

Policy Title	Policy and Procedures for Development and Approval of the Country Programme Document.
Previous title (if any)	
Policy objective	The policy outlines the process for developing and approving the CPD. It includes information on developing the draft, review and quality assurance steps, revision and clearance, editing and submission to the Executive Board and review and approval.
Target audience	This policy applies to all UNFPA personnel, particularly those involved in the development and approval of a CPD
Risk control matrix	Control activities that are part of the process are detailed in the <a href="#">Risk Control Matrix</a>
Checklist	N/A
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Approval	Approved at March 2017 Executive Committee Meeting.

## **INTERIM POLICY AND PROCEDURES FOR DEVELOPMENT AND APPROVAL OF THE COUNTRY PROGRAMME DOCUMENT (CPD)**

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## I. Purpose

This policy and procedures apply to the development and approval of the UNFPA country programme document (CPD).

A UNFPA supported country programme is developed based on national plans and priorities of the government and implemented jointly by national partners and UNFPA. It is aligned with the United Nations Development Assistance Framework (UNDAF), or its equivalent, and with UNFPA's [Strategic Plan](#).

A CPD articulates UNFPA's contribution to achieving national priorities, goals and results set out in the UNDAF, or equivalent, with an indication of the resources needed to achieve such results. It includes information on programme management, monitoring, evaluation, risk management, safety and security, implementation arrangements, partnerships and indicative budgets.

## II. Policy

The country programme, which usually follows a five-year cycle, is harmonized (including for review and approval) with the UNDAF and with country programmes of other United Nations organizations operating in the country. Normally, the CPD is finalized once the UNDAF is completed, and submitted to the UNFPA Executive Board, for review and approval (per EB decision 2014/7), in the year prior to the first year of its implementation. UNDP, UNFPA, UNICEF and WFP should, if possible, submit their CPDs to the same session of their respective Executive Boards. The UNFPA country office cannot spend any funds until the UNFPA Executive Board approves the CPD<sup>1</sup>.

This policy comes into full effect for all CPDs submitted to 2018 Executive Board sessions. CPDs submitted to 2017 sessions should, to the extent possible, comply with the template and deadlines.

UNFPA supported country programmes must be:

- **Strategically aligned:**
  - provide a measureable contribution to national priorities, goals and to selected results of the UNDAF or equivalent;
  - be focused and clearly aligned to the UNFPA Strategic Plan and its Integrated Results Framework (IRF) and in line with the modes of engagement outlined in the [UNFPA Business Model](#)<sup>2</sup> of the Strategic Plan;
  - reflect the UNFPA's comparative advantage in the country; and

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<sup>1</sup> The only exception to spending funds before CPD approval is when country offices submit their CPD to an Executive Board session during the first year of programme implementation. In these cases, a simple note to the file indicating funds were spent prior to approval at the first session will suffice.

<sup>2</sup> The [business model](#) does not replace country level dialogue about the country needs and priorities but is meant to be a starting point for designing programmes.

- be an integral part of One Programme development and implementation in [Delivering as One](#) (DaO) settings.
- **Robust in development and evidence based:**
  - be developed through a consultative process and engage key stakeholders within the country, including youth and beneficiary populations to ensure ownership of the programme;
  - be based on evidence from evaluation of the implementation of the previous country programme when available; ensuring that all major findings available from the previous country programme evaluation, or other evaluative activities, and their subsequent management responses and/or implementation plans a) have been considered and b) inform the design and development of the country programme document; and
  - be informed by a review of existing and needed human resources capacity to ensure sufficient capacity is available to safely implement the country programme.
- **Comprised of:**
  - a robust Results and Resources Framework (RRF) with measurable indicators, baselines and targets for UNFPA contributions in the country;
  - identified programme management processes to ensure effective programme implementation and outline key partnership strategies and joint modalities to achieve commonly defined United Nations goals and priorities;
  - an estimate of total financial resources from various funding sources based on a resource mobilization plan for other resources;
  - humanitarian preparedness activities based on a risk assessment, particularly in priority countries with high probability of being impacted by crises;
  - resources for monitoring that demonstrate how progress towards the country programme outputs will be monitored during the course of the programme cycle, using output indicators, baselines and targets; and
  - an indication when evaluative activities will take place, and its dedicated resources
- **Duly authorised:**
  - be formalized after quality assurance and review processes have been satisfactorily completed at global, regional and country level; and
  - be submitted for review by the UNFPA Executive Board with related documents, in accordance with established timelines, standard formats and procedures.

### III. Procedures

#### A. 5 Steps for CPD Development and Approval

The UNFPA country office drafts the CPD in collaboration with the national government following the standard format for [Draft Country Programme Documents](#) (CPD template).

To ensure country ownership, the process must be consultative and must actively engage key stakeholders, so that they can validate its priorities and agree upon its intended results,

indicators, targets and data collection activities. The head of unit<sup>3</sup> is responsible for ensuring the CPD is a consensus document, endorsed by all key stakeholders (especially government counterparts) and must consult with all relevant government ministries, departments and agencies, including the Ministry of Foreign Affairs, as appropriate. Please see Step 3 for more information on national endorsement.

A harmonized approach through regular consultations with United Nations Country Team (UNCT) members is most critical, in particular with UNDP, UNICEF and WFP who will be developing their respective CPDs at the same time.

The country office has full responsibility for the development of the country programme document, while the regional office plays a key oversight and quality assurance role. Therefore, regional and country offices should work closely together throughout the development of the CPD. The Programme Review Committee (PRC) should also be engaged early in the process in order to facilitate the PRC oversight role.

CPD development and approval follows five key steps (as shown in Annex I):

### **STEP 1: Development of the Draft CPD**

In the beginning phases, the UNFPA country office, in consultation with the regional office, outlines the components of the proposed country programme.

The sections outlined below follow the structure of the new CPD template. These include references to documents, reviews and analyses developed outside the CPD itself, as well as related guidance. Actual sections to be included in the CPD are based on these reviews/analyses and are summarized in the relevant CPD sections.

The narrative section of the UNFPA CPD must be succinct, with a maximum length of 2000-2500 words<sup>4</sup>. It consists of the following sections:

- I. Programme Rationale
- II. Programme Priorities and Partnerships
- III. Programme and Risk Management
- IV. Monitoring and Evaluation

#### **1. Programme Rationale (~750 – 1000 words)**

This section briefly establishes the context and rationale for the programme of cooperation. It is essentially an evidence-based *proposal* that *draws from* the situation analysis and other analytical work.<sup>5</sup> It establishes the country context; past performance and lessons learned from evaluations<sup>6</sup> and other reviews; and the national priorities as articulated in the United Nations Development

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<sup>3</sup> The UNFPA head of unit refers to the representative, country director or the delegated officer, as appropriate.

<sup>4</sup> Please note the proposed word count per section is a general guideline. The entire CPD, narrative and RRF should not exceed 3500 words. Therefore, it is important to balance out the total words used throughout the document.

<sup>5</sup> The situation analysis and other analytical work is cited only, not reproduced in this section.

<sup>6</sup> Please see the [UNFPA Evaluation Policy](#) (2013)

Action Framework (UNDAF)<sup>7</sup>. In other words, it explains ‘why’ there should be a UNFPA programme of cooperation in the country.

This section develops the programme rationale by outlining relevant key successes and gaps of the previous country programme cycle and by presenting the critical issues facing the country and any challenges to programming, that must be addressed during the country programme cycle. This includes demonstrating how the most significant security-related, natural disaster and/or conflict risks in the country could have a potential impact on delivery of the country programme.

This section, guided by the Strategic Plan, must also include the rationale for why certain areas of cooperation are prioritized, referring to their urgency, strategic nature and linking them to UNFPA’s comparative advantage, key national objectives and global development goals. Use of data (with sources) is essential to this section – but only insofar as it succinctly helps to develop the programme rationale. All data cited must advance the programme rationale.

The background information for this section should draw from a situation analysis or other analytical work, including a Population Situation Analysis (PSA)<sup>8</sup>, if available.

The situation analysis itself, which is not included in the programme rationale section, must be based on quantitative and qualitative data<sup>9</sup>. The situation analysis describes and analyses the following:

- the national and subnational development landscape and its unfolding trends, taking into account fragility to external and internal shocks, disasters, natural hazards and/or conflict(s) identified through the Country Security Risk Assessment (SRA);
- major national policies of relevance and associated policy needs and gaps;
- evidence of progress to date and of lessons drawn from previous efforts to address development challenges; and
- key populations and groups in vulnerable situations, gaps in their access to services, information and/or support; gaps in capacity or barriers to meeting their needs and strategies for addressing those gaps.

And, the analysis:

- should be linked to the common country analysis (CCA) or other country analyses conducted within the [UNDAF process](#) or transitional framework (for post-conflict and fragile contexts). UNFPA situation analysis contributes to UNDAF-related country analysis, while also being informed by it. This helps to better position UNFPA and its strategic areas as UN priorities, which in turn helps to incorporate these priorities in national development frameworks. Such integration can also contribute to maximum achievement of development results, given the available and expected human and financial resources;
- helps to explain the programme rationale but should not be simply repeated in the CPD, rather, it is to be used to strategically inform the programme rationale.

<sup>7</sup> In the absence of an UNDAF, the relevant programme documentation can be based on an alternative framework as available, such as the Integrated Strategic Framework (ISF), a country situational analysis or other national exercises that can guide UNFPA within national priorities in line with UNFPA’s mandate.

<sup>8</sup> [Population Situation Analysis: A Conceptual and Methodological Guide](#), UNFPA, 2011.

<sup>9</sup> Data should be disaggregated, to the extent possible.

Overall, the Programme Rationale section provides a clear and coherent picture of the main development challenges the UNFPA programme (in line with the Strategic Plan) will strive to address. It should then proceed to mention results achieved, what has worked and what has not under the previous programme; and opportunities that exist to bring about even greater positive developmental change. The linkage between these three elements is very essential for developing a strong Programme Rationale.

For countries that a) meet the [established criteria](#), b) whose CPD proposes risk mitigation and humanitarian response intervention (based on the risk assessment) and c) who are proposing to deviate from the business model, the programme rationale must clearly include appropriate justification (e.g., a cogent summary of the particular situation in the country) and include key interventions to be undertaken.

## **2. Programme Priorities and Partnerships (~1000 – 1500 words)**

Guided by the Strategic Plan, this section is a narrative outline of the proposed new country programme. It explains the intended results and key interventions of the programme results chain as derived from a [clearly articulated theory of change](#). The description of the results chain should clearly articulate how the results and interventions will lead to increased national capacity. The programme includes a brief description of the assumptions<sup>10</sup> and risks<sup>11</sup> that shaped the programme design, outlines the strategies the country programme will adopt to achieve its results, and mentions the partnerships it will engage in to achieve its proposed results. In other words, this section articulates the ‘*what*’ and the ‘*how*’ of the programme of cooperation.

This section should provide a clear statement about how the proposed programme priorities align to the national development framework, to UNDAF priorities (or equivalent) and to the UNFPA Strategic Plan<sup>12</sup>. Also included are the outputs UNFPA will deliver during the upcoming programme cycle.

Country programme outputs are defined as *changes in skills or abilities and capacities of individuals or institutions, or in the availability of new products and services that result from the completion of activities within a development intervention within the control of the organization*<sup>13</sup>.

All results the country programme sets out to achieve must be attributable exclusively to the proposed UNFPA intervention(s), with exception of the UNDAF/joint workplan outputs where two or more agencies share joint responsibility. To the extent possible, the intended results must not rely on outside factors.

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<sup>10</sup> Assumptions relate to anticipated events and organizational structures/systems necessary to achieve the desired result.

<sup>11</sup> Risks are negative external events or occurrences which could jeopardize the achievement of programme results and may require the adoption of alternative programme strategies

<sup>12</sup> Full outcome statements should not be repeated in this section.

<sup>13</sup> Definition used by UNDG in the Results Based Management Handbook.

Using the Strategic Plan's Business Model as a guide, this section includes information and rationale on the strategies the country programme will adopt, and includes information on its geographic coverage and target audience, particularly those key populations and groups in vulnerable situations on which the programme will focus. The country office must ensure the strategies relate to a particular priority rather than in a generic sense.

These strategies should also be guided and aligned with the updated core UNDAF programming principles and approaches for the United Nations integrated country-level response to achieving the Sustainable Development Goals (SDGs).

With regard to prevention, mitigation, preparedness and humanitarian response, this section indicates how the country programme will support disaster risk reduction (DRR), resilience and transition from recovery to development, as applicable. This is particularly important for countries with a high risk of crisis, and given UNFPA's support to implement the Sendai Framework within the Global 2030 Agenda.

Guided by the 2016 QCPR and UNDAF, this section should also clearly articulate how the country programme contributes to sustaining peace, prevention of violent conflicts, strengthening resilience in face of natural and human-made disasters, by addressing underlying root causes and drivers, including but not limited to different forms of vulnerabilities, exclusion, discrimination and marginalization.

Lastly, this section includes an outline of the partnership strategy, including references to national government counterpart(s) and how capabilities within and outside of UNFPA will be leveraged to achieve programme results.

### **3. Programme and Risk Management (~300 – 500 words)**

This section sets out the proposed management structure and initiatives that will address past shortfalls and ensure efficiency and effectiveness in the achievement of results. It must include:

- an indication of the country programme implementation strategy (i.e. both implementation by UNFPA or implementation by partners) and the associated institutional arrangements and coordinating mechanisms;
- an outline of the expected resource mobilization opportunities and information, where relevant, on how other resources, including anticipated resources from emergency appeals, are expected to complement the regular resources allocated;
- any modifications to the UNFPA's organizational structure, including plans for decentralized offices or any other exceptional arrangement;
- information on the composition and staffing of UNFPA offices for the duration of the country programme cycle and an indication whether the current staffing arrangements are sufficient to safely, effectively and efficiently deliver the proposed programme or if changes to staffing will be needed; and
- short analysis on specific major programmatic risks that may impact the achievement of programme priorities, and how the programme design will ensure risks are



avoided and/or mitigated and managed. This should include an early warning mechanism to anticipate significant changes in programme implementation.

This section must also include the following accountability statement (verbatim): *“This country programme document outlines UNFPA’s contributions to national results and serves as the primary unit of accountability to the Executive Board for results alignment and resources assigned to the programme at the country level. Accountabilities of managers at the country, regional and headquarters levels with respect to country programmes are prescribed in the UNFPA programme and operations policies and procedures and the internal control framework.”*

This section is based on the country office undertaking a critical review of management and staffing arrangements against the requirements needed to successfully implement the country programme. This preparation review should include:

- review of staffing arrangements from the previous cycle; and
- mapping of skill sets, competencies and capacity requirements needed to achieve programme results, including skills needed to manage humanitarian preparedness or disaster risk reduction programming and security management, particularly for high-risk countries.

Neither the exact number of staff posts/designations nor the proposed organogram is included in the CPD. However, because UNFPA also uses its resources to fund staff positions necessary to deliver the programme, the amount available to the government may be less than the indicative amount of the CPD. Therefore, it is necessary to discuss staffing with the government during the development of the CPD.

Approval of the proposed management and staffing structure of the country office occurs during the internal UNFPA approval process. The CPD quality assurance and clearance process will approve the final staffing budget and expertise charged to programme funds.

#### **4. Monitoring and Evaluation (~300 – 500 words)**

This section must outline the country programme’s monitoring and evaluation activities and allocate appropriate funds and timings for their conduct, bearing in mind alternate modalities for monitoring and evaluation may need to be considered when prevailing security situation in the country do not allow for the conduct of non-life saving activities. The UNFPA country office should conduct country programme evaluations at least once in every two programme cycles<sup>14</sup> and in accordance with the methodology for the [design and conduct of country programme evaluations at UNFPA](#). This should be done in collaboration with key national stakeholders and in coordination with the overall monitoring and evaluation of the UNDAF and One Programme in DaO countries. This section should outline how UNFPA will work with other UN agencies, multilateral and bilateral partners to strengthen national monitoring and evaluation capacities and systems for improving national monitoring, monitoring, measurement and reporting.

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<sup>14</sup> DP/FPA/2013/5 13 (a)

This section must indicate how UNFPA will systematically obtain data<sup>15</sup> and set up a feedback mechanism used to inform and adjust programme design and implementation. As per Executive Board decision 2014/7, the CPD must include a costed evaluation plan, and details of the evaluative activities the country office will conduct during the programme cycle need to be clearly outlined in an annex per the standard [Format for the Evaluation Plan](#).

## 5. Results and Resources Framework (RRF) (~1,000 words, including figures)

The RRF, based on a development results [theory of change](#) analysis, is an essential annex to the CPD, mandated by the Executive Board. Based in the UNDAF outcomes, the UNFPA RRF provides a summary of the country programme's outputs and targets to be achieved, including indicative financial resources available.

The RRF must not exceed two pages in the prescribed format (font and margins) as per the [editorial guidelines](#) and must follow the format for the UNFPA CPD Results and Resources Framework (page 4 -5 of the [CPD template](#)).

The CPD RRF must indicate the Strategic Plan integrated results framework outcome(s) to which the country programme outputs contribute. Accordingly, the indicative resources must be provided by country programme output.

The UNFPA country office must identify indicators (quantitative and qualitative measures of programme performance that allows tracking of results) for each country programme output. Each indicator must:

- be specific, measurable, achievable, relevant and time bound (SMART)<sup>16</sup>;
- have established baseline data for each indicator, once defined;
- have a clear target for each output; and
- be objectively verifiable and must relate only to UNFPA's interventions and not depend on UNFPA-outside factors (e.g., economic improvement, unrelated improved government performance).

The means of verification and risks and assumptions (as provided in the [UNDAF format](#)) are not included in the RRF, but instead, after the CPD has been approved, must be further detailed through a clear framework that breaks down the high level results of the CPD into a lower, more manageable results formulation. The country office has the flexibility to use a framework format<sup>17</sup> of their choosing, as long as the following minimum standard elements are included:

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<sup>15</sup> In the context of the SDGs, mention of how nationally owned sources of data, analysis and evidence will be used to track UNFPA's contributions to national results is critical and should be mentioned in this section.

<sup>16</sup> If data availability is an issue, plans must be made to develop the required baselines and targets prior to the submission of the CPD. **If data is not available, this specific indicator should not be included in the CPD.**

**Placeholders such as "TBD" should never be included in the CPD.**

<sup>17</sup> Sample [format](#) that includes all required details.

- Annualized output indicator targets. These targets should be the same as those entered into myResults, for monitoring and reporting programme results, and should inform deliverables expected from the work plans.
- Annualized estimate of resources needed to achieve output results. Those should be the basis for formulating annual work plans in the GPS.

It is further recommended that country offices consider including, for each output, a more detailed list of main activities or group of activities (interventions<sup>18</sup>) with annualized targets and resources.

## **6. Financial resources and budget estimates**

The UNFPA country office will enter the summary of financial resources on the CPD cover page the same figures are also reflected in the RRF.

### ***6.1 Unified resources for the country programme***

The UNFPA country office must provide an overall estimate of country programme resources from various sources, including:

- regular resources (guided by the [UNFPA Resource Allocation and Distribution System](#))
- other resources, including but not limited to:
  - Global resources for country programming from UNFPA thematic funds (Maternal Health, Reproductive Health Commodity Security (RHCS); Multi-donor Trust Fund (MDTF), others)
  - Humanitarian funding<sup>19</sup>, where relevant
  - Additional resources expected to be mobilized at country level, including from donor governments, private sector, international financing institutions, UNDAF One Fund, joint programmes and other contributions.

It is essential to estimate the total indicative resource amount for the programme period to ensure integrated results-focused planning. In the RRF, these will be grouped as regular and other resources.

### ***6.2 Budget estimates***

Realistic budget requirements must be calculated and presented for each of the country programme outputs. It is important to ensure that resources allocated to a specific output, both regular and other, are reasonable given the importance of that particular output within the overall context of the country programme.

The indicators and targets should reflect what can realistically be achieved by the use of the projected resources. When estimating the budget, the country office must ensure each output

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<sup>18</sup> Country offices may want to use the menu of the intervention areas provided in the GPS

<sup>19</sup> CERF and Emergency Funding are only available for 6 to 9 months and therefore cannot be considered as a sustainable source of funding for the whole period of a country programme.

includes sufficient funds for staffing as well as results-based management of the programme<sup>20</sup>:

- The total budget for posts and associated operational costs for those post(s), including safety and security, must be included under the relevant country output(s) that the particular posts support.
- Programme posts should be budgeted under *one* output they contribute to the most, and not split across outputs.
- Operational costs (e.g., rent, safety and security<sup>21</sup>, utilities) should be apportioned to outputs based on the number of posts charged to each.
- Cost of evaluations, data collection and research and monitoring activities.

### **6.3 Programme Coordination and Assistance**

Programme Coordination and Assistance (PCA) is the segment of a country programme that describes specific activities with direct relevance for the programme as a whole, but that cannot be attributed to a specific programmatic area. This includes costs for:

- advocacy events and communication activities related to UNFPA's overall mandate that cannot be directly attributed to one thematic area. This includes contributions to the events themselves and all costs associated to the activities, such as salaries, research, printing, publications, distribution, media events, etc.;
- facilitation of UNDAF, country programme document, country programme action plan development and evaluative costs. In this context, the PCA budget can cover the costs for the temporary hiring of national and international experts (including travel and per diem costs). Country programme evaluations should be adequately resourced;
- overall planning, monitoring, annual progress reviews and programme support that are truly cross-cutting and whose majority expenses cannot be attributed to a specific thematic area. This includes logistics, salaries and associated costs for personnel involved in these activities, including consultants and the costs directly related to safety and security, Minimum Operating Security Standards (MOSS) and Minimum Operating Residential Security Standards (MORSS);
- training of UNFPA personnel in programme management and related areas such as advocacy, communications, results based management and operations which cannot be directly attributed to one thematic area but are relevant for the programme as a whole;
- one driver and one vehicle to be used exclusively for overall programme management, including monitoring functions, of the country office; and
- ad hoc and time-bound administrative programme support that cannot be attributed directly to a specific thematic area.

Activities that fall under PCA can only be included in a UNFPA-implemented workplan. Total PCA resource requirements must be included on the cover page of the country programme document, and in the document itself in part IV: Programme Management, Monitoring and Evaluation.

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<sup>20</sup> Actual posts do not need to be listed in the RRF or in the CPD.

<sup>21</sup> Please use the [Security Funding Requirements sheet](#) to assist you in determining safety and security costs.

The total estimated amount to be spent on PCA activities can be as much as 15% of total expenditures for regular resources; but must not exceed \$1.5 million cumulative throughout the life of the country programme<sup>22</sup>. The annual PCA amount may vary from year to year. However, the cumulative PCA amount for the entire country programme approved on a yearly basis shall not exceed the financial limits established above.

The UNFPA representative/country director/chief of operations is responsible for ensuring the PCA component does not exceed the financial limit. The regional director will play an oversight role to identify cases where country offices spend more than the maximum established limit (15%) of expenditures on PCA. The Deputy Executive Director (Management) must clear, in writing, any exception to the established thresholds, including in cases of humanitarian emergencies that may warrant an exception.

## **STEP 2: Review and Quality Assurance**

In accordance with the established timeline in section IV, the UNFPA country office must submit the draft CPD to the respective regional office for timely quality assurance review and feedback on the draft CPD. The purpose of the regional office review is to ensure adherence to the UNDAF and UNFPA's strategic focus/direction, its results frameworks and related policy and procedures. *The overall roles and responsibilities for the review and quality assurance are provided in section IV.*

The review should include programme and technical staff members, including resource mobilization, human resource, operations, etc., of the regional office. Reviewers will factor in UNFPA guidelines, frameworks and checklists (or their regional adaptations) when providing feedback on the draft document.

## **STEP 3: Revision and Clearances**

### **Internal UNFPA Approval Procedures<sup>23</sup>**

**Step a:** Following feedback from the regional office, the country office revises the draft CPD with continued engagement by the national government.

**Step b:** The country office submits the revised draft, along with the RRF and one evaluative evidence companion document to the regional director for clearance.

**Step c:** Following clearance by the regional director, the regional office submits the CPD, including the RRF, and one evaluative evidence summary for approval to the Programme Review Committee (PRC) Secretariat.

The review process and structure, composition of the PRC and submission processes and timelines are defined in detail in the [Programme Review Committee Users' Guide for Reviewers and UNFPA Field Offices](#) .

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<sup>22</sup> This rule also applies if a country programme is extended. If the \$1.5 million cumulative amount is reached prior to extension, the country office must get approval, in writing, from the DED(Management).

<sup>23</sup> Please see [microsite](#) on the PRC process which includes additional information on peer review of CPD.

Step d: The PRC secretariat provides feedback to country offices through the regional offices.<sup>24</sup>

Step e: Country offices revise the CPD with continued engagement of the national government and sends the revised document for national government endorsement.

### **National Government Endorsement**

Following internal UNFPA approval of the CPD, the UNFPA representative submits the CPD to the national government for formal endorsement.

The UNFPA Representative must obtain *written evidence of this endorsement* from the government. This can be in the form of a letter from the government<sup>25</sup> or a letter from the UNFPA representative to the government recording its oral endorsement. The following actions should be taken to ensure endorsement:

- 1. Stakeholder Consultations:** The UNFPA head of unit ensures that the CPD is primarily a consensus document building on the ICPD Programme of Action, the ICPD Beyond 2014 Framework for Action, and the Strategic Plan. The head of unit should therefore make sure that, subject to the necessary consultation with United Nations organizations, multilateral and bilateral partners other relevant stakeholders, including civil society partners, all relevant national authorities, including the Ministry of Foreign Affairs, coordinated by the appropriate national counterpart, participate in an intragovernmental meeting to confirm the draft CPD. This would ensure adequate information sharing, common understanding of central government commitments and ownership. *All relevant government ministries, departments and agencies, including the Ministry of Foreign Affairs, should be included in advocacy events / field visits, so that they are familiar with UNFPA interventions on the ground.* UNFPA should use stakeholder consultations to facilitate consensus building and dispel any misunderstanding or misperceptions regarding key issues and ‘non-negotiable’ language. *UNFPA should also invite the Ministry of Foreign Affairs, as appropriate, and based on the judgment of the country office, to stakeholder consultations.* In some cases, it might be counter-productive to involve those officials at any stage of consultation, except the intragovernmental briefing/confirmation meeting. As a rule, however, it is recommended that the UNFPA head of unit works with the relevant national counterparts to keep the relevant departments in the Ministry of Foreign Affairs informed of the CPD development process.
- 2. Supporting CPD submission with formal Government endorsement:** The clearance and confirmation of the draft CPD at country level must culminate in written agreement by the appropriate national authority on the draft CPD. *These government endorsements of the CPD must be attached to the CPD submission to the Programme Division and the Executive Board Branch (EBB)/DGM.*

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<sup>24</sup> The PRC should be involved as early as possible to facilitate its oversight role.

<sup>25</sup> The letter is addressed to the UNFPA head of unit.

3. **Issues of concern:** In the interest of a smooth approval process, UNFPA head of unit are also requested to attach, with the draft CPD, a brief note (one page) alerting EBB of any outstanding issues /concerns that might be raised at the Executive Board meeting by the government (especially if there has been a change of government) or by donors.
4. **Revisions after submission:** If comments from Executive Board members necessitate further substantive changes/revisions to the CPD that materially impact the programme during the three-week Executive Board preview process (12-9 weeks prior to the submission to the Board), the UNFPA head of unit must obtain *an additional letter of endorsement of the revisions from the government*. Depending on the nature and scope of the proposed changes, it is crucial the UNFPA head of unit uses all possible advocacy tools available to enlist the support of the government counterparts and those concerned with the final approval process. UNFPA should make efforts to clarify to government counterparts the new changes proposed, explain the programmatic reasons for them, address any concerns and appropriately reflect these in the revised CPD.
5. **Confirmations:** Upon receipt of the additional endorsement letter from the government, the country office must submit this to EBB through the regional office, along with the revised draft CPD. If the government letter of endorsement is not ready in time to meet the submission deadline, the country office should confirm, in writing (by email), that the Government has endorsed the revisions and that it will submit the letter (through the regional office) to EBB once it receives it by an anticipated date of submission.

#### **STEP 4: Editing and Submission**

As per [Executive Board decisions 2006/9 and 2014/7](#), the country office must submit the final draft CPD (*internally approved and endorsed by the government*) to the Executive Board, accompanied by the following documents:

- [Country programme performance summary](#)
- Evaluation of the last country programme, when applicable<sup>26</sup>
- [Costed Evaluation Plan](#)
- UNDAF, or equivalent, (as applicable) for information to the Board.

Following internal UNFPA and government endorsement, the UNFPA regional office submits the final draft CPD, along with a copy of written endorsement by the government and the [EBB Political Review Checklist](#), to the Executive Board Branch (EBB) of the Division of Governmental and Multilateral Affairs (DGM) for [editing](#), with a copy to the PRC.

EBB uses the checklist and government endorsement letters for political scanning to see if there are any outstanding issues/concerns that might have been overlooked during the consultation phase, and that could come up during the Executive Board session. This political review should happen as early as possible after approval by the PRC, but no later than 17 weeks prior to the Executive Board session. Following the standard guidelines of the [United Nations Editorial](#)

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<sup>26</sup> Or other evaluative documents

[Manual](#), EBB handles final editing and posting of draft CPDs to the Executive Board preview (see below), and submission of the final documents to the Executive Board.

### **STEP 5: Review and Approval by the Executive Board**

In accordance with [Executive Board decision 2014/7](#), the Executive Board reviews and approves CPDs at a single Executive Board session. UNFPA presents the draft CPD for review and approval to the Executive Board at the session that is most appropriate in terms of government and country-level planning and priorities<sup>27</sup>. All the documents in the CPD package, including the UNDAF, where applicable, are made available to the Board for information.

After the Executive Board Bureau (EBB) has edited the draft CPD, the EBB posts the English version of the edited draft CPD to the Executive Board website twelve (12) weeks ahead of the session, where it is made available for three (3) weeks to Executive Board members for review and comments.

The EBB forwards any comments received from Member States during the three-week review to the respective regional office, which, in turn, will share them with the country offices concerned. Country offices may consider addressing the comments received from the Executive Board, either by submitting a response to the comments through EBB/DGM or possibly by revising the draft CPD, if the comments are factually valid. If Member State comments relate to a substantive change in the CPD, an exceptional occurrence, the country office must discuss the changes with the government and obtain an additional letter of endorsement of the revisions from the government. *Due to the mandatory United Nations deadlines and the regulations and rules of the Executive Board, this finalization stage is very tight: revised CPDs must be submitted through the regional office to the EBB within a week following the three-week review by Executive Board members.*<sup>28</sup>

The EBB submits the revised document to the United Nations for processing and translation into French and Spanish. In line with the Executive Board Rules of Procedure, EBB must post the English-language versions of the CPDs to the Executive Board website six (6) weeks prior to the Executive Board session; the language versions are available on the website and in the United Nations Official Documents System (ODS) four (4) weeks before the session.

At the session, after respective regional director presents the CPD, the Executive Board considers and approves the document on a no-objection basis.

### **Other Forms of CPDs**

#### **Countries without formal Country Programme Documents**

For countries where a full-fledged country programme is not deemed necessary as per the UNFPA Resource Allocation System or local context, the UNFPA representative/country

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<sup>27</sup> This should ideally be the same session UNDP, UNICEF and WFP are submitting their respective CPDs.

<sup>28</sup> Due to the tight deadline for revision of the draft CPD, if the government letter of endorsement is not ready quickly enough, the country office must confirm, via email, that the government has endorsed the revisions and send the letter to Programme Division and EBB once it has been received.



director/chief of operations develops and submits relevant programme documentation to the regional office for review and endorsement. Based on recommendation from the PRC, the UNFPA Executive Director approves relevant programme documentation with a budget within his approval authority as delegated to him/her in the UNFPA Financial Regulations and Rules, rule number 109.2.<sup>29</sup> Thereafter, workplans are developed for implementation.

### **Multi-Country Programme Document**

In some cases, groups of countries (such as the Pacific Island Countries and the Caribbean) present one combined country programme document to the Executive Board, in the same format as individual country programmes. The CPD in this instance must include the overall situational analysis in the represented group of countries, while the sections on results and resources must represent the aggregate of the results to be achieved through the various interventions in the countries. There is no difference in the policies and procedures for development and approval of multi-country programmes.

### **Common Country Programme Document**

In its resolution [A/RES/64/289](#) of 9 July 2010, the General Assembly approved the Common CPD (CCPD). The CCPD is a single document developed by all interested agencies and thereby replaces agency-specific CPDs. The decision to develop a CCPD is taken at the country level and, to the extent possible, follows the same quality assurance review and approval process. Please refer to [UNDG Common Country Programming Process Guidance](#). Please note, however, that the continued relevance of the CCPD is being re-considered in light of the lessons learned and feedback received from the country offices and Member States. Although possible, *it is recommended not to pursue* a CCPD at this point.

### **B. Country Programme Extension**

The UNFPA Executive Director has the authority to approve the first country programme extension of up to one year in duration. The Executive Board approves all extensions of more than one year in duration and any subsequent extension of any duration. EBB submits an omnibus report with all extensions in one documents, with one table, for information, showing the extensions approved by the Executive Director, and a second table showing the extensions submitted for Executive Board approval.

A country programme can be extended once, for up to two years,<sup>30</sup> for one or more of the following reasons:

- The United Nations Country Team (UNCT) decides to extend the current United Nations Development Assistance Framework (UNDAF) to allow the new country programme to synchronize with the cycles of the national development plans/strategies/frameworks

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<sup>29</sup> Programmes that exceed Executive Director's approval authority must be submitted to the Executive Board.

<sup>30</sup> In exceptional circumstances, a country programme can be extended more than once. The total number of extensions depends on the recommendation of the host government and UNCT, subject to Executive Board approval.

and/or with the programming cycles of other United Nations system agencies operating in the country.<sup>31</sup>

- Significant changes in national development priorities (e.g., due to the change of government, elections, development of new policies) are anticipated that will affect the content of the next UNDAF/country programme.
- The formulation of the next country programme is likely to be delayed due to an emergency situation (e.g. internal conflict, humanitarian crisis, etc.) affecting the day-to-day operations of the country.

The extension must include the indicative amount of additional resources to be allocated to the programme, if any. A revised RRF is required when there are additional resources or if otherwise needed. The amount of regular resources approved will depend on the overall availability of resources to the organization.

The process for country programme extensions follows the country programme approval process outlined in section II and uses the [UNFPA Submission Format for Country Programme Extensions](#).

Following the approval of a country programme extension, a country office must amend all relevant Implementing Partner Agreements as they are only valid for the duration of the initial country programme. The country office should also adjust the timeline for the country programme evaluation, when applicable, to ensure the assessment covers the extension period.

## IV. Other

### A. Roles and Responsibilities

The table below provides the roles and responsibilities of various UNFPA units /persons for the key steps in CPD development and approval procedures.

STEP	ACTION	RESPONSIBLE UNIT/PERSON	DELIVERABLE
1. Develop the draft CPD	Develop draft CPD in consultation with the respective regional office	UNFPA representative and country office	Draft CPD document
	Include security funding needs <sup>32</sup> in accordance with MOSS/RSM <sup>33</sup> approved documents.	UNFPA representative and country office	Security funding needs reviewed and cleared by the Regional Security Adviser.
	Submit draft to regional office for review	UNFPA representative	Draft CPD document reviewed/cleared by UNFPA representative

<sup>31</sup> The UNDAF can also be extended by the UNCT because of anticipated delays in negotiations with the government.

<sup>32</sup> Please use the Security Funding Requirements sheet to assist you in determining safety and security costs.

<sup>33</sup> Minimum Operating Security Standards (MOSS) and Residential Security Measures (RSM)

<b>STEP</b>	<b>ACTION</b>	<b>RESPONSIBLE UNIT/PERSON</b>	<b>DELIVERABLE</b>
2. Review and Quality Assurance	Review draft CPD and provide feedback to country office	Regional office ( <i>including regional director, deputy regional director, regional resource mobilization adviser, programme and technical teams, and IOM of regional office/sub-regional office</i> )	Consolidated review/feedback comments on draft CPD to country office
3. Revision and Clearance	Revise the draft CPD based on regional office feedback	UNFPA representative ( <i>with support from country office team</i> )	Revised CPD draft for processing clearances
	Review and clear CPD + companion documents for clearance	Regional director	Clearance of draft CPD package by regional director and submission to Programme Review Committee (PRC)
	Review and feedback by PRC	PRC (Chair/Secretariat)	CPD reviewed and comments provided by headquarters' PRC
	Incorporate PRC comments and develop final draft CPD	UNFPA representative	CPD final draft incorporating PRC review comments
	Obtain national government endorsement	UNFPA representative	Endorsement by national government
4. Editing and Submission	Submit approved CPD draft, checklist and government endorsement letter to Executive Board Branch (EBB), Division of Governmental and Multilateral Affairs (DGM) for editing and processing. This needs to be copied to PRC Secretariat.	Regional director	Final draft CPD endorsed by national government
	Edit the final draft CPD	Executive Board Branch (EBB), Division of Governmental and Multilateral Affairs (DGM)	Edited draft CPD draft ready for review and comments by Executive Board Members
	Three-week on-line preview of edited draft CPD by Executive Board members (12	Executive Board Branch (EBB)/DGM	Comments received from Executive Board members are forwarded by EBB/DGM to the regional offices, which share them

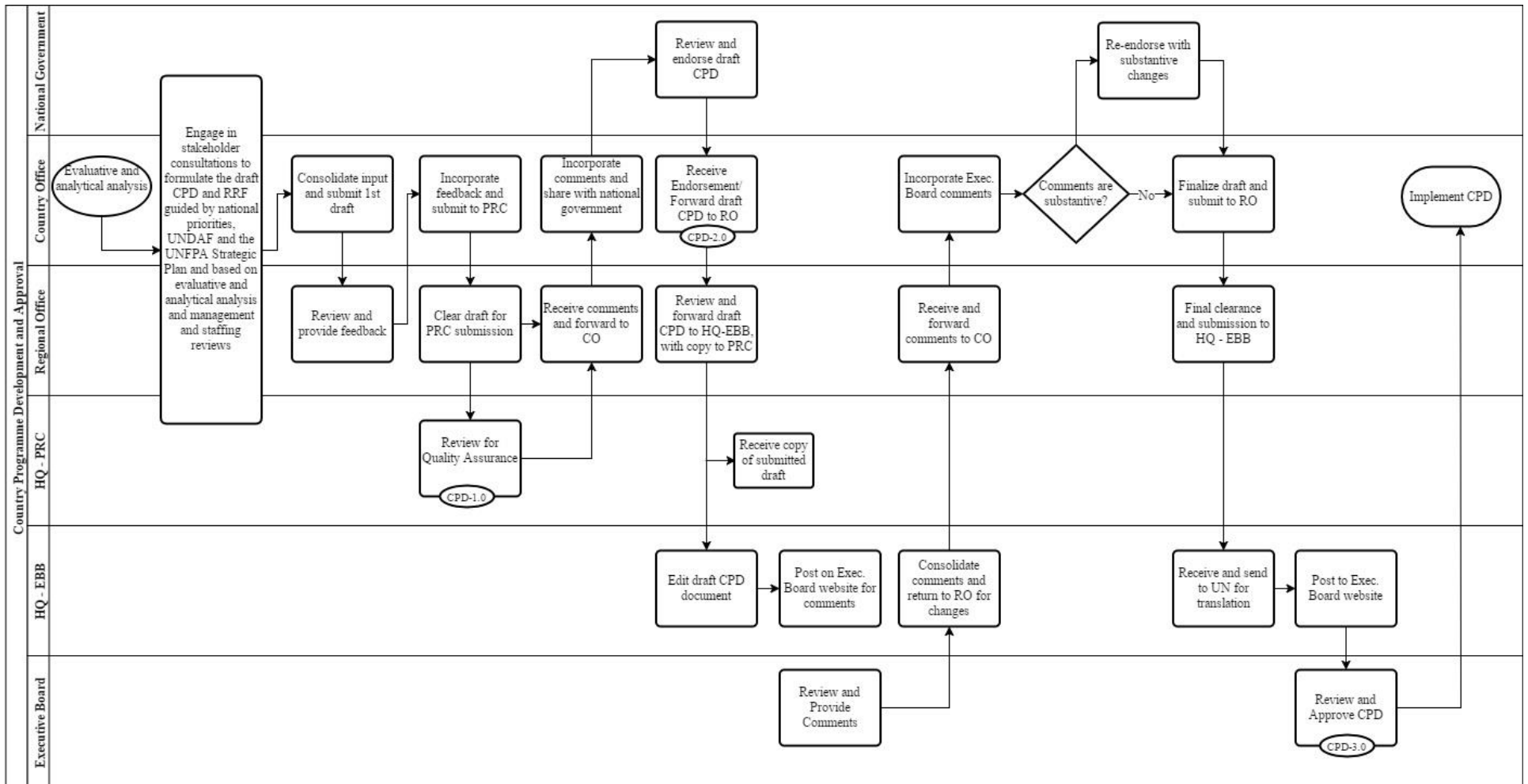
<b>STEP</b>	<b>ACTION</b>	<b>RESPONSIBLE UNIT/PERSON</b>	<b>DELIVERABLE</b>
	weeks ahead of the session) ( <i>see 5 below</i> )		with the country offices concerned
	Finalize review (or final revision of) edited draft CPD	Regional director UNFPA representative, Executive Board Branch (EBB)/DGM	CPD submitted to Executive Board Branch (EBB)/DGM for submission to United Nations for processing and translation
	Submit the CPD to United Nations	Executive Board Branch (EBB)/DGM	CPD submitted to United for processing and translation
	Post CPD to the Executive Board website	Executive Board Branch (EBB)/DGM	CPD and companion documents posted
5. Review and Approval by the Executive Board	Comment on draft CPD during three-week preview (12 weeks before session)	Executive Board	Board comments on the draft CPD are communicated by EBB/DGM to country office through the regional director
	Consider comments by the Board	UNFPA representative discusses with national government comments from the Board	Final CPD submitted to Executive Board Branch (EBB)/DGM
	Submit CPD for editorial review of the changes and posting	National government through the UNFPA Representative and Regional Director to EBB/DGM	Final CPD for posting
	Post CPD to the Executive Board website	Executive Board Branch (EBB)/DGM	CPD posted for Executive Board approval
	Hold informal consultation with Board members on CPD (2-3 weeks before session)	DED-P, regional director, Executive Board Branch (EBB)/DGM	Informal consultation with Executive Board members on CPD
	Present the CPD at Board session	DED-P Chair, regional director (with participation/support from UNFPA representative), Executive Board Branch (EBB)/DGM	Presentation of CPD at the Board session
Approved	Approve CPD	Executive Board	CPD is approved

## B. Key Milestones and Timelines for CPD Development and Approval

### Timeline for submission and approval new country programmes beginning January of Year N

	<b>Number of weeks <i>prior</i> to the Executive Board Session</b>	<i>Key Milestones/Steps</i>
PRC Process	At the start of developing the proposed programme	Initial outline/concept note of proposed programme shared with other country offices, regional offices and/or headquarters for peer review
	<b>27 weeks</b>	Draft CPD submitted for review to regional offices
	<b>25 weeks</b>	Review and consolidated comments provided to country offices by regional offices
	<b>23 weeks</b>	Revised draft CPD submitted to regional offices for final quality assurance review before forwarding to PRC Secretariat
	<b>21 weeks</b>	Submission of draft CPD by regional office to headquarters PRC Secretariat
	<b>During week 20</b>	PRC meets and provides final feedback to the COs through the ROs
	<b>19 weeks</b>	COs incorporate the PRC comments, finalize the document and send to regional offices
Executive Board Process	<b>18 weeks</b>	ROs submit CPD to EBB/DGM for editing. EBB/DGM politically scans and edits the documents during the 6 weeks, preparing and posting the edited draft CPD in English for review and comments by Executive Board members
	<b>12 weeks</b>	Member States review edited draft CPD for 3 weeks and provide comments, if any. EBB/DGM forwards all comments received to ROs/COs.
	<b>9 weeks</b>	UNFPA field offices consider comments from Board members. EBB/DGM receives possible responses from ROs/Cos and shares them, after review, with the Board members concerned
UN Process	<b>8 weeks</b>	EBB/DGM submits revised documents to UN for processing and translation
	<b>6 weeks</b>	EBB/DGM posts CPDs in English 6 weeks before the session
	<b>4 weeks</b>	EBB/DGM posts translated CPDs 4 weeks before the session
	<b>2-3 weeks</b>	Informal consultation with Executive Board members on the final CPD (2-3 weeks before the session)
	<b>During Executive Board Session</b>	Executive Board discusses and approves final CPD on a 'no objection' basis

## V. Process Overview Flowchart



## VI. Risk Control Matrix

The risk control matrix can be found in the following google drive: <https://drive.google.com/open?id=0BzrC9ALCReCvNjNIVzk1MS13R1k>