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# GUIDANCE NOTE

## Institutional and Context Analysis for the Sustainable Development Goals

United Nations Development Programme

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Photo: UNDP

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## Acronyms

CDA	Conflict-related and Development Analysis
CSO	Civil Society Organization
DIFD	Department for International Development (United Kingdom)
ICA	Institutional and Context Analysis
MAPS	Mainstreaming, Acceleration and Policy Support
MDGs	Millennium Development Goals
PEA	Political Economy Analysis
SDGs	Sustainable Development Goals
TWP	Thinking and Working Politically
UNCT	United Nations Country Team
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDP	United Nations Development Programme
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries

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# EXECUTIVE SUMMARY

The implementation of a given policy succeeds when key players have an incentive to make it succeed. When one or more of society's key actors disagree with or are threatened by a certain policy, they have an incentive to make it fail. Understanding how different actors in society – civil servants, farmers, industrialists, incumbents, opposition parties, religious authorities, groups of men or women, and more – have differing incentives to enable or block interventions is key to successful policy implementation. All actors have distinct histories and – crucially – face constraints, such as institutional limits on their power, a weak resource base, or an inability to act collectively. This means that only some have the ability to act on an incentive. Illuminating this mixture of incentives and constraints is the aim of Institutional and Context Analysis (ICA) at the country level.

UNDP first launched Institutional and Context Analysis (ICA) as an approach to support country-level programming in 2012, largely based on methodologies developed by the World Bank and DFID<sup>1</sup>. Originally conceived to help UNDP staff take politics into account in their programming work, the main objective of the first analyses done based on the ICA methodology was to help development practitioners deliver on their commitments to national partners and donors to achieve the Millennium Development Goals (MDGs). As such, an ICA was primarily envisioned as an input to understanding how different actors in society, who are subject to an assortment of incentives and constraints, shaped the likelihood of programme success.

Following the adoption of the Sustainable Development Goals in 2015, the United Nations Development Group<sup>2</sup> (UNDG) has adopted a common approach to supporting the 2030 Agenda dubbed MAPS – *Mainstreaming, Acceleration and Policy Support*. While *Mainstreaming* helps landing the SDGs at country level, *Acceleration* helps identify possible bottlenecks in policy implementation and address the complex interrelations underlying sustainable development in order to craft possible solutions to competing priorities by stakeholders; *Policy Support* provides national partners with access to expertise across the UN System's various specialized areas.

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<sup>1</sup> Fritz et al. 2009, DFID 2009

<sup>2</sup> The UNDG unites over 30 UN entities that provide development assistance in more than 150 countries. Members include UNDP, UNICEF, WFP, UNDESA, UNFPA, UNEP, WHO and UN Regional Commissions (<https://undg.org>)

The present Guidance Note has been designed as a tool under *Acceleration* in the context of MAPS and its purpose is to serve as a resource for UN agencies and their national partners to identify elements that may help boost the success of policy implementation or undermine it. It builds on lessons learned from the application of the ICA approach to country programming as well as on international experience with the use of similar analytical frameworks over the past decade.

Thus, the term ‘institutional and context analysis’ has been revised and for the purposes of this Guidance Note, it refers “an analysis that focuses on political and institutional factors in a given country and how these may have a positive or negative impact on the implementation of policies for the achievement of the Sustainable Development Goals.”

The ICA methodology is **not** meant to substitute studies intended to inform country-level programming such as a Country Analysis or a Conflict-related Development Analysis (CDA). Neither is it a traditional political economy analysis tool for development understood as a methodology that looks at issues regarding a country’s political settlement, territorial integrity, monopoly of power, legitimacy, fragility, historical trajectory, illicit flows, the role of foreign investments, ODA, etc. While these dimensions are key to understanding the context in which SDG implementation takes place, they should be covered by programme-level analyses such as the Country Analysis or Conflict-related Development Analysis (CDA). Ideally, these studies will already exist at country level and can inform the ICA, which will have a more limited scope, looking at a particular issue of relevance to one or more SDGs.

## How ICA can be useful

The UNCT cannot support the achievement of the SDGs through technical work alone. In order to support policy formulation and implementation, the UNCT must become conversant with the relevant political processes and engage with them through a variety of relevant actors. An ICA can help by identifying who is *actually* in favor of what, who is against, why, and what incentives guide their actions.

In its simplest form, an ICA can be used to investigate why specific laws are not applied or policies not implemented in a given country despite any formal commitments and statements that may exist, and what realistically can be done about it as part of UN support.

An ICA can be useful to support implementation of a particular SDG/SDG accelerator

or a combination of them, by first of all, helping to identify the gaps between formal rules such as laws or regulations (or how things should work in theory) and informal ones (how things really work in practice), and to map those elements influencing the status quo. These could be political factors, cultural practices, or a general bias in the application of legislation favoring or neglecting one geographical region or ethnic group. Based on this information, stakeholder engagement strategies are then designed.

ICA findings can help UNCTs become more strategic in their engagement with other actors and sectors. It does this by providing a framework for understanding the incentives and constraints that frequently influence policy implementation.

### **Box 1: ICA and similar tools in UNDP and the UN System**

A number of UN agencies and Funds have used tools similar to the ICA in the past, with the objective of acquiring programme-relevant intelligence. While the UNDP-FAO-UNEP programme UN-REDD<sup>3</sup> has conducted ICAs for climate change mitigation in a wide range of countries in Africa, Asia and Latin America, some UN agencies have developed their own tools or commissioned independent political economy analyses.

For example, UNFPA's Environmental Scanning and Planning Branch have long used a tool for monitoring and analysis of political, socio-cultural and economic trends/issues<sup>4</sup>; UNICEF has also made use of political economy analyses to inform country programming<sup>5</sup>; the UN Staff College has conducted courses on 'Context Analysis' for the UNDAF.

The International Food and Agriculture Fund (IFAD)'s sourcebook 'Institutional and Organizational Analysis for Pro-Poor Change' is the most similar to UNDP's ICA approach. It states that "[t]o effect policy changes and arrive at desired outcomes, it is important to understand the institutional and organizational landscape in order to identify 'policy and organizational spaces', devise acceptable and effective ways of proceeding, access local resources, secure allies and ensure local commitment to change. The landscape consists of actors and their interests, networks and relationships, instruments and mechanisms of change and resistance, dominant cultural values, existing incentives and 'dampers' "(IFAD 2008:36).<sup>6</sup>

<sup>3</sup> United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries. For more information see [www.un-redd.org](http://www.un-redd.org).

<sup>4</sup> The UNFPA Environmental Scanning tool is not publicly available. For more information, please contact the UNFPA Scanning and Planning Branch.

<sup>5</sup> Examples are available at [https://www.unicef.org/health/files/Four-country\\_Summary\\_PEA\\_report.pdf](https://www.unicef.org/health/files/Four-country_Summary_PEA_report.pdf)

<sup>6</sup> IFAD (2008). *Institutional and organizational analysis for pro-poor change: meeting IFAD's millennium challenge*. Available at <https://www.ifad.org/documents/10180/7dc9d736-8a15-46a6-8961-da64dd6f94df>

An ICA usually starts with a ‘super question’ to guide the analysis. Examples of questions used in past ICAs include:

- How can resources from extractive industries lead to better Human Development outcomes in Papua New Guinea?
- What are the main corruption risks for carbon finance in Kenya?
- What is hindering implementation of the National Forest Plan in Honduras?
- How does the informal governance system in Yemen work?
- How can UNDP best support the justice sector in Bangladesh?

By revealing the various elements that together provide the answers to the questions, ICAs can help UN agencies unpack the concept of political will and identify courses of action to address bottlenecks for claims holders, or change course, if the vested interests of duty bearers prove too powerful to challenge.

#### What an ICA cannot do

It is important to stress that ICA is neither a magic bullet that can be used to change complex realities nor a tool to ‘fix’ undesirable circumstances - but it can help manage expectations and promote an informed dialogue with individuals or groups whose support for a given policy is key for its successful implementation. In that sense, an ICA can help UNCTs provide more effective support to national partners in the context of prevailing political dynamics.

Finally, an ICA is not meant to replace the deep local knowledge that those who are working in the country concerned already have - it is only a method to help extract that knowledge so it can support policy implementation and programming in a structured manner.

#### When to do an ICA

In the context of MAPS, ICAs can be done either before or after a MAPS mission, prior to project formulation or when a particular intervention is stuck or failing to deliver results.

If done before a MAPS mission, the ICA can help prepare the ground for the mission and collect data to enable the MAPS team to hit the ground running and account for done already done to implement Agenda 2030.



# INTRODUCTION

Following the adoption of the Sustainable Development Goals in 2015, the United Nations Development Group<sup>7</sup> (UNDG) has adopted a common approach to supporting the 2030 Agenda dubbed MAPS – *Mainstreaming, Acceleration and Policy Support*. While *Mainstreaming* helps landing the SDGs at country level, *Acceleration* helps identify possible bottlenecks in policy implementation and address the complex interrelations underlying sustainable development in order to craft possible solutions to competing priorities by stakeholders; *Policy Support* provides national partners with access to expertise across the UN System's various specialized areas.

The present Guidance Note has been designed as a tool under *Acceleration* and its purpose is to serve as a resource for UN agencies and their national partners to identify various elements that may help boost the success of policy implementation or undermine it.

It builds on lessons learned from the application of Institutional and Context Analysis in the UN System as well as on international experience with the use of similar analytical frameworks over the past decade.

## What is Institutional and Context Analysis (ICA)?

The implementation of a given policy succeeds when key players have an incentive to make it succeed. When one or more of society's key actors disagree with or are threatened by a certain policy, they have an incentive to make it fail. Understanding how different actors in society – civil servants, farmers, industrialists, incumbents, opposition parties, religious authorities, groups of men or women, and more – have differing incentives to enable or block interventions is key to successful policy implementation. All actors have distinct histories and – crucially – face constraints, such as institutional limits on their power, a weak resource base, or an inability to act collectively. This means that only some have the ability to act on an incentive. Illuminating this mixture of incentives and constraints is the aim of Institutional and Context Analysis (ICA) at the country level.

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<sup>7</sup> The UNDG unites over 30 UN entities that provide development assistance in more than 150 countries. Members include UNDP, UNICEF, WFP, UNDESA, UNFPA, UNEP, WHO and UN Regional Commissions (<https://undg.org>)

In order to support the MAPS approach, the term ‘institutional and context analysis’ refers to an “analysis that focuses on political, economic and institutional factors in a given country and how these may have a positive or negative impact on the implementation of policy priorities for the achievement of the Sustainable Development Goals.”

### How ICA can be useful

The UNCT cannot support the achievement of the SDGs through technical work alone. In order to support policy formulation and implementation, the UNCT must become conversant with the relevant political processes and engage with them through a variety of relevant actors. An ICA can help by identifying who is actually in favor of what, who is against, why, and what incentives guide their actions.

In its simplest form, an ICA can be used to investigate why specific laws are not applied or policies not implemented in a given country in spite of any formal commitments and statements that may exist, and what realistically can be done about it as part of UN support.

An ICA can be useful to support implementation of a particular SDG/SDG accelerator, or a combination of them, by first of all helping to identify the gaps between formal rules such as laws or regulations (or how things should work in theory) and informal ones (how things really work in practice), and to map those elements influencing the status quo. These could be political factors, cultural practices, or a general bias in the application of legislation favoring or neglecting one geographical region or ethnic group.

For example, while the laws of a given country may prohibit discrimination on the basis of ethnicity, religion, gender, health status or sexual orientation and gender identity, in practice certain groups might suffer widespread discrimination, which would present an obstacle to SDGs 3 (Ensure healthy lives and promote well-being for all), 4 (Ensure *inclusive and equitable quality education and promote lifelong learning opportunities for all*), 5 (Achieve gender equality and empower all women and girls), 8 (Promote *sustained, inclusive and sustainable economic growth, full productive employment and productive growth for all*), 10 (Reduce inequality within and among countries), and 16 (Promote *peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels*).

## Box 2: ICA and similar tools in UNDP and the UN System

A number of UN agencies and Funds have used tools similar to the ICA in the past, with the objective of acquiring programme-relevant intelligence. While the UNDP-FAO-UNEP programme UN-REDD<sup>8</sup> has conducted ICAs for climate change mitigation in a wide range of countries in Africa, Asia and Latin America, some UN agencies have developed their own tools or commissioned independent political economy analyses.

For example, UNFPA's Environmental Scanning and Planning Branch have long used a tool for monitoring and analysis of political, socio-cultural and economic trends/issues<sup>9</sup>; UNICEF has also made use of political economy analyses to inform country programming<sup>10</sup>; the UN Staff College has conducted courses on 'Context Analysis' for the UNDAF.

The International Food and Agriculture Fund (IFAD)'s sourcebook 'Institutional and Organizational Analysis for Pro-Poor Change' is the most similar to UNDP's ICA approach. It states that "[t]o effect policy changes and arrive at desired outcomes, it is important to understand the institutional and organizational landscape in order to identify 'policy and organizational spaces', devise acceptable and effective ways of proceeding, access local resources, secure allies and ensure local commitment to change. The landscape consists of actors and their interests, networks and relationships, instruments and mechanisms of change and resistance, dominant cultural values, existing incentives and 'dampers' (IFAD 2008:36).<sup>11</sup>

An ICA can be used to start an honest discussion on the reasons why discrimination persists in spite of legislation or official positions on the contrary, on the actors that directly or indirectly support it, why they do so, and what incentives they have to engage in discriminatory practices or allow discrimination to take place (whether political, material, or values-based) and existing constraints they might face - as well as what other incentives exist below the surface, that could be leveraged in order to bring about a change in the state of affairs, and how. The analysis would be followed by crafting engagement strategies which could include a series of dialogues with the objective of crafting a 'pact' or agreement with relevant stakeholders to support a given policy or policies to fight discrimination. The objective in this case would be to have a strategy to try to gradually alleviate the effects of discrimination through local

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<sup>8</sup> United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries. For more information see [www.un-redd.org](http://www.un-redd.org).

<sup>9</sup> The UNFPA Environmental Scanning tool is not publicly available. For more information, please contact the UNFPA Scanning and Planning Branch.

<sup>10</sup> Examples are available at [https://www.unicef.org/health/files/Four-country\\_Summary\\_PEA\\_report.pdf](https://www.unicef.org/health/files/Four-country_Summary_PEA_report.pdf)

<sup>11</sup> IFAD (2008). *Institutional and organizational analysis for pro-poor change: meeting IFAD's millennium challenge*. Available at <https://www.ifad.org/documents/10180/7dc9d736-8a15-46a6-8961-da64dd6f94df>

leadership, recognizing that, realistically, informal rules and institutions will not change overnight or at the will of external actors, and national and sub-national leaders may also face constraints.

An ICA usually starts with a 'super question' to guide the analysis. Examples of questions used in past ICAs include:

- How can resources from extractive industries lead to better Human Development outcomes in Papua New Guinea?
- What are the main corruption risks for carbon finance in Kenya?
- What is hindering implementation of the National Forest Plan in Honduras?
- How does the informal governance system in Yemen work?
- How can UNDP best support the justice sector in Bangladesh?

By revealing the various elements that together provide the answers to the questions, ICAs can help UN agencies unpack the concept of political will and identify courses of action to address bottlenecks for claims holders – or change course, if the vested interests of duty bearers prove too powerful to challenge.

### What an ICA cannot do

It is important to stress that ICA is neither a magic bullet that can be used to change complex realities nor a tool to 'fix' undesirable circumstances - but it can help manage expectations and promote an informed dialogue with individuals or groups whose support for a given policy is key for its successful implementation. In that sense, an ICA can help UNCTs provide more effective support to national partners in the context of prevailing political dynamics.

Finally, an ICA is not meant to replace the deep local knowledge that those who are working in the country concerned already have - it is only a method to help extract that knowledge so it can support policy implementation and programming in a structured manner.

### When to do an ICA

In the context of MAPS, ICAs can be done either before or after a MAPS mission, prior to project formulation or when a particular project is stuck or failing to deliver results.

If done before a MAPS mission, the ICA can help prepare the ground for the mission

and collect data to enable the MAPS team to hit the ground running and account for done already done to implement Agenda 2030 (See box 3).

### **Box 3: Carrying out an ICA to inform a MAPS mission**

In **Sri Lanka**, the ICA was carried out as part of the preparation for an inter-agency MAPS mission. The UNDP Sri Lanka Country Office identified the following question as its focus: “What are the main challenges to horizontal and vertical coordination with regard to SDG implementation?”

The analysis found that challenges in horizontal and vertical coordination have their root causes in the country’s current political circumstances, in which the President and Prime Minister are known as the two ‘centres of power’. In Sri Lanka the main challenge is the multitude of government bodies at national and sub-national levels with overlapping mandates related to SDG coordination and implementation. This serves an important purpose: the entire governance system, dysfunctional as it may have seemed at first sight, is based on a delicate balance of power which has prevented the country from sliding back to the civil conflict and instability that marked its recent history.

The ICA showed what the Sri Lankan government had already done to begin implementing the 2030 Agenda and based on the information collected during the mission, the analysis concluded that there are no easy fixes for SDG coordination in Sri Lanka. As long as there are two ‘centres of power’, there is a high likelihood that effective coordination for SDG policy implementation at the central and sub-national levels will remain elusive. Recommendations for the UNCT therefore included providing a channel of communication between civil society and government counterparts on the SDGs, which had been lacking thus far, as well as responding to the high demand by national counterparts for information on how the 2030 Agenda is being implemented elsewhere. The ICA also recommended looking closely at existing efforts to coordinate SDG implementation in Sri Lanka to allow the UNCT to manage government expectations in terms of the support it can offer.

*Source: Melim-McLeod 2016a*

Other ICAs have been done before a new programme or project is started, or at the inception phase, in order to examine the feasibility of specific interventions or the possible constraints that they may face. More commonly, ICAs can be done to try to understand why a certain policy or programme is not being implemented as envisaged (See Box 4).

#### **Box 4: Accelerating implementation of the Programme on Prevention and Control of Non-communicable diseases in Mongolia**

In **Mongolia**, an ICA was done as part of an inter-agency partnership between UNDP and WHO around SDG 3 (Ensure healthy lives and promote well-being for all at all ages), with a specific focus on non-communicable diseases (NCDs). The ICA was framed around the following questions, *inter alia*:

- What should be done to accelerate implementation of Mongolia's Second National Programme on Prevention and Control of NCDs?
- Who are the key allies that could help put into practice scaled up action on the main NCD risk factors (tobacco, harmful use of alcohol, unhealthy diets and physical inactivity)?

An analysis of Mongolia's formal and informal institutions showed that while Mongolia has had a National Programme on Prevention and Control of NCDs since 2014, in practice it has not been implemented due to corruption and vested political and economic interests. It also showed that traditional cultural practices contribute to unhealthy habits, such as a high consumption of sodium, fat and homemade alcohol.

The stakeholder analysis revealed that public officials at the highest levels in both the Executive and Legislative branches have links with the powerful food, soft drinks, alcohol and tobacco industries and this has prevented the effective implementation of national health-related policies and programmes in the past. On the other hand, it also revealed that there are equally powerful stakeholders in the private sector that have an interest in fighting alcoholism, tobacco use and unhealthy lifestyles, because sick or absent employees affects their productivity and revenues.

Recommendations included stakeholder engagement strategies with the aim of building an alliance between the UN, the Ministry of Health and likeminded private sector companies through the Chamber of Commerce to incentivize healthy habits in the work place. It was also recommended that data collected by WHO experts to inform investment cases for NCDs be used for costing a revised NCD programme, building on recently approved legislation. This was in the interest of Ministry of Health officials, who welcomed a cost benefit analysis of NCD promotion and control in order to advocate for an increase in their budget and coverage of health services vis-à-vis the Ministries of Finance and Planning, and the Social Insurance General Office.

*Source: Melim-McLeod 2016b*

## Is the ICA a tool for Political Economy Analysis or Thinking and Working Politically (TWP)?

UNDP first launched Institutional and Context Analysis (ICA) as an approach to support country-level programming in 2012<sup>12</sup>. The first ICAs carried out by UNDP and joint programmes like UN-REDD were largely inspired by political economy analysis (PEA) methodologies developed by the World Bank and DFID<sup>13</sup> in 2009 to guide decisions by donors on the design of international development programmes. As many PEAs were considered difficult to operationalize by the donor agencies that carried them out, the original ICA methodology built on these initial lessons learned based on donor experience and was designed so as to ‘plug’ directly into the formulation, implementation and mid-term reviews of UNDP programming tools. ICAs were therefore primarily envisioned as an input to understanding how different actors in society, who are subject to an assortment of incentives and constraints, shaped the likelihood of success for the implementation of programmes and projects under the chapeau of the United Nations Development Assistance Framework (UNDAF).

The ICA methodology is **not** meant to substitute studies intended to inform country-level programming such as a Country Analysis or a Conflict-related Development Analysis (CDA). Neither is it a traditional political economy analysis tool for development understood as a methodology that looks at issues regarding a country’s political settlement, territorial integrity, monopoly of power, legitimacy, fragility, historical trajectory, illicit flows, the role of foreign investments, ODA, etc. While these dimensions are key to understanding the context in which SDG implementation takes place, they should be covered by programme-level analyses such as the UNDAF Situation Analysis or Conflict and Development Analysis (CDA). Ideally, these studies will already exist at country level and can inform the ICA, which will have a more limited scope, looking at a particular issue of relevance to one or more SDGs.

However, the ICA is still intended as a tool to help understand political economy dimensions of development, but at a ‘meso’ or ‘micro’ level, and looking at a specific development problem. As mentioned above, the purpose of an ICA is ultimately to assess the factors that are likely to have a positive or negative influence in the implementation of a particular policy or policies toward the achievement of the SDGs and provide practical recommendations to address them. Since obstacles to change

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<sup>12</sup> UNDP 2012

<sup>13</sup> Fritz et al. 2009, DfID 2009

will typically have political and economic dimensions, ICA findings will often have a political economy component. However, the ICA is an ***inter-disciplinary political economy*** tool that can be used to analyze any governance-related issues that have an impact on any SDG. The methodology lends itself to analyzing any development issue and it has been applied in areas as diverse as health, justice, climate change, job creation, extractive industries, peacebuilding, forestry, corruption, water management, and renewable energy.

Over the past few years, building on their experiences with PEAs, a number of development practitioners and policy makers have been exploring an approach building on their lessons learned, known as Thinking and Working Politically (TWP)<sup>14</sup>. TWP, in a nutshell, includes “[d]eveloping in-depth knowledge of the context and the multiple dynamics at work; Approaching an issue or challenge from a different perspective – one that recognises that development is a complex and inherently political process in which multiple contending actors seek to assert their interests in diverse societal arenas; Engaging with a diverse array of relevant actors [...], trying to reconcile them into shared positive outcomes; Focusing on more strategic policy formulation and programming grounded in contextual realities (shifting from ‘best practice’ to ‘best fit’[...]); Moving beyond being purveyors of funds towards enhancing policy dialogue and facilitating/brokering domestic processes of change.”<sup>15</sup>

The present Guidance Note is aligned with TWP principles in that it recognizes that development is inherently the result of political decisions at multiple levels, and as such, the UNCT must be conversant with the relevant political processes and engage with them through a variety of relevant actors in order to support policy implementation. It is also about strengthening the UNCT’s ‘upstream’ work by brokering policy dialogues and supporting nationally-owned processes of change.

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14 A TWP Community of Practice with members from bilateral donor agencies, think tanks and multilateral organizations, has argued that understanding politics is a small part the issue and the real challenge is to integrate it into all types of development activity to achieve greater change (Teskey 2015). They advocate for an approach known as the Problem-Driven Iterative Approach (PDIA) to programming (Andrews 2013), which is essentially about managing programmes in a flexible manner that adapts to evolving realities, rather than focusing on pre-determined outputs. It recommends a focus on identifying and exploring problems rather than solutions; Facilitating opportunities for local actors to reflect on problems by playing a brokering role; A focus on removing obstacles to change; And funding flexible learning-by-doing approaches to finding solutions (Dasandi et al., 2016). As the present Guidance Note is not intended as a programming manual as its 2012 predecessor, it does not include references to PDIA.

<sup>15</sup> Rocha Menocal 2014



## Practical considerations

The first questions that arise when deciding on whether to conduct an ICA are “Who will do it? How long will it take? How much will it cost?”

The analysis team should include at a minimum an external consultant (or UN advisor) and/or a local expert if capacity exists, and a person who can provide administrative and logistical support. Both the external consultant (or UN advisor) and local expert must have the credibility to interview stakeholders without being associated with a specific political orientation or agenda, and the soft skills required to conduct qualitative interviews where sensitive topics may emerge. The UNCT or relevant agency/agencies then have the responsibility to ensure the uptake of the findings and that there is adequate follow-up through the development of engagement strategies and assignment of responsibilities.

A typical ICA has a duration of 4-6 weeks (including desk review and a 1-2 week mission), depending on how detailed it is, whether it requires interviews with stakeholders on one or several geographical locations, and the scope of the analysis. Sample terms of reference are included at the end of this Guidance Note.

An ICA is as good as its follow-up. If it is a one-off exercise, chances are that its findings will be shelved and forgotten. It is therefore important to establish who will be in charge of operationalizing its findings and monitoring engagement strategies.

## A note to UNCTs

When identifying the potential for change to which a policy contributes, it is important to be clear on what the UNCT can do to help promote change. It is just as important to understand what it cannot do. While an ICA can be useful in illuminating factors that may bring positive change and help identify possible courses of action and entry points, it can also lead to uncomfortable conclusions. This may happen in situations where the forces blocking change are too powerful to challenge, or where there is little genuine internal support for reforms (for example, when reforms are imposed from the outside by donors). In such cases, neither human nor financial resources are likely to make a difference to development outcomes. Should this be the case, it is more helpful to acknowledge this, openly communicating concerns to national partners and providing a frank assessment of why external support in the form of a project is unlikely to make an impact. It is also important to have the goals of the ICA communicated to HQ/regional units prior to the mission and share its findings afterwards, so the exercise is not a surprise, and its findings can be taken into account by subsequent missions.

**Box 5: When external assistance will not work**

As part of its Justice Sector Programme development, UNDP commissioned an ICA of the Justice Sector in a country in South-east Asia. The scope of the ICA was guided by the question, “How can the delivery of justice be improved, in particular for the poor, women and other marginalised groups?”

A team of three consultants including one international justice sector expert, one international political economy expert, and one national expert with a legal background were asked to consider the following: i) The interest of the government for sector-wide reform; ii) Specific areas for provision of access to justice: for example legal aid, mediation/alternative dispute resolution (ADR), mobile courts etc. Could they work? Why were they not working now? iii) Engagement and incentives of some key players: Ministry of Law, Supreme Court, Bar, National Legal Aid Services Organisation, informal institutions, and district administration etc.; iv) An analysis of what realistically can be achieved within 3-5 years.

The ICA showed that the implementation of a Justice Sector Wide Strategy and measures such as the introduction of a merit-based system of recruitment and promotion and the increase of salaries for district court judges, although needed, were simply not feasible in the short to medium term and UNDP support would be unlikely to make any impact to address corruption, vested interests and incentives behind the actions of key stakeholders. On the other hand, some of the 27 measures identified that could strengthen the sector from a Human Rights Based Approach and contribute to making gradual changes included working on legislative reforms, improving case management and monitoring systems to reduce backlog, setting up witness protection programmes and enforcement of procedures in court, advancing social justice lawyering through support for legal education and engagement with the Bar, creating a system of mobile courts, and working with informal village level courts to promote human rights, especially women’s rights.

*Source: Brooks 2014*

# HOW TO DO AN INSTITUTIONAL AND CONTEXT ANALYSIS

## Step 1 - Define the scope of the analysis

As a tool in the MAPS Acceleration toolkit, the scope of the ICA is determined by the UNCT, based on the policy priorities identified previously. It could also be used to help find out why previous policies in a given area have not been implemented successfully.

Given that an ICA is intended to shed light on the causes of problems and potential synergies and alliances that can be fostered, it is important that its point of departure starts with a broad question to guide the analysis.

There is not a single template that can be used to analyze all aspects of the SDGs or even of one single Goal. Therefore, the analysis should start with a ‘super question’ from which more manageable groups of questions can emanate, depending on the topic to be analyzed. For example, the main question for an ICA in Papua New Guinea was, “How can revenues from extractive industries be translated into human development outcomes?” In this case, the ICA revealed that while the national budget allocated plenty of resources to health and education, most of the funds failed to reach their intended destinations for reasons related to lack of capacity, transparency and accountability, and there was little incentive on the part of key decision makers at national and local levels to change the state of affairs because would mean undermining their own influence.

Another ICA, carried out in Honduras, was designed based on the question “What is hindering implementation of the National Forest Plan?”, looking at the roles of the national and local authorities responsible for implementation of the plan. The ICA showed that while the Plan was good in theory, in practice it did not work because of very deliberate steps to undermine it, as there were several powerful groups profiting from illegal deforestation, and there was a national policy stimulating the export of wood – which was critical to generate much-needed hard currency in the country.

In both cases, there were many sides to the issues identified, as well as stakeholders who lost with the status quo, and who could be mobilized to form a coalition for more

accountability and enforcement of the prevailing legal and normative frameworks.

Thus, an ICA will often identify what *is* there, and try to build on that, rather than the traditional situational analysis, which typically describes what is lacking in a country compared to an ideal state of development. By focusing on what there is rather than what should be there, the ICA also allows the identification of the formal and informal factors that contribute to the state of affairs, and how to use them for coalition building across shared interests, which can be material, financial, or values-based. This will be further elaborated below.

#### **Box 6: ICA for Human Development in PNG**

In its 40 years as an independent country, Papua New Guinea (PNG) went from a little known former Australian colony in the Pacific to one of the fastest growing economies globally. However, despite an expected economic growth of 20 per cent in 2015, largely driven by the extraction of natural resources such as oil, gas and minerals, PNG struggled with translating its vast resources into improvements with regard to human development. The 2010 MDG Progress Report estimated that 40% of the population lived on less than one dollar a day. Life expectancy was estimated at 61.6 years and 25% of children were out of school, with a primary school completion rate of 59%. In the 2013 Global Human Development Index, PNG ranked 156 out of 187 countries.

In PNG, the ICA was meant to support the implementation of policy recommendations made in the 2014 National Human Development Report. It was carried out by a UNDP Governance advisor with logistical and administrative support from UNDP. It involved a 1-week desk review and ten days of fieldwork. The desk research focused on socio-economic data, the legal framework governing the extractives sectors, social norms and cultural characteristics of PNG, and served to guide the fieldwork. Semi-structured interviews and focus group meetings were held in Port Moresby, including a stakeholder analysis with the participation of CSOs and community representatives. The report made a series of recommendations building on the findings of the mission as well as previous evaluations by UNDP and other donors. They included suggestions for stakeholder engagement strategies, programming entry points and tools for enhancing accountability at the local level as well as coalition building.

*Source: Melim-McLeod 2014*

## Step 2 - Map out and analyse formal and informal rules and institutions

To understand the enabling (or disabling) environment in a certain area, it is important to map and analyse the formal and informal rules and institutions that influence the issue. In other words, to understand the difference between how things should work in theory and what actually happens in practice. This can be done through a desk review followed by interviews with stakeholders who know the country's legal framework in the area being analyzed.

Institutions<sup>16</sup> can be formal or informal rules. Any set of rules that regulate relationships between groups or individuals by providing incentives and sanctions can generally be described as an institution. Formal institutions include, for example, constitutions, which describe the division of governing power between the executive, legislative and judicial branches; the electoral system; local government units; or citizenship laws.

### Box 7: Formal and Informal Institutions

Suppose that a country would like to improve the technical capacity of its national statistical office in order to monitor progress toward the SDGs. Related key formal institutions might be the civil service code, which relates to hiring, pay, and performance incentives; or documents referring to the statute of the statistical office, which may be part of the Executive, or an autonomous agency. Formal actors would be the persons who have the authority to appoint its leadership or its senior staff.

Key informal institutions might be norms of hiring for reasons other than merit, or a tradition of political control of the office. Informal actors may include political party patrons who have no legal right to control the office, but exercise considerable influence over it by influencing appointments as part of a patronage scheme.

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<sup>16</sup> In the context of this Guidance Note, institutions “consist of a set of constraints on behaviour in the form of rules and regulations; a set of procedures to detect deviations from the rules and regulations; and, finally, a set of moral, ethical, behavioural norms which define the contours that constrain the way in which the rules and regulations are specified and enforcement is carried out.” (North, 1984: 8)

Like formal institutions, informal institutions are also rule systems. They differ in that they are usually unwritten, although widely known. Examples include household and family structures, and kinship and patronage systems. All are heavily influenced by gender, which is expressed through social norms and attitudes. Markets can be either formal or informal institutions because they are regulated by written, formal rules as well as informal social expectations.

It is also important to take actors into account when looking at the role of institutions. While formal actors (holders of public office, businessmen and women, politicians) are commonly factored into policy design and implementation, the power of some informal actors, such as for example traditional authorities, religious figures or large landowners is sometimes overlooked or underestimated because it may not be based on an official source of authority, but on unwritten power relations. Gender relations also play an important role in identifying actors that enjoy more or less power due to 'unwritten' or informal rules.

It is important to note that an ICA is not meant to imply in a thorough legal review, which would be a more complex and lengthy exercise requiring legal experts. Rather, given that in many countries the problem is not an inadequate legal framework but the effective implementation of existing laws, the purpose of the review of formal institutions is to understand the institutions and actors behind successful policy implementation or lack thereof in a given area. In practice, mapping out formal institutions means mapping and reviewing the applicable legislation in the area(s) covered by the analysis, and then asking: "How does this work in practice? Is this law being implemented? If so, how? Who or what makes the implementation of legislation in this area effective? If not, why not? Who or what is preventing the implementation of legislation in this area?". The idea here is to understand the constellations of interests that make formal institutions work or not, and take this knowledge into account when designing strategies for policy implementation in the chosen area.

To operationalize this, begin by mapping out the formal and informal institutions (i.e., rules) for the policy area in question, and then identify the key stakeholders (i.e. actors).

Initial questions to guide the analysis of formal and informal institutions may include the following sets of questions. They can also be adapted to guide interviews with selected stakeholders.

- What are the existing laws and policies on the issue that the ICA is meant to address?

- How are responsibilities distributed between the national and sub-national levels in this area?
- How are responsibilities distributed between public, private or public-private bodies active in this area?
- Are the relevant laws/policies being implemented?
- If the laws/policies are being partially implemented, what is behind the partial 'success' in implementation?
- If not, who or what is preventing implementation? List all factors including persons, groups, organisations, or informal institutions (see definition in Box 8 above)
- Is there agreement between actors at national, regional and local level on the relevance and desirability of the current legislation or regulatory framework in this area? Why or why not?
- Is the proposed policy likely to challenge stakeholders or informal rules directly or indirectly?
- Is it likely to change the rules of the game, in terms of depriving certain groups or individuals of privileges they currently enjoy?

All societies have informal institutions, which persist over time, although they may change. However, it is not realistic to believe that changes in complex rule systems that govern the behavior of people in ways they sometimes are not even aware of will be achieved in the short term unless incentives are acknowledged and tackled simultaneously. Shedding light on these incentives is the goal of a stakeholder analysis.

### Step 3 - Stakeholder Analysis

A stakeholder analysis is used to identify actors that can influence the implementation of a particular policy negatively or positively, and understand their interests, constraints and ability to influence like-minded individuals or groups. It provides information about different types of actors and helps design a strategy on how to engage with them and what types of interactions the UNCT can help promote using its convening power to support national partners in policy implementation. It has

three parts: i) stakeholder mapping; ii) understanding stakeholders' incentives and constraints; and iii) identifying the best way to engage with different types of stakeholders to *foster coalitions for change*<sup>17</sup>.

### Stakeholder mapping

Stakeholders can be individuals, organizations, or other groups and can include international actors (e.g., donors), government officials, civil society or faith-based organizations, interest groups and citizens in general. A stakeholder mapping will identify the stakeholders who are critical for the implementation of the policy or policies in question.

Box 8: Types of stakeholders <sup>18</sup>					
Private stakeholders	sector	Public stakeholders	sector	Civil stakeholders	society
Corporations and businesses		Ministers and advisors (executive)		Media	
Business associations		Civil servants and departments (bureaucracy)		Religious groups and leaders	
Professional bodies		Elected representatives (legislature)		Schools and universities	
Individual business leaders		Courts (judiciary)		Political parties	
Financial institutions				Social movements and advocacy groups	

<sup>17</sup> Unsworth 2015

<sup>18</sup> Adapted from the ODI website, Research and Policy in Development, Stakeholder Analysis, [http://www.odi.org.uk/rapid/tools/toolkits/Policy\\_Impact/Stakeholder\\_analysis.html](http://www.odi.org.uk/rapid/tools/toolkits/Policy_Impact/Stakeholder_analysis.html)



	Local government	
	/ councils	Women's organizations
	Military	Trade and labour unions
	Commissions	National NGOs
	International	International NGOs
	bodies (World Bank,	
	United Nations)	Traditional authorities

The stakeholder mapping can start with the following questions:

- Who are the relevant stakeholders (groups and individuals) that have a bearing on the issue at hand? Use Box 8 for guidance.
- Who are the groups or individuals that may not be directly involved but play an informal role in this area?
- What are their time horizons? Are they in office short-term or long-term?<sup>19</sup>
- How are these stakeholders connected? What is the nature of the exchanges and transactions they undertake?

### Understanding stakeholders' incentives and constraints

When key actors are mapped according to their roles, a more detailed assessment can be made of their interests and the degree of influence they have policy implementation.

The overall questions at this stage can be simply formulated as: "What do these stakeholders want at the end of the day? To what incentives are they sensitive?", bearing in mind that different types of societies and groups can be sensitive to incentives that may be material (money, power, votes, job security, etc.) or values-

<sup>19</sup> A time horizon is an actor's belief about how long they will be in power. Those with short time horizons, such as officials with term limits, might be expected to care more about the short-term than the long-term, while those expecting to remain in their position for a longer period might be expected to care more about the future (IADB 2006).

based (moral, ethics, loyalty, honor, respect, etc.). Membership in a specific group on the basis of cultural traditions, ethnicity, religion, political ideology, etc. also matters to how groups and individuals perceive the relative importance of these incentives.

Questions to guide the second part of the analysis might include:

- Based on what is known about them, what are the main interests of the stakeholders (both groups and individuals) identified? What incentives (e.g. material, reputational, values-based) are they sensitive to?
- Who supports the policy in question? Who stands to gain what from the implementation of the policy in question?
- Who stands to gain from the status quo? Who loses with a change in the state of affairs? What do they stand to lose?
- For those with the most to gain or lose from the implementation of this policy, what is their capacity to facilitate or obstruct change? How much power do they have in that regard?
- If policies in this area have failed in the past, what would make stakeholders support it now? How and why have their interests changed?

### How to engage with different types of stakeholders and foster coalitions for change

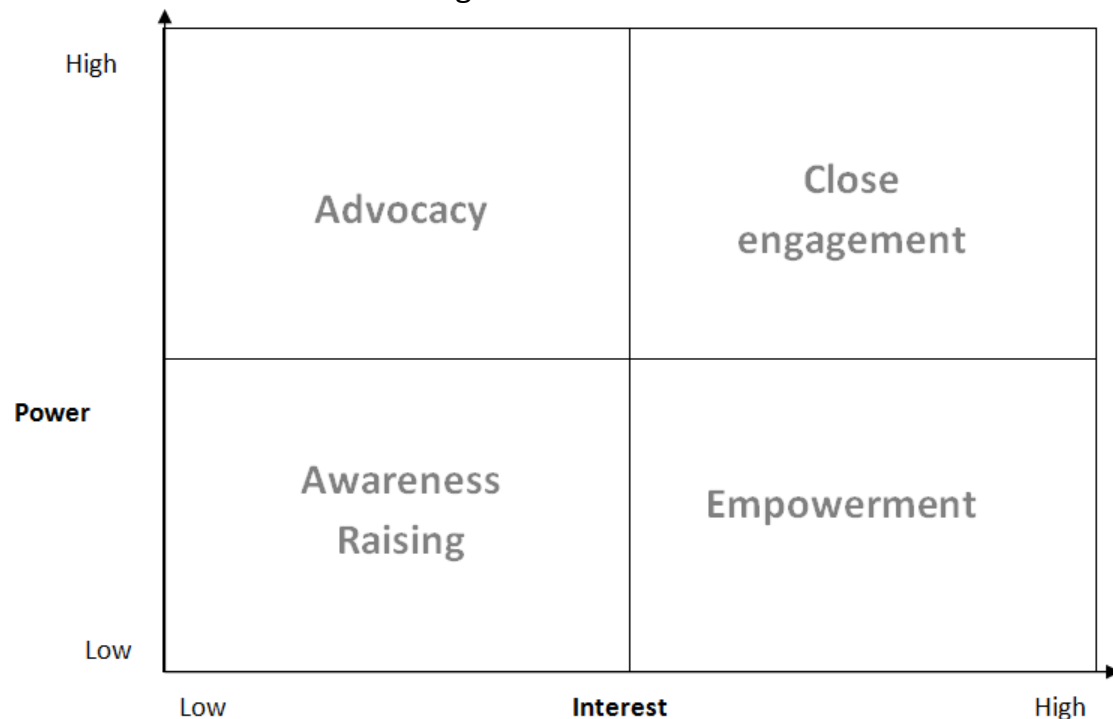
When the first two steps have been completed, you should have a good understanding of the individuals or groups who are potential allies for the implementation of the policy or policies in question, and those who can block it. Additionally, you will also have enough information to identify which stakeholders may find an alliance mutually beneficial, and work with them to foster dialogue and coalition-building towards change.

It can be useful to draw a diagram to help visualize the types of stakeholders that may affect policy implementation and the best way for the UNCT to engage with them. This technique is particularly useful if you would like to validate the findings of the analysis with others such as CSOs, task force or working group members, etc., whether they were part of the ICA exercise or not.

To do this, list all key stakeholders (as discussed above) and ask these questions:

- How much formal or informal power does each stakeholder have (i.e., to what extent can they influence the implementation of the policy concerned) on a scale from 0 to 4<sup>20</sup>?
- How much interest does each stakeholder have in the successful implementation of the policy, on a scale from 0 to 4?

Place the stakeholders on a diagram such as the one below:



Based on their position on the diagram, you should be able to visualize how much interest they have on the objective of the policy under analysis, and how much power they have affect its implementation. Then ask yourself, or the group with whom you are working, the following questions:

- What stakeholders would bring most traction to a positive change process? How can they be supported?

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<sup>20</sup> The numbers “0 and 4” are merely meant to illustrate a five point scale that can represent various levels of interest and power, where 0 indicates “none at all” and represents “high”.

- What kind of collective action by stakeholders or a coalition of stakeholders could enhance their influence and lead to or block change?
- Based on the answers to these questions, what types of engagement strategies are needed for what types of stakeholders?

Stakeholders with high power and high interest in the success of the policy are potential ‘champions’ and national partners and the UNCT should engage with closely with them. Those who have low power but high interest are potential allies of the ‘champions’ identified. The UNCT can work to empower them through development programmes and at the same time facilitate dialogue and ‘coalition building’ among like-minded stakeholders in order to foster coalitions for change.

Stakeholders with a low degree of interest in the success of the policy will require a different type of engagement. Those with high power and low interest have the potential to block or slow down the project and will require intensive engagement by national partners and the UNCT, drawing on the incentives identified. Finally, stakeholders with low power and low interest may simply be unaware of the potential benefits of the policy in question, and engagement with this set of stakeholders can primarily entail raising their awareness.

As development practitioners are aware, the best stakeholder analysis is not a silver bullet for resolving tensions between competing interests among stakeholders and policy goals. There will be situations when, despite having achieved an enhanced understanding of these tensions and efforts to address them, national partners and UNCTs may not be able to facilitate change in the behavior or attitude of these stakeholders, as the proposed policy may not be of interest to them, or may go against their interests. In such cases, the analysis may still useful, because it will reveal realistic paths that can be pursued with different sets of stakeholders.

## **Step 4 - Design engagement strategies and assign responsibility for implementation**

In order to operationalize the findings of the analysis, engagement strategies can be designed drawing on the knowledge acquired on formal and informal institutions and stakeholders' interests, power and incentives. The ICA team can lead this process in a meeting with a few participants or in a workshop with wider participation, depending on the scope of the ICA and the interest in involving a larger group from the UN or national government in the exercise.

The important thing is to discuss what strategies can be put in place, who will be responsible for implementing them, and to set a time frame for engagement and reporting back to the relevant officials at regular intervals for a specific period of time.

Depending on the engagement strategy, task forces can be set up to deal with specific issues. For example, if the implementation of the policy in question is related to increasing the number of persons with access to water and sanitation, engagement strategies can be designed for stakeholders such as water utility companies, governments at sub-national and national levels, Water Board/committees or equivalent, community leaders, etc. Task forces can be assigned to each of these or all of them, and report regularly on their activities and response by stakeholders, until policy implementation is achieved or deemed mature enough, adjusting their course as needed. Responsibilities should be assigned in accordance with the task, type of input and seniority required (See Box 9).

**Box 9: ICA task forces follow-up to achieve results in Bangladesh**

In Bangladesh, the UNDP Chittagong Hill Tracts Development Facility (CHTDF) was set up and tasked with supporting implementation of the 1997 Accord. Although the Facility had solid resources, with a budget of USD 160 million and 202 staff, the national political context presented a number of challenges, and progress toward implementation of key provisions of the Accord was slow.

An ICA was carried out in order to identify and address bottlenecks to implementation of the Peace Accord in the format of a three-day ICA workshop with over 30 participants who were very familiar with the challenges of the Peace Accord implementation. They included Indigenous People, former military officers, and former government personnel as well as UNDP international staff. The workshop resulted in the formulation of 10 key Policy Engagement Strategies (PES). Task forces for each PES were created, and responsibilities assigned for each PES within the programme management team. This meant that the ICA was not a one-off exercise, but the analysis results were being constantly monitored and updated.

As a result of the work undertaken by the Task Forces, a series of recommendations on policies needed to implement key Peace Accord provisions were presented to the Prime Minister's Office. While some were rejected, others were accepted, and the ICA resulted in the CHT Police accepting Indigenous People recruits, which was viewed as an important milestone by the Indigenous People and an achievement for the program. In addition, a road map was set up for Reducing Emissions from Deforestation and Land Degradation (REDD), with positive consequences for biodiversity, climate change and natural resource management.

The main lesson learned from this early ICA is that this type of analysis yields concrete results if followed-up through the assignment of specific responsibilities and is done on an ongoing basis as part of policy advocacy and programme implementation. Since then, three other ICA were held in Bangladesh, for different purposes.

# PRACTICAL ISSUES

The ultimate measure of the success of an ICA is how useful it is for improving policy implementation. This chapter delves further into practical requirements for conducting an ICA by providing concrete ‘how-to’ guidelines and templates. The guidelines and suggestions below are meant to assist national partners and UNCTs in carrying out an ICA that is according to their own needs, time and budget.

## General guidelines

When planning an ICA, the following are important factors to bear in mind:

**Timing and timeframe:** *Ensure that the timing of the analysis is synchronized with the its intended application.* Lack of follow-up on the findings of an analysis may be because the analysis was not aligned with the relevant strategic or programming processes. The analysis report can therefore be left aside and quickly become outdated, particularly in crisis-affected countries or countries undergoing transitions. Sometimes the analysis process is initially synchronized with relevant planning/programming processes, but that alignment disappears due to changes in schedule for subsequent processes into which the analysis is meant to feed. In some cases, particularly in volatile contexts, these delays are inevitable, because they are influenced by changes in the situation. In other cases, though, they are primarily caused by organizational flaws, and can be avoided with better planning.

An ICA has no specific duration, but most analyses will require data collection on site ranging from 5 to 10 working days of full-time work. Costs will depend on whether the consultant(s) involved is/are hired locally or internationally, and whether travel is required.

**Buy-in and ownership:** *Identify in advance the actors whose buy-in is essential in following up the analysis and ensure that they are involved in the process.* In some cases, follow-up depends on key actors. If they have not been involved in the analysis, or even in the design or the planning process, they may not feel the ownership needed to ensure that its recommendations are carried forward.

**Handling sensitive information:** *Have a clear strategy to deal with findings that may be politically sensitive for the government or other actors.* Because ICA includes

questions related to the distribution of power and resources, the findings of the analysis can be very sensitive. For example, ICA studies can reveal challenges of corruption and patronage in the government, or it may reveal patterns of ineffectiveness by donors.<sup>21</sup> Given that potential, the analysis should be closely monitored by a UN official who can oversee all stages of the process from planning to completion.

The UNCT should be able to explain the purpose of the analysis to national stakeholders when requested, in a way that highlights the value of the exercise from the perspective of allowing greater effectiveness and ensuring that the UN System's efforts are contributing to the policy prioritised of the country in question.

**Output from an ICA:** *Define in advance what kind of output is expected.* The output of an ICA can be a debrief, workshop or report – or a combination of these. Workshops may be more suitable than reports to ensure that stakeholder engagement strategies are communicated and task forces are formed to implement them.

Because an ICA will typically produce sensitive information, it is up to the agency or agencies that commissioned the report to decide whether, and how, to share the findings, externally.

## Sample Terms of Reference

The process of developing Terms of Reference provides an excellent opportunity for in-group discussion on the subject matter, the rationale for an ICA and its scope, limitations and risks. Terms of Reference can be structured around the following sections.

### 1. Background

What is the breadth and depth of the issue/sector to be analysed?

### 2. Objective of the Assignment

- What is the goal of the ICA?
- Where does the need for an ICA stem from?
- How will the analysis feed into planned activity?

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<sup>21</sup> UNDP/DFID/World Bank/EC (2009).



- What are the time, financial and methodological (or political) constraints?

### **3. Scope of the Assignment: Activities and Deliverables**

#### *Activities*

- Given resources allocated, what types of activities will the team carry out to meet the desired objective?
- What data collection methods should be applied?
- Will the consultant(s) write interview questionnaires or guidelines for focus group discussions? If so, will they be deliverables on their own?

#### *Deliverables*

- What are the specific outputs for the consultant(s) who will undertake the analysis? Keep in mind that specific recommendations on stakeholder engagement strategies should be included, so that the final report contains actionable points and the analysis is not reduced to an academic -style exercise.
- Will the final deliverable take the form of a report? What should be the main sections of the report?
- How will the analysis findings be disseminated? Will the consultant be expected to deliver a presentation or facilitate a workshop for the design of stakeholder strategies?

### **4. Competencies**

#### *Members of the research team should:*

- Display cultural, gender, race, and age sensitivity;
- Demonstrate integrity by modelling the United Nations values and ethical standards;
- Display comfort working in politically sensitive situations;
- Have strong oral and written skills;
- Demonstrate research, analysis and report-writing skills;

- Have a good grasp of ICA ideas; and
- Have excellent communication and inter-personal skills, particularly for building networks and partnerships.

*International consultants should have:*

- Experience in conducting analyses for development programmes;
- Fluency in the official language of the country
- Demonstrated written communication skills

*National Experts should have:*

- Experience in conducting analyses for development programmes;
- Fluency in the official language of the country as well as any local languages necessary for interviewing local stakeholders
- Demonstrated written communications skills

## **5. Required Skills and Experiences**

For international consultants, the following could be added:

PhD or Masters in a relevant discipline, such as Political Science, Development Studies, or sociology; and

Knowledge and experience of the country or the region preferred.

For national experts, the following could be added:

Masters in a relevant discipline, such as Political Science, Development Studies, or Sociology.

## Timeline for a typical ICA

WHEN	WHAT	WHO
<b>PLANNING</b>		
6 weeks before mission	Develop ToR and establish mission duration (typically 1- 3 weeks)	CO with regional support as needed
4 weeks before mission	Recruit consultant(s) if needed	CO with regional support as needed
2 weeks before mission	Start identifying relevant stakeholders	CO with consultant(s) and/or regional support as needed
1-2 weeks before mission	Set up interviews	CO
1 week before mission	Read background documentation	Consultant(s) and/or regional advisors
1 week before mission	Send mission agenda to consultants	CO
<b>IN –COUNTRY MISSION</b>		
Day 1	The first day of the mission should have an initial meeting with regional advisors/ consultants and the CO to introduce the ICA, ensure that there is consensus and clarity on the purpose and scope of the study, expected results and persons responsible for uptake of recommendations, and agree on practical issues, roles, and approach to each interview/stakeholder, as needed. This is critical to ensure that all stakeholders have a shared understanding of what to expect of the ICA and for the success of the exercise.	CO with consultant(s) and/or regional advisors
Day 2 onwards	Interviews and regular debriefs with all ICA team members (consultants, regional advisors)	Consultants and/or regional advisors with optional CO participation
Last day	Debrief/ presentation to partners Debrief to relevant UN/UNDP staff (if requested)	(optional) Consultants and/or regional advisors
<b>AFTER THE MISSION</b>		
2 weeks after mission	Submission of draft report	
3 weeks after mission	Comments to draft	CO, national counterparts, regional advisors

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