing demand for transition planning and management-related support and the limited capacity of the UN System to provide integrated assistance, the UN Transitions Project aims to intensify its efforts by institutionalizing the lessons learned from its previous project phase and serve the system and its partners as a 'one stop shop' on transition planning and management. Accordingly, the Project will centralize existing knowledge and expertise and provide a more coherent support framework by offering integrated transition support packages that bring the system together to assist host nations, partners and UN staff in the field and UNHQ.

The new phase of the UN Transitions Project is designed to contribute to the following strategic objective: A nimbler UN that adjusts its strategy & footprint in line with changing circumstances and national peace & development priorities, so as to better support host nations as they consolidate peacebuilding gains, in cooperation with key national, regional and international partners. In its new iteration, the Project will be built around three pillars: (i) proactive and integrated planning; (ii) transition financing and programming; and (iii) strengthening national ownership and regional engagement.

¹ Across social, economic, environment, governance and climate security themes.

3. Situation analysis

Since 2010, the number of major violent conflicts has tripled, and between 2011 and 2015 there was a six-fold increase in conflict-related fatalities.² By 2016, more countries were affected by violence than at any time in nearly 30 years.³ Conflicts are increasingly internationalized, regionalized and exacerbated by proxy warfare; driven by inequality, exclusion, climate change and environmental degradation, and the politicization of religion. 2015 marked the deadliest year since the Cold War, while rates of displacement due to conflict reached an all-time high. Not only did conflict become more deadly, it became harder to resolve via traditional political settlements, causing peace agreements to fail within years of their signature.

These global trends represent a critical call for action to improve and strengthen multilateral engagement and the mechanisms, systems and policies used by the international community to address them. UN missions represent one of the main tools for resolving conflicts and maintaining peace and security. Reflecting the complex conflict and post-conflict environments, UN missions often have multidimensional mandates involving stabilization, strengthening of institutions, and creation of the conditions for longer-term development. Given that such complex peace restoration and state-building processes are often not fully achieved when UN missions are asked to scale down or close altogether, and that national stakeholders often do not yet have the capacities in place to secure peace and stability, the manner in which transition processes are mandated, planned and managed becomes increasingly critical.

The UN's legacy in a country emerging from conflict therefore depends, in part, on how it has supported national actors and remaining international partners in consolidating the political and social gains made during the UN mission's presence. The transition away from a UN mission, or from one type of UN mission to another is therefore much more than an administrative or logistical operation. It is often a crucial moment in the "peace continuum" of a country emerging from conflict.

Amid a climate of increased scrutiny around the effectiveness of peacekeeping, as well as financial pressure for the UN to consolidate and do more with less, UN missions are going through a renewed and accelerated period of transition. The UN peacekeeping missions in Côte d'Ivoire, Haiti, and Liberia all completed transitions recently, the UN Security Council has shifted its immediate attention to the transitions of Darfur and Guinea Bissau missions, and has requested the development of exit strategies for the UN missions in the Democratic Republic of Congo and Mali.

While the recently completed transitions took place in environments marked by relative stability and peaceful handovers of power, the next wave of such transitions will likely have to grapple with unfinished political settlements, continued protection gaps especially for women, children, youth and marginalized communities, huge geographic territories with limited state presence, and weak host-state consent to the UN's presence. Indeed, upcoming transition settings are marked by high

² Report of the Secretary-General, United Nations activities in support of mediation, 27 June 2017, A/72/115.

³ United Nations and World Bank Group, (2017), page 1.

or severe levels of fragility across economic, political, security, environmental and societal dimensions and will likely be characterized as such for years to come.⁴As a result, the UN will likely face persisting challenges to sustaining peace in these countries once the missions have departed. Therefore, it is imperative for the UN and its Member States to accelerate their collective efforts to better shape future UN transitions.

This scenario explains the criticality of well-managed and planned UN transitions, particularly in the context of recent UN Reforms, the Secretary-General's Sustaining Peace and Prevention Agendas, Action for Peacekeeping, the Humanitarian, Development, Peace Nexus and the Decade of Action to deliver on the 2030 Agenda for Sustainable Development. These efforts provide the UN System with various frameworks to advance a holistic, conflict, gender and youth sensitive approach to peace, security and development in the context of UN transitions, in order to secure peace and development gains, reduce the risk of relapse into conflict, and set countries on a path towards sustainable development.

4. Strategies including lessons learned and the proposed joint project

4.1. Background/context

Since its inception in 2014, the UN Transitions Project has been able to enhance the UN's institutional approach to transitions and to directly influence transition processes in priority countries. This has been done through direct operational support, tailored capacity building initiatives, and the provision of practical guidance based on lessons and good practices from previous transitions. This has resulted in a noticeable organizational shift away from a focus on mission withdrawal towards a more proactive and forward-looking approach to UN reconfiguration that emphasizes consolidating peacebuilding gains beyond mission withdrawal. Moreover, the Project's advocacy efforts have been critical in ensuring that transitions are high on the agenda of the Security Council, Member States, the Secretary-General and UN leadership. This is evidenced by the increased engagement and requests for support and guidance from the Project by key UN entities such as the Executive Office of the Secretary-General, the Deputies and Executive Committees, as well as senior leadership across the project partner entities and in the field.

Against this backdrop and in response to the increased requests from HQ and field presences, the United Nations Development Programme (UNDP), the United Nations Department of Peace Operations (DPO), the United Nations Department of Political and Peacebuilding Affairs (DPPA) seek to continue their collaboration and welcome the Development Coordination Office (DCO) as a new project partner to provide cross-pillar, integrated support to UN transition processes. The new iteration of the UN Transitions Project aims to capitalize on its previous achievements of supporting the UN system, host nations and partners to plan and implement transitions in a proactive, integrated and forward-looking way. Its overarching goal is to ensure that a nimbler UN

⁴ See OECD (2020), States of Fragility 2020, OECD Publishing, Paris

adjusts its strategy & footprint in line with changing circumstances and national peace & development priorities to better support host nations as they consolidate peacebuilding gains in cooperation with key national, regional and international partners. The 2030 Agenda for Sustainable Development, the Sustaining Peace Resolutions, the WPS and YPS agenda, the HDP Nexus, the Secretary-General's Prevention Agenda and the recent UN reform processes that include an emphasis on cross-pillar linkages, provide the UN with a framework for advancing both a development and a peace and security agenda in the context of transitions. The focus is to secure peace and development gains, reduce the risk of relapse and set countries on a path towards sustainable development.

The 2030 Agenda aspires to leave no one behind and reach the furthest behind first. The Agenda is global in nature and universally applicable to all countries, taking into account different national realities, capacities and levels of development, while fully acknowledging the need to make women, youth and other underrepresented groups major agents of this transformation. The success of a peace operation will ultimately be judged on whether the country concerned makes significant progress towards sustainable peace and development. The UN Transitions Project therefore works towards ensuring that the 2030 Agenda lies at the heart of transition planning efforts.

In 2015, a series of review and reform processes have acknowledged the importance of UN transitions. The reports of the High-Level Panel on Peace Operations (HIPPO), the Advisory Group of Experts on the Review of the Peacebuilding Architecture, and the Global Study on the Implementation of Security Council resolution 1325, found serious deficiencies in the ability of the UN to deliver on peace and security issues through its various interventions. The reports called for a conceptual shift from peacebuilding as a set of post-conflict interventions towards 'sustaining peace' – understood to be both a process and a goal that encompasses addressing the root causes of violent conflict. Taking these findings and the subsequent Sustaining Peace Resolutions together, there is a growing recognition that UN transitions do not end with the withdrawal of a UN mission. Instead, a UN transition process is about the reconfiguration of the UN presence to continue to support sustainable peace and development. It therefore needs to be timely, integrated and forward-looking to determine at an early stage how the UN presence can be made fit for purpose to do so.

Following these policy developments, the Secretary-General initiated wide-ranging institutional reforms of the UN Development System, the Peace and Security pillar, and Management System. The aim of these reforms is to ensure that the UN Development System is best placed to advance the 2030 Agenda and for the Peace and Security pillar to respond to the complex prevention challenges of the world today. The reforms are guided by four key themes across the system: Prioritize prevention; strengthen field focus; deliver on SDGs; and break down the silos. The project contributes to all key themes. Consequently, the Project was acknowledged as an example of cross-pillar collaboration in the UN system in the 2018 report of the Secretary-General on Peacebuilding and Sustaining Peace.⁵ The project seeks to ensure that the UN field presence is tailored according to the needs on the ground, and can more nimbly and effectively transition

⁵ 2018 Report of the Secretary-General: Peacebuilding and Sustaining Peace, para 17. P.5/19

between types of UN presences. Finally, the integrated nature of the project itself breaks down silos and facilitates the same in the field. The close collaboration between the three implementation agencies, to be complemented by DCO in its next project phase, enables the Project to contribute to four key objectives of the UN reforms: (1) prioritize prevention; (2) strengthen field focus; (3) deliver on the 2030 Agenda; (4) and breaking down the silos: the overarching goal of a successful transition is to prevent relapse into conflict and ensure that the host country is on a pathway towards sustainable development.

4.2 Project partners

The Transitions Project has been able to leverage the comparative advantages of UNDP, DPO and DPPA and foster cross-pillar collaboration to ensure proactive, integrated and forward-looking transition processes. To maximize the project's contribution in the context of the reforms of the UN Peace and Security architecture and the UN Development System and to continue to provide UN system-wide transition support, the Project partnership will be expanded to include DCO – mandated to manage and backstop the RC system and support the implementation of the 2030 Agenda. The purpose, objective and approach of the UN Transition Project is closely aligned and linked to the strategic plans and frameworks of each project partner, as outlined below.

UNDP

The Strategic Plan of the United Nations Development Programme sets the direction and ambition for focusing efforts on the 2030 Agenda, recognizing the integrated nature of sustainable development challenges in different contexts, and underscoring the vital role of partnerships. This is reflected in the three broad development settings described in the plan: eradicating poverty, structural transformations, and building resilience. UNDP plays a crucial role in consolidating peacebuilding gains during and after mission withdrawal through its Integrator Function and global expertise. UNDP is uniquely positioned to identify critical peacebuilding areas and ensure that transition planning is informed by national development strategies and the 2030 Agenda. At the country level, UNDP plays an important role in facilitating engagement with governments and national stakeholders in transition processes, thereby ensuring national leadership and ownership. UNDP also helps to ensure that transition planning is context specific, risk-informed and justified on the basis of multi-stakeholder assessments and a deep understanding of the root causes of conflict. At the global level, the new Global Policy Network (GPN) will enable its senior field leadership to easily access regional and global expertise on transition planning and management, and strengthen the partnerships to make this work possible.

DPPA

The overarching priority of the Department of Political and Peacebuilding Affairs is to contribute to a reduction in the risk of outbreak, escalation, continuation and recurrence of violent conflict globally, while also helping move towards recovery, increased social cohesion, reconstruction and development. DPPA recognizes that the risks of violent conflict do not follow linear paths but must be addressed holistically, simultaneously engaging with parties that are on the brink of

violence, helping to negotiate the end to violent conflicts, assisting Member States in coexistence efforts, and building resilient and inclusive societies. This also means that DPPA's objectives are necessarily overlapping and operate in synergy with each other: action-oriented early warning is part of an engagement strategy that often includes good offices, mediation, technical assistance and peacebuilding programming, while also leveraging the multilateral system and strong partnerships. Programmatic and technical activities are grounded in the politics of each situation and linked closely to the Secretary-General's good offices efforts. The UN Transition Project is at the heart of DPPA's three strategic goals, namely to (1) Contribute to preventing and resolving violent conflict, sustaining peace and building resilience, (2) Strengthen partnerships for prevention and resilience, and (3) Achieve a learning, innovative working culture that takes forward the vision of the Secretary-General.

DPO

Through his Action for Peacekeeping (A4P) initiative, the Secretary-General called on Member States, the Security Council, host countries, troop- and police- contributing countries, regional partners and financial contributors to renew our collective engagement with UN peacekeeping and mutually commit to reach for excellence. In the A4P declaration, the Secretary-General commits to sustaining peace through multidimensional peacekeeping operations by ensuring integrated analysis and planning for transitions and seeking greater coherence among UN system actors. During transitions from peacekeeping operations, the A4P declaration commits peacekeeping missions to support UN Country Teams to continue assisting host countries to build peace. Complementing this, Chapter 10 of the UN Peacekeeping Operations Principles and Guidance (the "Capstone Doctrine") is focused on transitions and highlights the importance of benchmarks as well as close consultation with partners and relevant stakeholders when a peacekeeping operation withdraws. The Integrated Assessment and Planning Policy also guides peace operations' planning in transition contexts.

DCO

The Development Coordination Office provides the managerial and oversight functions of the resident coordinator system under the collective ownership of the members of the United Nations Sustainable Development Group (UNSDG). As such its strategic objective is to ensure the UN development system and the broader development community efficiently and strategically support countries in advancing the 2030 agenda. DCO plays a key role in supporting countries in a UN transition context by supporting empowered, independent and impartial Resident Coordinators who are designated to lead transition processes, according to the Secretary-General's Planning Directive on the development of coherent and consistent UN Transition processes.

4.3 Lessons learned

Since its establishment in 2014, the UN Transitions Project has contributed significantly to organizational knowledge management and practice building to better plan and manage UN transition processes. By undertaking numerous lessons learned studies and After Action Reviews,

the Project has identified a number of recurrent challenges across different transition contexts and critical peacebuilding and development challenges in post-mission settings. Reflecting on these lessons, the evolving context of UN assistance, as well as the findings of the 2018 and 2020 independent project evaluations, five key lessons and insights have been generated that guide the development of the next project iteration:

1. **Transitions are complex, inherently political and strategic processes** that present a moment of heightened risk and uncertainty to the host country and the UN and require system-wide responses to preempt these realities.
2. **Sustaining political engagement during and after mission withdrawal is needed to support key peacebuilding priorities.** Transitions are often characterized by a decline in political leverage while many of the residual peacebuilding challenges are usually highly political in nature, requiring the UN to retain capacity for political analysis and meaningful political engagement to facilitate needed reforms. Safeguarding space for peacebuilding even as the Security Council disengages and as UN leverage decreases, requires the design of political strategies that can convene and engage a wide group of stakeholders (e.g. the UN Security Council, the Peacebuilding Commission, Member States, (sub)regional organizations, IFIs, CSOs) around a shared vision of the desired end state.
3. **Proactive and integrated transition planning is vital to ensure timely and forward-looking transitions.** UN transitions are not merely about the departure of a UN peace operation. They should instead be viewed as a process leading to an overall reconfiguration and strategic repositioning of the UN's presence. Continuous support to joint assessments and identification of peacebuilding priorities, the development of integrated transition plans that integrate a conflict and gender sensitive approach and system-wide coordination efforts is therefore necessary. Given the number of challenges underpinning weak integration, transition processes must be approached as multi-faceted organizational change processes. To drive this organizational change, UN leadership needs to have a strong understanding of substantive, cultural, human and communication aspects in transitions. Support from UNHQ needs to encompass these related but different components in a holistic manner.
4. **The 'financial cliff' represents a major risk for the host country's pathway to sustainable development.** ODA is a critical funding source in the fragile settings where UN Transitions almost exclusively take place. However, mission withdrawal often coincides with shrinking and less predictable aid flows. Particularly challenging is that already insufficient programmatic funding for peacebuilding activities reduces even further. This is compounded by the fact that a mission's presence often provides a considerable injection of economic activity into national economies. Their withdrawal, in turn, increases the economic challenges for the country's fragile context. In a climate of scarce resources, Missions, UNCTs and national authorities need to be supported to elaborate longer-term financing strategies, including by tapping into innovative transition financing modalities that will allow these actors

to deliver effectively together, and strengthen partnerships with International Financial Institutions (IFIs) and the private sector.

- 5. National leadership and ownership are critical in UN transition processes.** For transitions to support the achievement of the 2030 Agenda they must be owned and led by national counterparts. To ensure this, transition planning needs to be closely aligned to national development plans and strategies. Moreover, engagement with national stakeholders, including government entities, political parties, CSOs, women and youth groups and private sector, must happen at an earlier stage and must go beyond mere consultations, based on a joint understanding of key peacebuilding priorities. To achieve this, focus must be placed on capacity strengthening in areas that will be transferred after mission withdrawal and setting up joint planning and coordination structures.

5. The proposed UN Transitions Project

The UN Transitions Project has increased organizational capacities to better plan and manage UN transitions processes and has helped to improve organizational practice towards more proactive, integrated and forward-looking transitions. Direct country support has improved the way in which UN transition processes are planned and managed in various countries; the identification and sharing of lessons and good practices has helped to close knowledge gaps on critical transition aspects; the integrated nature of the Project has contributed to increase cross-pillar collaboration. In addition, the Project has influenced and contributed to various policy developments at the global level. Despite these achievements, capacities for integrated transition planning and management have not been sufficiently institutionalized. At the same time, the need for this support has never been greater, especially considering the complex contexts in which upcoming UN transitions will take place.

The next iteration of the Project has been carefully designed to effectively respond to this evolving context, increased demand and recent institutional and policy developments, outlined in the following approaches and strategies:

I. Project pillars

The lessons and insights gathered by the Project have led to the identification of three key areas that are shown to enable pro-active, integrated and forward-looking transition processes that best position the UN system to consolidate peacebuilding gains after mission withdrawal. To ensure sustained attention is given to these areas, the new project iteration is built around three corresponding pillars:

- Proactive and integrated planning
- Transition financing and programming
- Strengthening national ownership and regional engagement

The project will have different ways of engaging across these three thematic areas. The Project can, for example, be a key provider of expert operational support on integrated planning, while in areas such as financing and programming, the project may play a more accompanying and facilitating function rather than a direct implementing role. The modalities for the type of support that can be provided are outlined below and will be identified based on country needs and the added value the project can bring in different transition contexts.

II. Provision of timely and integrated operational support

The 2017 Independent Project Evaluation found that: “the support provided through Transition Specialists (TS), surge capacity and expert field visits has led to concrete results such as the elaboration of transition plans and other documents that support transitions. Such support has been catalytic in drawing attention to and enabling the conversation on transitions both from a planning and a programmatic perspective”. Considering the increased demand for transition planning support, the Project will continue to provide dedicated expertise to the Resident Coordinator’s Office (RCO), or Integrated Office and UN Agencies, Funds and Programmes (AFPs), through: (1) deployment of full-time Transitions Specialists, (2) short-term surge capacity by project staff or from a pool of internal and external experts deployed through existing rosters, and (3) joint expert visits to facilitate UN transition processes through analysis, trainings or workshops.

Transition Specialists

The 2020 independent project evaluation reconfirmed the importance of the Transition Specialists (TS) for more pro-active, integrated and forward-looking transition processes. Given that Transition Specialists provide extensive support for transition processes, their deployment will be prioritized in the context of complex transition processes, when full-scale transition planning is required. Against the backdrop of the UN reforms and in line with the evaluation recommendations, TSs will sit in the Resident Coordinator’s Office (RCO), report primarily to the Resident Coordinator (RC), and support system-wide planning and coordination efforts. TSs may also support individual UN Agencies to prepare programmatically and operationally for the post-mission phase. TSs have a legal and administrative relationship to UNDP, which necessitates an administrative reporting line to the UNDP Resident Representative (RR). To increase organizational buy-in and institutionalize capacities for transition planning, to the extent feasible, RCs are encouraged to co-finance the TS position after the first year.

III. ‘One stop shop’ for UN transition processes

As the only integrated mechanism providing transition assistance, the Project is uniquely positioned to serve the UN system as a ‘one stop shop’ for strategic and operational support on transition-related matters. The Project will do so by articulating and implementing a tailored knowledge management strategy to centralize existing knowledge and expertise. This will help provide a more coherent support framework that brings the UN system together to assist host nations and senior UN leadership in HQ and the field. As part of this function, the Project will develop support packages on transition-related issues across the three project pillars. These

transition support packages consist of guidance, knowledge products, existing tools as well as thematic experts that are easily accessible to HQ and field staff. In addition, the integrated nature of the Project's set-up and the cross-pillar collaboration it promotes will ensure that the Project can make the necessary linkages to other initiatives, such as the Peace and Development Advisors, and Nexus Advisors (where deployed) who provide complementary expertise to RCs.

IV. Institutionalizing transition capacities

While the previous project phase has increased efforts to institutionalize transition capacities, more needs to be done to ensure that these capacities become an integral part of organizational practice. The next iteration will therefore strengthen and anchor transition-related resources in the Organization to ensure that integrated support to transitions will be provided beyond the duration of the Project and become an integral part of the UN's planning culture. This will include establishing a talent pool of experts (both UN staff and consultants) with a variety of skills and experience relevant to transition contexts. This talent pool will be integrated into existing UN rosters to facilitate rapid deployment upon request. In addition, the Project will continue to focus on building the capacities of relevant UN technical staff such as RCO strategic planners, mission planners, gender advisors, PDAs, Nexus Advisors, OLROLSI staff, as well as senior UNHQ and country management through organizing global and country-level transition trainings.

V. From policy to practice

As the global policy level on transitions is evolving, in particular with the 2019 Secretary-General's (SG) Planning Directive and the ongoing review of the 2013 Integrated Assessment and Planning Policy (IAP), direct country support will focus on enhancing their implementation on the ground. This entails adjusting policies to realities on the ground through context-specific implementation guidance and advisory support. The Project has, for example, been requested by the EOSG to help with the roll-out of the SG's Planning Directive and track its implementation. The project will also continue to support the review and revision of the IAP by using behavioral insights to identify strategic challenges to and opportunities around joint assessments and planning, that could either hinder or enable collective UN impact in transition contexts. In turn, being anchored in the policy, learning and partnership divisions of the four project entities, the Project is also well positioned to act as a thought-leader that can feed lessons learned and best practices from the field into policy formulation processes at a global level.

VI. Integrating gender in transition processes

During mission drawdown there is a need to better safeguard and enhance gains on women, peace and security (WPS) and gender equality. The Project therefore will work to ensure that gender equality and WPS commitments are adhered to and mainstreamed throughout transition planning and management processes. The Project will incorporate the recommendations from the 2017 and 2020 project evaluation to undertake research and seek support to introduce gender in the project outputs and in the substance of the work on UN transitions. Together with dedicated gender focal points within the project partner entities, the Project will develop and roll-out guidance on

minimum standards for gender responsive transitions, support the implementation of gender-responsive conflict analysis to inform transition planning, and advocate for consistent focus on gender issues in transition planning among all stakeholders that project engages. These efforts aim to ensure that gender issues are pro-actively identified and continue to be addressed post-mission. Where required, the project will also provide dedicated surge support on gender equality and WPS to mission and UNCT members. The Project will also ensure that a gender lens is included throughout all its initiatives and that Transition Specialists deployed possess the relevant skills to do the same. Overall, this will ensure that throughout the project's outcomes and outputs, there is a systematic focus on integrating gender dimensions in transition planning efforts.

VII. Leveraging and expanding partnerships for transitions

The Project has made significant progress in establishing and strengthening partnerships for transitions. Its close cooperation and coordination between project partners and other UN entities, sustained engagement with the Executive Office of the Secretary General (EOSG), regular briefings to the EC/DC, advocacy with Member States and collaboration with other intergovernmental organizations such as OECD, as well as research institutions such as UNU, IPI and CIC, have resulted in an increased awareness of the importance of transitions for sustaining peace and has placed transitions more firmly on the agenda of the UN and Member States. Building on these efforts, the next project iteration aims to leverage these partnerships to ensure more coherent and sustained support to transition processes. The Project will do so by sourcing expertise across partners, building a common understanding of ways to address inherent transition challenges, and ensuring that system-wide support and resources are allocated to critical phases of the transition process and its aftermath.

In addition, recognizing that UN transition processes are still largely UN-centric, the Project will strengthen its engagement with national actors in host countries, (sub)regional entities (e.g. the African Union and ECOWAS), and IFIs who are critical to effective transitions. These institutions have different comparative advantages, from sustaining political engagement to mobilizing donor funding. More timely and institutionalized engagement by the UN could strengthen the normative, political and operational support these entities provide to countries facing UN transitions. The Project will therefore partner with institutions that have greater proximity to these actors, like the G7+, the Kofi Annan International Peacekeeping Training Centre (KAIPTC) and the OECD to undertake research, facilitate policy discussions and, where needed, build capacities to enhance the involvement of these entities in transition processes and generate broad-based national ownership and leadership among host nations.

Project timeframe

The proposed project period is December 2020 –June 2023. It is expected that this timeframe coincides with several upcoming transition processes (including the DRC and Mali) and will ensure the provision of continuous support to ongoing transition processes (Guinea-Bissau and Sudan), including beyond the withdrawal of these missions. In addition, the roll-out of the SG's Planning Directive will continue in this time period and will likely result in an increased number

of support requests from other peacekeeping missions and special political missions. The project's relevance and contributions can be evaluated and reviewed after this three-year timeframe.

Sustainability of results

The 2017 independent evaluation found the project to be relevant, effective and catalytic in the project priority countries, but identified the need for a more proactive and coherent engagement strategy – both within the UN as well as with Member States and other key partners – to ensure more systemic and sustainable impact on how UN transitions are planned and managed. The 2017 and 2020 evaluations also suggested steps to be taken to ensure the sustainability of the transition workstream. Since then the Project has contributed to making transition one of the most prominent items on the agenda of Member States, UN leadership, as well as relevant policy and research institutions⁶. The Peacebuilding Fund has created a transition financing window and the Development Cooperation Office has created a full-time resource to support RCs in forging a more integrated UNCT approach to transitions. Notwithstanding these positive developments, the gaps in support of proactive, integrated and forward-looking transitions remain critical: planning capacity in HQ and the field remains chronically weak, the RCO system has not yet fully been established, and a suitable home for transition-related capacity building has not yet been identified. The next project iteration therefore aims to further institutionalize transition capacities and ensure sustainability of results by:

- i. Ensuring the establishment of dedicated transition capacity at UNHQ and in the field by working with leadership and Member States to ensure that an integrated planning cell is being created that also provides transition support.
- ii. Working with existing Human Resources rosters, to establish a transition stand-by team.
- iii. Developing a transition curriculum to be included in existing UN trainings and practice building efforts.
- iv. Integrating findings from behavioral insights theory to strengthen the implementation of key transition policies.
- v. Supporting UN field leadership to incorporate change management as a key element of transition processes.
- vi. Supporting national actors to lead transition planning processes through institutionalizing transition planning capacities within national structures and institutions.
- vii. Deepening collaboration with the IFIs, including the World Bank, OECD, academic institutions and Member States by ensuring coherence and alignment at the country level and global policy level. In addition, increasing collaboration with these actors to mitigate the impact of transitions on the national economy through early assessments of its potential impact and the design of joint mitigation measures.
- viii. Strengthening engagement with regional and sub-regional entities, civil society and research institutions to increase their involvement in transition settings.

⁶ UN Transitions were the topic of the 2019 Security Council retreat and the 2020 High-level PBC meeting; Transition Financing was central to the 2019 INCAF meeting and is one of the main side-events at the 2020 Fragility Forum; the DSRSG retreat in Lausanne (May 2019) focused on UN Transitions; one of IPI's main workstreams is focusing on enhancing transitions and both UNU and CIC published on the matter in 2019 and 2020.

Lastly, consistent with lessons from previous transition processes, the Project will place greater emphasis on providing transition support beyond mission withdrawal to include the post-mission context and mission start-up phase, as needed.

6. Results framework

The overarching goal of the next iteration of the UN Transitions Project is to ensure that a nimbler UN adjusts its strategy & footprint in line with changing circumstances and national peace & development priorities to better support host nations as they consolidate peacebuilding gains in cooperation with key national, regional and international partners.

Theory of Change:

In pursuit of this goal, the following theory of change has been designed:

When the UN – during and after mission withdrawal – reconfigures its full range of peace and development capacities to provide more coherent and effective support, aligned to national priorities and needs, and in a manner that is nationally-led and owned, then host nations in transition settings are better equipped to address root causes of conflict, consolidate peacebuilding gains and take a lead in achieving sustainable peace and development.

Based on this theory of change, the below project outcomes and interrelated outcome-level theories of change have been designed to contribute to the overall goal underpinning the Project. It should be noted that outcome 1 & 4 focus on country-level results, whereas outcome 2 & 3 focus on the UNHQ and global policy level results. Since these two outcome levels are interrelated and mutually reinforcing, the theory of change for these outcomes are grouped together.

Theory of change outcome 1 & 4:

Outcome 1: The UN in transition settings adapts its strategy and footprint in a more pro-active, integrated, and forward-looking manner to support transitions.

Outcome 4: Host governments, CSOs (including women and youth networks), regional and subregional organisations, and bilateral partners increasingly collaborate with the UN on transitions in priority countries

If UN transition processes are approached in a more pro-active and forward-looking manner, then peacebuilding needs and priorities, including with regards to gender and youth issues, can be identified in a more timely way and required capacities to address these needs and priorities can be strengthened among the full range of UN entities, national stakeholders and other partners, including by putting in place sustainable programming and financing modalities, to avoid critical

peacebuilding gaps after mission withdrawal that may jeopardize hard-won stability and development.

If UN transition processes are planned and managed in a more integrated way, between UN missions and UNCT entities, and with national, regional and international stakeholders, then a shared understanding of priorities and types of interventions that need to be undertaken can be forged, a common strategy that is coherent and mutually supportive, based on comparative advantages, can be developed, and the contributions of different types of actors can be leveraged towards assisting host nations achieve peace and development.

If host nations have an increased understanding of UN transition processes, and if governments have the necessary internal planning and coordination capacities in place, national and sub-national stakeholders (including government and opposition parties, CSOs, private sector, traditional and religious leaders, women, youth and marginalized groups) can take a leading role in ensuring that UN transition processes are more sustainable by being aligned to national peace and development priorities, and through collaborating with the UN, prior and during mission withdrawal, to build on national systems and processes and work effectively through government to address critical peacebuilding tasks.

Theory of change outcome 2 & 3:

Outcome 2: UN Transitions are increasingly prioritized and institutionalized within the UN system and among Member States in a manner reflecting a more effective approach to transition processes.

Outcome 3: Key member states, regional organizations, IFIs & other partners increasingly collaborate with the UN on transitions.

If the UN system, Member States, regional organizations, IFIs and other partners have an increased understanding and recognition that UN transition processes present a moment of heightened risk to a country's peace and development prospect,

And if, the UN Transitions Project, through generating knowledge and sharing experiences, building partnerships and advocacy, enables the UN system and key partners to learn from and build on previous transition processes,

then UN entities, Member States and its partners are more likely to design and implement policies, strategies and business processes and make the necessary resources and capacities available to provide more coherent and expedited support to UN transitions processes and ensure that this support is mainstreamed and institutionalized across the Organization.

Outputs

Underpinning these outcomes, the project has designed the following outputs:

Under outcome 1:

Output 1: UN missions and Country Teams are increasingly engaged in pro-active and integrated transitions planning processes.

Under outcome 2:

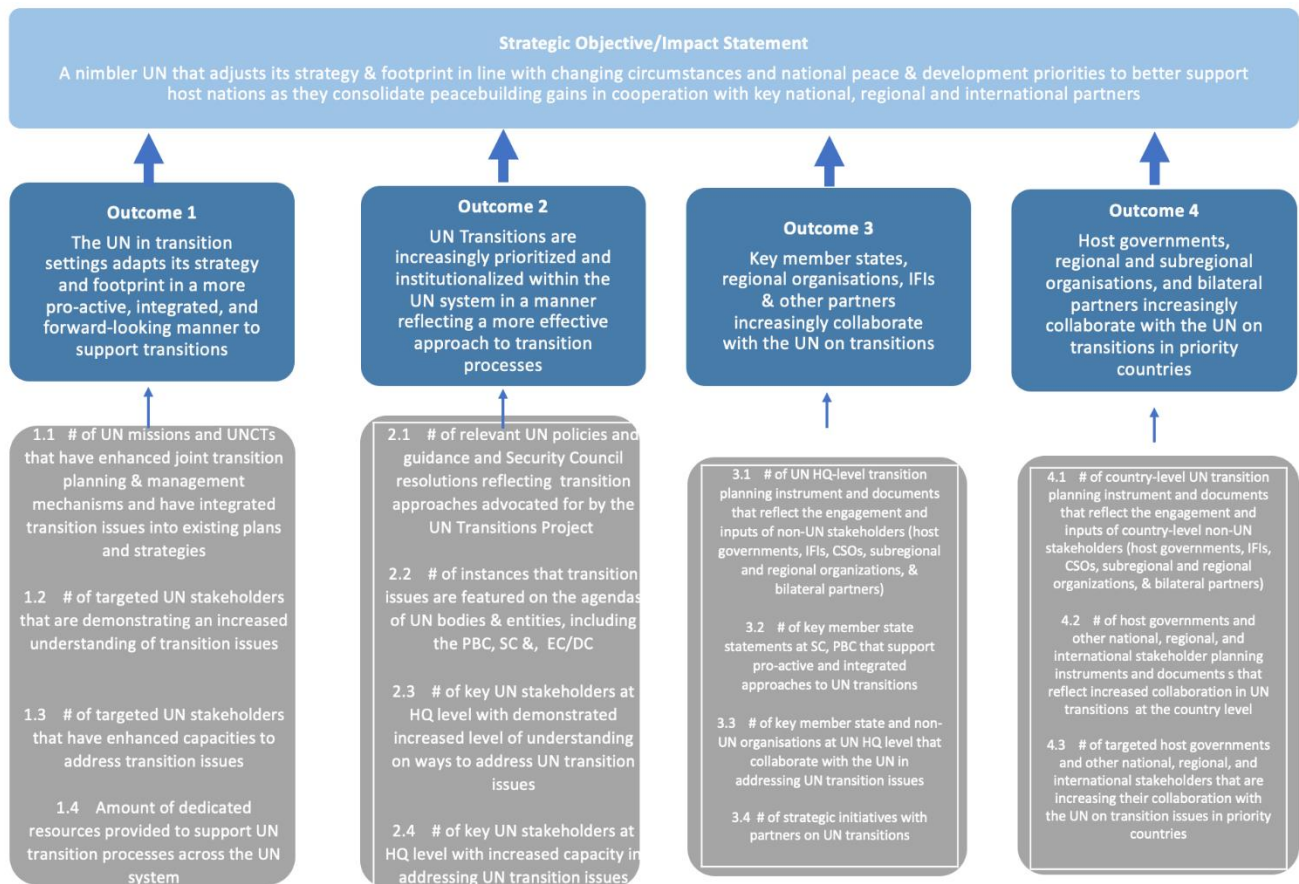
Output 2: UN stakeholders at HQ level are increasingly engaged to prioritize transitions planning in policy and guidance

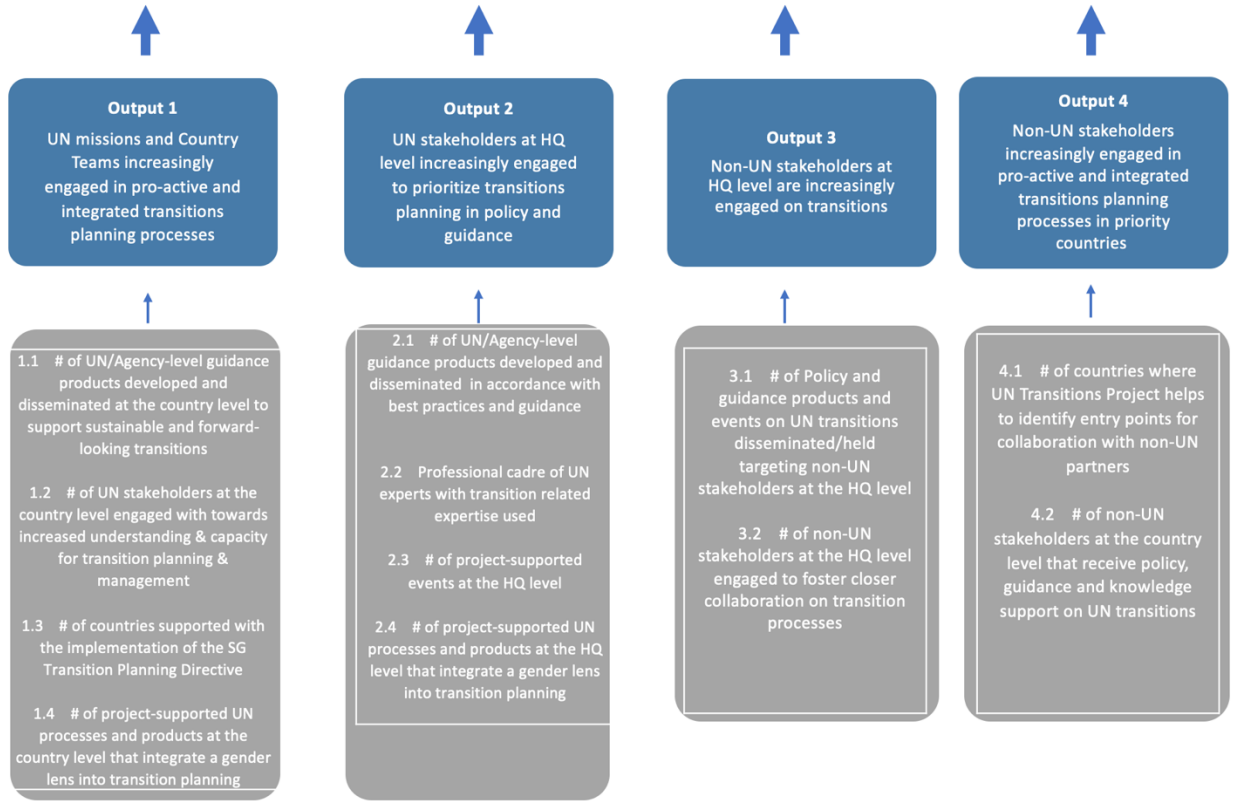
Under outcome 3:

Output 3: Non-UN stakeholders at HQ level are increasingly engaged on transitions.

Under outcome 4:

Output 4: Non-UN stakeholders (including government entities and opposition parties, CSOs, private sector, traditional and religious leaders, women, youth and marginalized groups) are increasingly engaged in pro-active and integrated transitions planning processes in priority countries





Results based framework

UN Transitions Project – Sustaining Peace and Development Beyond Mission Withdrawal

UNDP Strategic Plan outcome: Building resilience to crises and shocks, in order to safeguard development gains.

DPPA Strategic Plan outcome: Contribute to a reduction in the risk of outbreak, escalation, continuation and recurrence of violent conflict globally, while also helping move towards recovery, increased social cohesion, reconstruction and development.

DPO Strategic Plan outcome: Sustaining peace by ensuring greater coherence among UN system actors and committing peacekeeping missions to support UN Country Teams to continue assisting host countries to build peace.

DCO Strategic Plan outcome: Ensure the UN development system and the broader development community efficiently and strategically support countries in advancing the 2030 agenda

Sustainable Development Goal: SDG 16: Promote peaceful and inclusive societies for sustainable development

Project Outcome 1: The UN in transition settings adapts its strategy and footprint in a more pro-active, integrated, and forward-looking manner to support transitions

Global indicators:

Outcome indicator 1: # of UN missions and UNCTs that have enhanced joint transition planning & management mechanisms and have integrated transition issues into existing plans and strategies.

Outcome indicator 2: # of targeted UN stakeholders that are demonstrating an increased understanding of transition issues.

Outcome indicator 3: # of targeted UN stakeholders that have enhanced capacities to address transition issues.

Outcome indicator 4: Amount of dedicated resources provided to support UN transition processes across the UN system.

Project Outcome 2: UN Transitions are increasingly prioritized and institutionalized within the UN system in a manner reflecting a more effective approach to transition processes

Global indicators:

- Outcome indicator 1: # of relevant UN policies and guidance and Security Council resolutions reflecting transition approaches advocated for by the UN Transitions Project.
- Outcome indicator 2: # of instances that transition issues are featured on the agendas of UN bodies & entities, including the PBC, SC & EC/DC.
- Outcome indicator 3: # of key UN stakeholders at HQ level with demonstrated increased level of understanding on ways to address UN transition issues.
- Outcome indicator 4: # of key UN stakeholders at HQ level with increased capacity in addressing UN transition issues.

Joint Project Outcome 3: Key member states, regional organisations, IFIs & other partners increasingly collaborate with the UN on transitions

Global indicators:

- Outcome indicator 1: # of UN HQ-level transition planning instrument and documents that reflect the engagement and inputs of non-UN stakeholders (host governments, IFIs, CSOs, subregional and regional organizations, & bilateral partners).
- Outcome indicator 2: # of key member state statements at SC, PBC that support pro-active and integrated approaches to UN transitions.
- Outcome indicator 3: # of key member state and non-UN organisations at UN HQ level that collaborate with the UN in addressing UN transition Issues.
- Outcome indicator 4: # of strategic initiatives with partners on UN transitions.

Joint Project Outcome 4: Host governments, regional and sub-regional organisations, and bilateral partners increasingly collaborate with the UN on transitions in priority countries

Global indicators:

- Outcome indicator 1: # of country-level UN transition planning instrument and documents that reflect the engagement and inputs of country-level non-UN stakeholders (host governments, IFIs, CSOs, subregional and regional organizations, & bilateral partners).
- Outcome indicator 2: # of host governments and other national, regional, and international stakeholder planning instruments and documents that reflect increased collaboration in UN transitions at the country level.
- Outcome indicator 3: # of targeted host governments and other national, regional, and international stakeholders that are increasing their collaboration with the UN on transition issues in priority countries.

Results Based Framework

Transition Project outputs	Planned activities					Planned budget	
Outputs and output indicators	Indicative activities	Y1	Y2	Y3	Responsible party/ implementing partners	Budget activity (training, travel, IC etc.)	Total budget
Output 1: UN missions and Country Teams increasingly engaged in pro-active and integrated transitions planning processes.	<u>1.1. leadership accompaniment and support on transition issues</u> Development and delivery of training module on change management strategy for senior leadership. Senior leadership accompaniment and mentorship (e.g. coaching, peer-to-peer learning, process support)	180,000	140,000	140,000	With UNLOCK	Travel, workshop, UNLOCK expertise	460,000
	<u>1.2. Transition trainings & training curriculum development</u> Development and delivery of tailored transition trainings and workshops (e.g global HQ training, country-level trainings, transition modules into related thematic UN trainings)	110,000	110,000	110,000	Project team	Training, travel, facilitator	330,000
	<u>1.3. Implementation of the SG Planning Directive</u> Support roll-out and implementation of SG Transition Directive (e.g guidance and support to capacity and comparative advantage mapping methodology, gender responsive conflict methodology, operational reliance and asset transfer, Joint assessment of benchmarks)	75,000	75,000	75,000	Project team, DOS, Gender Focal Points, DPO Best Practice Officers (BPO)	Travel, staff costs, consultancy	225,000
	<u>1.4. Provision of operational support and technical expertise</u> Deployment of Transition Specialists (full-time capacity to coordinate system-wide transition planning and management)	818,737	818,737	818,737	Project team	Staff costs	2,456,211

	1.5. <u>Provision of stand-by capacity and surge support</u> (e.g. transition-related thematic expertise and programming support for UNCTs and missions, upon request)	648,177	648,177	648,177	Project team/ Detailed Assignment/ Consultant	Staff costs, Travel, consultancy	1,944,531
	1.6. <u>Establishment of Transition stand-by team</u> And integrate stand-by team into existing rosters	x	x	x	Staff time		N/A
	Total output 1	1,831,914	1,791,914	1,791,914			5,415,742
Output 2: UN stakeholders at HQ level increasingly engaged to prioritize transitions planning in policy and guidance	<u>2.1 Practice-oriented knowledge and guidance products and policy development support</u> Knowledge management strategy aimed at creating a ‘one stop shop’ on transition planning & management, including an online platform	63,556.75	63,556.75	63,556.75	Project Team, including in-kind contribution	Staff time	190,670 (fully in-kind)
	<u>2.2 Lessons learned studies on key transition issues</u> (e.g. sustaining protection beyond mission withdrawal, mapping of reconfiguration options, gender responsive transitions, country specific case studies etc.)	229,683.75	229,683.75	174,683.75	Project team with lead departments, including in-kind contribution	Travel, workshop	634,051 (of which 190,670 in-kind)
	<u>2.3 Enhance and improve provision of support from UNHQ to the field on transition planning and management</u> Including through close engagement with and support to EOSG, PBSO, DPO/DPPA/DCO/ UNDP (regional) desks	44,461	44,461	44,461	Project Team,	Staff time	133,383
	Total output 2	210,588	210,588	155,588			576,764
	DCO,DPO,DPPA,UNDP in-kind contribution	127,113.5	127,113.5	127,113.5			381,340

Output 3 Non-UN stakeholders at HQ level are increasingly engaged on transitions	3.1 <u>Explore new and strengthen existing global partnerships to support UN transitions</u>	63,556.75	63,556.75	63,556.75	Project Team, including in-kind contribution	Staff time	190,670 (fully in-kind)
	3.2 <u>Enhance collaboration with the EU in transition settings</u> (e.g IC in Brussels, convene coordination meetings, joint lessons learned study)	30,000	30,000	X	Project Team, DPO Office Brussels	Consultant, travel	60,000
	3.3 <u>Support awareness raising and advocacy on key transition issues</u> (among non-UN stakeholders, including IFIs, Regional Organizations, Academia and other partners)	63,556.75	63,556.75	63,556.75	Project Team, including in-kind contribution	Staff time	190,670 (fully in-kind)
	Total output 3	30,000	30,000				60,000
	DCO,DPO,DPPA,UNDP in-kind contribution	127.113,5	127.113,5	127.113,5			381,340
Output 4: Non-UN stakeholders increasingly engaged in pro-active and integrated transitions planning processes in priority countries	4.1 <u>Strengthening national ownership</u> Guidance and lessons learned studies on host country perspectives on transitions (validation workshop, development of guidance).	40,000	70,000	20,000	project team	Travel, workshop	130,000
	Deployment of national transition Specialists with host governments		291,511	291,511	Project Team	Staff costs	583,022
	4.2 <u>Transition Financing</u> Enhancing transition financing strategies (e.g. develop guidance on national financing strategies, engagement efforts with IFIs)	60,000	30,000	30,000	With OECD	Staff costs, travel	120,000
	4.3 <u>strengthening regional engagement</u> Workstream on enhancing the role of regional entities in transition contexts (joint study with KAIPTC, workshop)	74,152	93,000		DPPA, Project team and KAIPTC	Travel, workshop	167,152
	Total output 4	174,152	484,511	341,511			1,000,174

	Total programmatic activities	2,246,654	2,517,013	2,289,013		7,052,680
	Total DCO,DPO,DPPA,UNDP in-kind contribution	254,227	254,227	254,227		762,681

General Management Support	Type of support	Breakdown by Year			BUDGET
		Y1	Y2	Y3	
	Project Manager (P4) (\$254.227 per annum)	254,227	254,227	254,227	762,681
	Transition Specialist (P2) (50% for management support: \$88.922)	88,922	88,922	88,922	266,766
	Admin Support (G6) (\$126.924)	126,924	126,924	126,924	380,772
	Evaluation			50,000	50,000
	M&E	6,666	6,666	6,666	20,000
	Common services	60,000	60,000	60,000	180,000
	Total for Management Support	536,739	536,739	586,739	\$1,660,219

Budget summary

	Year 1	Year 2	Year 3	Total
Sub-total Programmatic activities	2,246,654	2,517,013	2,289,013	7,052,680 (72.13% of total)
Management support	536,739	536,739	586,739	1,660,219 (20.47% of total)
Sub-total	2,783,393	3,053,752	2,875,752	8,712,897
GMS (8%)⁷	222,671	244,300	230,060	697,031
TOTAL BUDGET (expenditure plus GMS)	3,006,064	3,298,052	3,105,812	9,409,928

⁷ Does not apply to in-kind contribution.

7. Management and coordination arrangements

Governance

UNDP, DPO, DPPA, and DCO are the participating organizations in this joint project. UNDP is the designated Management Agent and would receive funds from donors (and participating UN organizations, if applicable) and would manage these in accordance with the project partners. The joint *Project Steering Committee (PSC)* serves as the overall governance structure of the joint project and will be constituted in accordance with a Terms of Reference to be approved in the first Steering Committee meeting. The PSC consists of Directors of the learning and partnership divisions of the project partner entities.⁸ The PSC will be convened every three months and is mandated to:

- Provide ultimate oversight to the joint project on behalf of the project partners;
- Approve annual work plans and budgets;
- Review and approve the generic Terms of Reference for the Transition Specialists (TS);
- Approve the generic check-list for TS deployment;
- Approve requested changes to any of the joint project policies;
- Monitor project implementation progress;
- Review the strategic direction of the joint project;
- Endorse Knowledge Products produced by the project;
- Propose new strategic areas of collaboration or joint initiatives, as appropriate;
- Keep UN senior leadership regularly informed about the achievements of the project and deliberations as well as decisions of the Project Steering Committee; and
- Engage on a regular basis with (a) selected Member States, and (b) relevant UN entities to exchange ideas and discuss how to improve UN transitions.

The PSC chair will be rotating among the project partners every three months and in a synchronized manner with the PSC meetings. Decisions in the PSC will be taken by consensus.

Management

Ensuring the timely implementation of the project and completion of the deliverables outlined in this proposal will be responsibility of the Project Management Team (PMT), consisting of the Project Focal Points and the Project Secretariat. Efforts will be made to seek consensus among PMT. In case consensus cannot be reached, decisions will be taken by the PSC members.

Overall management responsibility for the Joint Project shall rest jointly with the Project Focal Points who are designated to the Joint Project by their respective UN entities, thereby ensuring full joint ownership at the management level as well as optimal integration of the joint project within the broader frameworks of UNDP, DPO, DPPA, and DCO.

⁸ DCO: Chief, Policy and Programming Branch; DPO: Director Division of Policy, Evaluation and Training, DPPA: Chief of Policy, Regional Organizations and Guidance, UNDP: Team Leader Conflict and Fragility Policy and Engagement Team

The dedicated **Project Focal Points** from each of the four partners are not financed through the project but their respective entities and will dedicate approximately 30% of their time to the project.

The Project Focal Points are mandated to:

- Develop the annual project workplan;
- Provide oversight of implementation;
- Attend weekly PMT meetings;
- Review and adjust the Annual Workplan (if suggested changes remain within 20% of the budget allocated in the Annual Workplan that was endorsed by the PSC);
- Review and clear knowledge products;
- Coordinate with respective PSC members, desks, policy and learning units;
- Draft transition-related Talking Points meeting notes for their respective organizations;
- Share information and consult transition issues with their respective entities;
- Represent, when necessary, the project during technical meetings and events; and
- Clear (donor) reports and project briefings.

Under the supervision of the Project Focal Points, the **Project Secretariat** shall provide the day-to-day management and implementation of the project. The Secretariat shall:

- Draft the annual workplans;
- Ensure the timely, efficient and effective implementation of the annual workplans;
- Provide and/or facilitate direct operational and technical support to field and HQ entities;
- Deploy, when deemed critical, for short-term assignments and as system-wide surge capacity to transition priority countries;
- Lead on guidance, learning and policy development efforts initiated by the Project;
- Ensure effective coordination between all project partners including through information sharing, including written monthly updates;
- Convene meetings and regular consultations;
- Manage project finances in line with the annual workplans and manage the processes by which project finances are distributed to the project partners;
- Coordinate engagement with existing and prospective donors; and
- Ensure timely submission of progress reports.

To adequately fulfill its role, the Project Secretariat will comprise the following capacities:

- Joint Project Manager (operational support and management)
- Project Specialist (operational support and capacity building)⁹
- Project Specialist (coordination and communication)
- Project and finance associate

⁹ This post is included in activity area 1.4: “Provision of operational support and technical expertise”

The Secretariat will be organized in a way to ensure that project management responsibilities are distributed among its members, thereby allowing that all Secretariat staff can build up and deepen thematic expertise.

All staff hired by the Project shall serve the project partners equally. To ensure this, project staff will report to the Project Management Team and, in turn, project partners are expected to provide inputs and feedback with regards to work priorities and work planning. While UNDP retains overall responsibility for performance management assessment and managerial oversight for UNDP contract holders at UNHQ, project partners have a responsibility to contribute to the performance management of project staff, including through performance assessments.

To enhance transition processes on the ground, **Transition Specialists** will be deployed to project priority countries. They will be based in the Office of the Resident Coordinator to enhance proactive, integrated, and forward-looking transition planning and management. Transition Specialists will have a primary reporting line, related to the substantive work and its supervision, to the RC. Given that UNDP is the administrative agent of the project, the Transition Specialist will have an administrative reporting line to the RR which includes legal, human resources, duty of care and other administrative matters. To ensure a system-wide approach, the Transition Specialist will work through the established integrated coordination mechanisms.

Coordination and cooperation

To ensure more systematic coordination and coherent implementation with other critical UN entities, an Advisory Board/Reference Group will be created. The advisory board is envisioned as the principal mechanism for coordination among (external) project partners to ensure system-wide information-sharing on transition issues and enhance buy-in of external partners in the project's objectives. Meeting twice a year, the Advisory Board carries out the following functions:

- Review the implementation of the annual workplan of the Project;
- Provide advice on strategic direction of the Project and implementation of activities;
- Discuss new ideas, emerging needs and challenges affecting the project;
- Share information on other transition-related initiatives in the system;

The Advisory Board will consist of EOSG, PBSO, DOS, UNLOCK, UN Women, GFP, DPPA/DPO/UNDP/DCO desk officers, and IPI). The board will be chaired by the designated Project Steering Committee Chair (following the same rotation schedule).



8. Fund management arrangements

The Steering Committee provides strategic direction and oversight, and has decision-making authority. UNDP shall be the ‘Managing Agent’ (MA), responsible for technical as well as financial coordination and reporting. Under this modality the MA shall receive and administer donor funds for the implementation of the project, in accordance with the provisions of the agreed joint work plan and budget. The MA is accountable programmatically and financially for the joint Project, including for harmonized donor reporting and to coordinate technical inputs by all participating project partners. A joint Project Document and joint annual work plans will be developed and signed by all project partners.

In line with annual workplans, project funds can be transferred to other project partners if specific deliverables require this (e.g. in cases where other project partners need to hire consultants or provide surge support). Such transfers should be anticipated for the whole project year and be carried out in one Agency to Agency agreement between UNDP and the respective project partner. This modality should be applied only where deemed absolutely necessary because of the administrative work involved and the associated overhead costs.

Resource Mobilization

The project partners are jointly responsible for fundraising and resourcing the joint project. The joint project has increased its partner and donor base in the last few years, and the budget of the

project has grown in line with the additional demand for the project engagement. The Project income raised from approximately \$1.2 million in 2014 to anticipated \$2.9 million in 2020. The project continues its successful model of donor engagement and will attempt to further build on these partnerships to gain additional supporters for the project. Strategies to gain additional support from new donors will include organizing regular partner events where the profile of the joint project can be elevated to the attention of larger group of Member States, as well as bilateral visits and policy dialogues. The project also relies on partners to advocate for the project among other Member States to increase interest in the project among a wider set of possible partners.

9. Monitoring, evaluation and reporting

Implementation of the new phase of the UN Transitions Project will be guided by a systematic approach to monitoring, evaluation and reporting. As indicated in the below table, monitoring will occur against the outcome and output level indicators against which progress will be measured at the global/programme level, along with baselines, targets, data collection methods and means of verification. Supporting indicators and/or country level indicators, also identified in the proposed monitoring framework, will help to provide a picture of progress (or otherwise) at the global level. These indicators have been carefully selected for their ability to track the changes envisaged by the project. The framework has integrated a gender sensitive focus through the use of disaggregated data and gender-specific indicators. The joint project secretariat will be responsible for leading all regular monitoring processes, including coordinating data collection and tracking of progress against these targets, with support as needed from the participating UN entities and deployed TSs. Anticipated monitoring tools will include some of the following:

- Integrated Transition Calendars,
- SG Directive Implementation Matrix,
- Transition Plans in priority countries,
- TS annual reports,
- Regular TS reports (bi-monthly),
- RC surveys (annual) from priority countries,
- RC feedback from priority countries,
- UNDP (RR) feedback from priority countries,
- Feedback from desk officers of Transition priority countries,
- Monitoring missions by Project Management Team.

Evaluation

At the end of the project, a robust and independent evaluation will be conducted that will take stock of progress against planned results and provide recommendations. Recommendations of this evaluation will inform planning for any needed adjustments to the UN approach to transitions. The recommendations will be reported back to all stakeholders, including donors/ development partners.

Reporting

Annual joint project reports (narrative and financial) will present analysis of progress against results and indicator targets agreed in the joint monitoring framework, and analysis of lessons learned, challenges and risks. Prepared by the joint project secretariat with input from the participating UN entities and deployed TSs, the reports will reflect progress and achievements of the project in an integrated manner. The reporting will cover progress against outcomes and outputs as agreed in the monitoring framework. Noting the need to generate new evidence to improve programming and policy work, the annual report will focus on highlighting best practices on women and youth's empowerment and inclusion, as separate focus areas. Annual reports shall be submitted to donors/development partners following approval by the Project Steering Committee.

Global level indicators	Reporting type	Collection methods and means of verification (with indicative timeframe & frequency)	Baseline(s)	Target(s)
Outcome indicators				
Project Outcome 1: The UN in transition settings adapts its strategy and footprint in a more pro-active, integrated, and forward-looking manner to support transitions				
Outcome indicator 1.1: # of UN missions and UNCTs that have enhanced joint transition planning & management mechanisms and have integrated transition issues into existing plans and strategies	Quantitative & Qualitative	C: Transition Specialist (TS)/Surge staff Reports, UN planning frameworks (e.g. ISFs, Cooperation Frameworks), Transition Calendars, Secretary-General Reports V: PMT	To be indicated upon completion of detailed M&E framework	To be indicated upon completion of detailed M&E framework
Outcome indicator 1.2: # of targeted UN stakeholders that are demonstrating an increased understanding of transition issues	Quantitative & Qualitative	C: TS/Surge staff Reports, Secretariat, interviews/surveys with RCs and key UN stakeholders V: PMT	idem	idem
Outcome indicator 1.3: # of targeted UN stakeholders that have enhanced capacities to address transition issues	Quantitative & Qualitative	C: TS/Surge staff Reports, Secretariat, interviews/surveys with RCs and key UN stakeholders V: PMT	Idem	idem
Outcome indicator 1.4: Amount of dedicated resources provided to support UN transition	Quantitative	C: consultations, mission budgets V: PMT	Idem	idem

processes across the UN system				
Outcome 2: UN Transitions are increasingly prioritized and institutionalized within the UN system in a manner reflecting a more effective approach to transition processes				
Outcome indicator 2.1: # of relevant UN policies and guidance and Security Council resolutions reflecting transition approaches advocated for by the UN Transitions Project	Quantitative & Qualitative	C: Secretariat analysis of relevant policies, publications, strategies and statements V: PMT	idem	idem
Outcome indicator 2.2: # of instances that transition issues are featured on the agendas of UN bodies and entities, including the PBC, Security Council, and EC/DC	Quantitative	C: Review of SC, PBC, EC/DC agendas V: PMT	Idem	idem
Outcome indicator 2.3: # of key UN stakeholders at HQ level with demonstrated increased level of understanding on ways to address UN transition issues	Quantitative & Qualitative	C: Secretariat analysis of relevant engagement of UN partners, including through attendance of events/conferences/brownbags etc. V: PMT	Idem	idem
Outcome indicator 2.4: # of key UN stakeholders at HQ level with increased	Quantitative	C: Stock-taking exercise by project as well as through Integration Working Group	Idem	idem

capacity in addressing UN transition issues		V: PMT		
Outcome 3: Key member states, regional organisations, IFIs & other partners increasingly collaborate with the UN on transitions				
Outcome Indicator 3.1: # of UN HQ-level transition planning instrument and documents that reflect the engagement and inputs of non-UN stakeholders (host governments, IFIs, CSOs, subregional and regional organizations, & bilateral partners)	Quantitative & Qualitative	C: Analysis of documents, data on consultations/meetings with stakeholders from UNHQ Secretariat and field V: PMT	Idem	idem
Outcome Indicator 3.2: # of key member state statements at SC, PBC that support pro-active and integrated approaches to UN transitions	Quantitative	C: review of PBC, SC public statements, consultations with member states V: PMT	Idem	Idem
Outcome Indicator 3.3: # of key member state and non-UN organisations at UN HQ level that collaborate with the UN in addressing UN transition issues	Quantitative & Qualitative	C: Analysis of documents, meetings, events, statements, consultations with relevant staff V: PMT	Idem	idem
Outcome Indicator 3.4: # of strategic initiatives with partners on UN transitions	Quantitative & Qualitative	C: documentation of initiatives by project V: PMT	Idem	idem
Outcome 4: Host governments, regional and sub-regional organisations, and bilateral partners increasingly collaborate with the UN on transitions in priority countries				

Outcome Indicator 4.1: # of country-level UN transition planning instrument and documents that reflect the engagement and inputs of country-level non-UN stakeholders (host governments, IFIs, CSOs, subregional and regional organizations, & bilateral partners)	Quantitative & Qualitative	C: TS, surge staff analysis and reports. V: Secretariat, PMT	Idem	idem
Outcome Indicator 4.2: # of host governments and other national, regional, and international stakeholder planning instruments and documents that reflect increased collaboration in UN transitions at the country level	Quantitative & Qualitative	C: TS, Surge Staff, analysis of key documents/reports, consultations with relevant staff V: Secretariat, PMT	Idem	idem
Outcome Indicator 4.3: # of targeted host governments and other national, regional, and international stakeholders that are increasing their collaboration with the UN on transition issues in priority countries		C: Reports from TSs/Surge staff, survey by secretariat, V: Secretariat, PMT	Idem	idem
Output Level Indicators				
Output 1: UN missions and Country Teams increasingly engaged in pro-active and integrated transitions planning processes				

Output indicator 1.1: # of UN/Agency-level guidance products developed and disseminated at the country level to support sustainable and forward-looking transitions	Quantitative & Qualitative	C: TS/Surge and Secretariat staff survey V: Secretariat, PMT	idem	idem
Output indicator 1.2: # of UN stakeholders at the country level engaged with towards increased understanding & capacity for transition planning & management	Quantitative	C: TS/Surge staff surveys V: Secretariat, PMT	Idem	idem
Output indicator 1.3: # of countries supported with the implementation of the SG Transition Planning Directive	Quantitative	C: Secretariat, TS/Surge Staff V: PMT	Idem	idem
Output indicator 1.4: # of project-supported UN processes and products at the country level that integrate a gender lens into transition planning	Quantitative & Qualitative	C: Secretariat, TS/surge staff surveys V: PMT	Idem	idem
Output 2: UN stakeholders at HQ level increasingly engaged to prioritize transitions planning in policy and guidance				
Output indicator 2.1: # of UN/Agency-level guidance products developed and disseminated	Quantitative & Qualitative	C: Secretariat V: PMT	idem	idem

in accordance with best practices and guidance				
Output indicator 2.2: Professional cadre of UN experts with transition related expertise used	Quantitative & Qualitative	C: Secretariat V: PMT	Idem	idem
Output indicator 2.3: # of project-supported events at the HQ level	Quantitative	C: Secretariat V: PMT	Idem	idem
Output indicator 2.4: # of project-supported UN processes and products at the HQ level that integrate a gender lens into transition planning	Qualitative & quantitative	C: Analysis of transition processes and products V: PMT	Idem	idem
Output 3: Non-UN stakeholders at HQ level are increasingly engaged on transitions				
Output indicator 3.1: # of Policy and guidance products and events on UN transitions disseminated/held targeting non-UN stakeholders at the HQ level	Quantitative	C: Review of policies, guidance and events/meetings - Secretariat V: PMT	Idem	idem
Output indicator 3.2: # of non-UN stakeholders at the HQ level engaged to	Qualitative & quantitative	C: Review and surveys expert interviews V: PMT	Idem	idem

foster closer collaboration on transition processes				
Output 4: Non-UN stakeholders increasingly engaged in pro-active and integrated transitions planning processes in priority countries				
Output indicator 4.1: # of countries where UN Transitions Project helps to identify entry points for collaboration with non-UN partners	Quantitative & Qualitative	C: TSs/Surge staff reports, V: PMT	Idem	Idem
Output indicator 4.2: # of non-UN stakeholders at the country level that receive policy, guidance and knowledge support on UN transitions	Quantitative	C: TSs/Surge staff surveys, Secretariat V: PMT	Idem	idem

10. Legal context or basis of relationship

The participating UN entities of the joint project are constituted on the legal bases detailed in the table below and participate in the joint project based on and in full accordance with their respective mandates, policies and procedures.

Participating UN entity	Legal basis
UNDP	UNDP was established in 1965 by the United Nations General Assembly and became operational in January 1966. In resolution 2029 of 22 November 1965, the General Assembly decided “to combine the Expanded Programme of Technical Assistance and the Special Fund in a programme to be known as the United Nations Development Programme”. Through decision 94/14, the Executive Board of UNDP decided that “the overall mission of UNDP should be to assist programme countries in their endeavour to realise sustainable human development, in line with their national development programmes and priorities...”
DPPA	The General Assembly through GA resolution A/RES/72/262C endorsed the establishment of the Department of Political and Peacebuilding Affairs (DPPA) effective 1 January 2019.
DPO	The General Assembly through GA resolution A/RES/72/262C endorsed the establishment of the Department of Peace Operations (DPO) effective 1 January 2019.
DCO	The General Assembly through GA resolution A/RES/72/279 endorsed the transformation of the Development Operations Coordination Office (DOCO) to assume managerial and oversight functions of the RC system under the leadership of an Assistant Secretary-General and under the ownership of the members of the ‘UN Sustainable Development Group,’ as a stand-alone coordination office within the Secretariat, reporting to the Chair of the Group (the Deputy-Secretary-General) effective 1 January 2019.

UNDP shall ensure, in its capacity as Managing Agent, that project implementation is undertaken in accordance with its financial regulations, rules, practices and procedures to the extent that they do not contravene the principles of the Financial Regulations and Rules of UNDP. Where the financial governance of an implementing partner does not provide the required guidance to ensure best value for money, fairness, integrity, transparency, and effective international competition, the financial governance of UNDP shall apply.

The participating UN entities agree to undertake all reasonable efforts to ensure that none of the funds received pursuant to the Project Document are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by Participating UN organizations do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under the programme document.