Standard Operating Procedures for Countries Wishing to Adopt the "Delivering as one" Approach

Prepared by the UNDG High Level Group

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1. Introduction

1.1 Background

Following the World Summit of 2005, where the need for UN reform was given new impetus, the Secretary-General established the High-level Panel on System-wide Coherence in 2006. In its report, entitled "Delivering as one", the Panel presented a series of recommendations aimed at, among other issues, strengthening the work of the UN in partnership with host Governments and its focus on results. The Panel also recommended that the UN should accelerate and deepen reforms to establish unified UN Country Teams (composed of representatives of the UN specialized agencies, funds and programmes and other UN entities accredited to a given country) with a capacity to provide a coherent approach to cross-cutting issues.

In 2007, eight countries volunteered to pilot the "Delivering as one" approach, innovating new approaches to coherence at the country level. The pilot programme countries were Albania, Cape Verde, Mozambique, Pakistan, Rwanda, United Republic of Tanzania, Uruguay and Viet Nam. In 2010 and 2011, pilot programme countries undertook country-led evaluations. An independent evaluation of lessons learned from the "Delivering as one" pilot phase was completed in 2012.

In parallel, the new approaches were regularly reviewed in annual high-level intergovernmental conferences on "Delivering as one", subsequently welcomed by the General Assembly in its resolutions 63/11 and 64/289 on system-wide coherence. The eight pilot programme countries were also joined by a steadily growing number of voluntary adopters. Furthermore, representatives of 48 Governments attended the last High-level Intergovernmental conference, held in Tirana, Albania, in 2012.

In his Five-Year Action Agenda for his second term, the Secretary-General included a call to "launch a second generation of "Delivering as one", which will focus on managing and monitoring for results, ensuring increased accountability and improved outcomes".

In its resolution 67/226, the General Assembly, in the section on "Delivering as one" of the quadrennial comprehensive policy review (QCPR), requested "the United Nations system to build on the best practices and lessons learned in implementing "Delivering as one" by a number of countries and to further consolidate the process by clearly outlining the core elements of each of the "ones", based on lessons learned, including by formulating standard operational procedures as guidelines for the successful work of the United Nations country teams in "Delivering as one" countries, as well as for

other countries that consider joining "Delivering as one", and to report on this process and standard operating procedures to the Economic and Social Council during its operational activities segment".

1.2 Objectives of the Standard Operating Procedures

The objectives of the standard operating procedures (SOPs) are to:

- provide to UN Country Teams, Governments and partners in countries that call on the UN to adopt the "Delivering as one" approach an integrated package of clear, straightforward and internally consistent guidance on programming, leadership, business operations, funding and communications for country-level development operations;

- provide information for programme countries that are considering adopting the "Delivering as one" approach, presenting the approach simply and clearly; and

- where appropriate, identify and recommend critically important policy and procedural changes that agency HQs should make in order to reduce transaction costs for Governments, development partners and UN Country Teams, and enable joint focus on results at the country level.

The SOPs strike a balance between flexibility and standardization in order to be applicable and useful in a wide variety of country contexts, such as low-income or least developed countries and middle-income countries, each with its specific development challenges, normative settings, institutional capacities and UN presence. The SOPs recognize that UN Country Teams and national counterparts will need to tailor the implementation of "Delivering as one" to their particular context. This tailoring is also important in countries in post-conflict transition, especially where the principles of integration apply[1]. In these contexts, coordination between development, humanitarian, security and political activities helps to maximize the UN's impact. It also signals to national and international counterparts that operate in a coherent and mutually supportive manner in the recovering and transition.

Upon request from a Government for the "Delivering as one" approach to be utilized in the country, the Resident Coordinator would inform the Regional UNDG Team that the United Nations Country Team, in

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[1] As per decisions of the Secretary-General, the principle of integration applies where the UN has a country team and a multidimensional peacekeeping/political office mission, irrespective of whether those presences are structurally integrated. The form integration takes in a given country is determined for each specific context and takes into account the need for humanitarian space.

full consultation with the Government on the specifics, would be utilizing the Standard Operating Procedures. Host-country engagement at the inception phase of the "Delivering as one" reform, such as the designation of a central coordinating agency on behalf of the Government or exchanges of experiences/lessons learned with "Delivering as one" countries, for example, will be supported by the UN.

1.3 Framework/Principles for Development of the Standard Operating Procedures

The framework for the development of the SOPs is based on a thorough review of all existing analyses of the "Delivering as one" approach. This includes relevant General Assembly resolutions, particularly resolution 67/226 on the 2012 QCPR, and reports from the Secretary-General and outcome documents from the high-level intergovernmental conferences on "Delivering as one". Findings and recommendations from the independent evaluation as well as the country-led evaluations of the "Delivering as one" pilots have been taken into account as have other achievements and lessons learned from Resident Coordinators and UN Country Teams engaged in the piloting phase, including the voluntary adopters. Finally, UNDG working mechanisms and High-level Committee on Management (HLCM) networks, Regional UNDG Teams and UN staff with operational experience at the country level have contributed their expertise and knowledge.

Using these sources of guidance, evaluation and consultation, six key principles have guided the development of the SOPs:

1. strong ownership and leadership by national governments;
2. significant simplification and reduction of programming, business and service transaction costs for Governments, development partners and the UN system, including by further integrating and harmonizing common and agency-specific business processes;
3. empowerment of UN Country Teams, under the leadership of the UN Resident Coordinator, to address country-level needs, based on good practices and experiences in "Delivering as one" countries, both pilots and voluntary adopters;
4. flexibility to allow for innovation by UN Country Teams;
5. drive towards common delivery of results and strengthened accountability, including on cross-cutting issues such as human rights, gender equality and environmental sustainability;
6. emphasis on the shared values, norms and standards of the UN system.

1.4 Enabling Actions and Decisions at the Headquarters Level

In the process of developing the SOPs, a number of unresolved Headquarters issues surfaced in all pillars of UN support to "Delivering as one" countries. These issues are outlined in detail in the annex to the present document and will require Headquarters engagement and action. The speed with which follow-through is effected by agencies and the subsequent allocation of resources will be key elements in the success of the second phase of "Delivering as one".
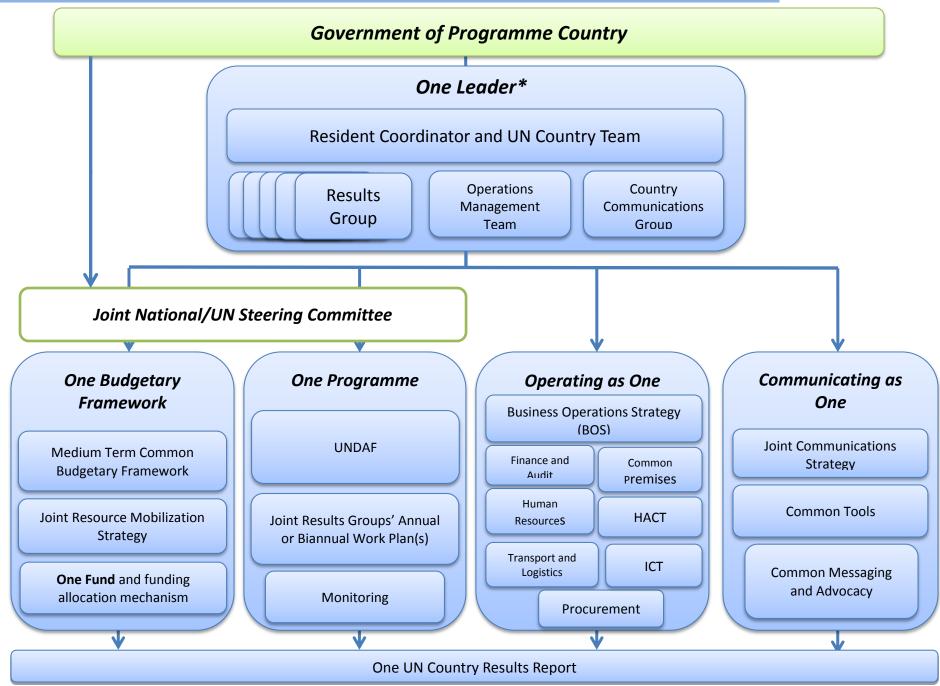
Furthermore, for the SOPs to accelerate transformational impact, change management and true delivery as one across structures and locations, the shared vision and culture of collaboration for results must be strengthened. Mutual accountability modalities outlined in the management and accountability system of the UN development and resident coordinator system will need to be fully implemented for all staff to embrace fully a common UN identity. The highest standards of leadership skills and management training must be ensured. Additional investment in staff development, exchange of information, lessons learned and best practices across the system, joint training and continuous learning opportunities are required.

1.5 Implementation, Monitoring, Evaluation and Reporting of the SOPs

The UNDG Chair may wish to task the Assistant Secretary-General (ASG) Advisory Group to drive the implementation of the SOPs. The provision of specific guidance and resources to support "Delivering as one" countries, Resident Coordinators, UN Country Team members, and agency officials in key country, regional and headquarters positions is a critical element in ensuring the success of the next phase of "Delivering as one".

Refinement of the SOPs during 2013 will be guided by field experience and continuous feedback from Resident Coordinators, UN Country Teams, country-level staff, Regional UNDG Teams, the UNDG ASG Group, UNDG working mechanisms and HLCM networks, and other relevant UN stakeholders.

In its resolution 67/226 on the QCPR, the General Assembly requested the United Nations system to "support programme countries that have adopted the "Delivering as one" approach with an integrated package of support" and to report on standard operating procedures to the Economic and Social Council during its operational activities segment.

Government of Programme Country

One Leader*

Resident Coordinator and UN Country Team

Results Group

Operations Management Team

Country Communications Group

Joint National/UN Steering Committee

One Budgetary Framework

Medium Term Common Budgetary Framework

Joint Resource Mobilization Strategy

One Fund and funding allocation mechanism

One Programme

UNDAF

Joint Results Groups' Annual or Biannual Work Plan(s)

Monitoring

Operating as One

Business Operations Strategy (BOS)

Finance and Audit

Common Premises

Human Resources

HACT

Transport and Logistics

ICT

Procurement

Communicating as One

Joint Communications Strategy

Common Tools

Common Messaging and Advocacy

One UN Country Results Report

* Main elements are: Management and Accountability System, UNCT Code of Conduct and mutual accountability framework of Results Groups, OMT and CCG conveners and members.

2. One Programme

2.1 Goals

The One Programme brings all members of the UN Country Team together under one nationally owned strategy that draws on the full range of UN expertise and ensures a fully integrated UN Country Team approach to delivering development results in a coherent manner. These One Programme development results are measurable and costed.

The One Programme brings important gains by ensuring that UN country programmes integrate the full range of UN, national and international partners' expertise and experience; facilitating the systematic application of normative programming principles in the formulation, implementation, monitoring and evaluation of the programme; and achieving close alignment with national development priorities. It also increases access by programme countries to the mandates and resources of non-resident agencies. In transition countries, it is also an instrument for facilitating coherence with UN missions (when present).

The One Programme contributes towards strong national ownership and government leadership, increased transparency, reduced duplication, increased coherence of planning, and better delivery and reporting of results, particularly on cross-cutting development challenges.

2.2 Main Elements

The following are the required elements of the One Programme. They can be further supplemented by additional elements that may be appropriate in specific country contexts. In some cases options are indicated.

1. The United Nations Development Assistance Framework (UNDAF)[2], as the basis of the One Programme, is a strategic, medium-term results framework that describes the collective vision and response of the UN system to national development priorities and results on the basis of the normative programming principles, and defines how the UN Country Team will contribute to the achievement of development results, based on an analysis/assessment of country needs and UN comparative advantages. In countries where the principles of

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[2] Most recent UNDAF guidance: How to Prepare an UNDAF (2010).

integration apply, the UNDAF may be combined with an ISF and should capture the strategic objectives of the whole UN presence[3] and take into account humanitarian objectives and responses,[4] with due consideration given to the protection of humanitarian space, as warranted and agreed.

2. The UNDAF defines outcomes to be achieved over the course of three to five years by the UN and partners, with due consideration given to the importance of harmonization with the timing and duration of the national planning cycle whenever possible. It includes a results matrix at the outcome level and a legal annex containing the requirements previously included in the Country Programme Action Plan (CPAP)/UNDAF Action Plan. The Government and the UN Country Team may opt to add outputs to the results matrix, provided that the detailing of outputs adds programming value. In general, it is preferred to keep the UNDAF results at a high level so that the UNDAF remains a strategic document.

3. The UNDAF is fully aligned with national priorities and the national development cycle or with key national development initiatives where there is no unified national programme. The UNDAF strengthens national ownership through participation in the development of the results matrix, coherent engagement in national and UN coordination processes, and alignment of the UNDAF with national planning cycles.

4. In the initial phases of transition, where national programming cycles tend to be compressed, the UNDAF should be aligned to the shorter cycle and does not necessarily have to cover a period of three to five years.

5. The UNDAF creates a clear division of labour for Governments and development partners and within the UN system. The UNDAF results matrix serves as a mutual accountability framework, indicating which agencies will contribute to each outcome (and to each output, if outputs are included). For transition countries, national development priorities might include peace- and state-building priorities and those should be captured in the UNDAF even when they are implemented by other UN actors.

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3 The term "UN presence" covers agencies present in a country and non-resident agencies with activities in the country including regional-based agencies.
4 In humanitarian situations, the UN system agencies should come together and organize themselves through the Inter-Agency Standing Committee (IASC) cluster approach, except for refugee situations, where UNHCR is mandated to assume the lead coordinating function.

6. Strategic guidance and oversight are exercised through a Joint National/UN Steering Committee with the participation of all national stakeholders as defined in the UNDG UNDAF Guidelines.[5] In transition countries and depending on the configuration of the UN presence, due consideration will be given to facilitating linkages of development, humanitarian, security and political processes. Where a Peacebuilding Fund is present, UN, government and international partners should consider the feasibility of establishing a joint body to oversee the allocation and use of the Fund.

7. The UNDAF drives joint and comprehensive UN work planning and monitoring for results. With very limited exceptions[6], the UNDAF reflects the programmatic, operational and communications work of all UN agencies, funds and programmes operating in the country.

8. UNDAF outcomes are operationalized and translated into concrete, measurable and time-bound outputs and annual/biennial action plans through the Results Group (see Joint Work Plan(s) below). Results Groups are coordination mechanisms. Each Result Group is chaired by a Head of Agency on behalf of the UN Country Team. The Results Groups are organized to contribute to specific UNDAF outcomes through coordinated and collaborative planning, implementation, monitoring and evaluation. Each Results Group creates a joint work plan that is rolling in nature and articulates short-term outputs (one to two years) that will contribute to the achievement of UNDAF outcomes, performance benchmarks, division of labour and budgetary requirements. All Results Groups use the same results-based management tools and standards as agreed by the UNDG (and build from relevant measures among accepted performance indicators). To ensure maximum reduction of transaction costs for all involved partners, the Results Groups' joint work plans will normally be the only work planning instrument, replacing agency-specific plans, except where Governments require an agency and/or (line) ministry work plan and/or the joint work plan cannot be

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[5] In the UNDG UNDAF Guidelines, "stakeholders" refers to governments, including line ministries; social partners, including workers' and employers' organizations; other development partners relevant to a country context; civil society; and non-governmental organizations (NGOs).
[6] The exceptions are generally in terms of one-off specific work activities (e.g. support of global public goods such as immunization campaigns; etc.) in collective understanding of the UN Country Team that UN agencies might undertake in a country and that do not cover the entire UNDAF programme cycle.

signed by all agencies within an agreed period[7].

9. An annual UN Country Results Report encompassing programmatic, operations, communications and financial results and based on outcome areas and Results Group outputs documents the collective work of the UN development system in a country and the contribution of the UN to the national development agenda. Normally, the annual UN Country Results Report should also replace agencies' individual, agency-specific reporting requirements.

10. The UN Country Team and partners must carry out at least one evaluation during an UNDAF cycle, normally during the penultimate year. An exercise in learning and accountability, the evaluation is intended to improve the quality of on-going and future UN programming, coordination and partnerships.

2.3 Implementation

The UN Resident Coordinator leads the UN Country Team through a programming process to create a set of strategic results based on national priorities, the internationally agreed development goals, and the capacity and comparative advantages of the United Nations.

Country Analysis and the Comparative Advantages of the United Nations

The country analysis must inform the strategic planning step of the UNDAF. The UN Country Team reviews the existing analysis, including the evaluation of past cycles, and determines whether additional analysis is required. The UN Country Team determines its comparative advantages, ideally through an independent assessment that includes an analysis of its relevance and capacity in terms of normative and operational activities in relation to development priorities and needs as well as the activities of other development actors. In countries in transition, either in special circumstances or where the principle of integration applies (and/or in humanitarian contexts), the exercise should be an integral part of the mandated joint analysis of the whole UN presence.[8]

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[7]A limited number of agencies may need a transition period to replace or adapt agency-specific instruments to take full advantage of the "Delivering as one" 'no-duplication' model. This is bearing in mind that specialized agencies may not be able to replace their country programmes in given sectors and thematic areas over the short term.
[8] See decision 2008/24 of the Secretary-General on integration and his decision 2012/1 on special circumstances, which request a joint assessment, analysis and planning for the whole UN presence in these countries.

UNDAF - Strategic Medium-term Planning

Based on the national development plan, the country analysis and the comparative advantage of the UN agencies, the UN Country Team sets strategic priorities and determines the division of labor for programming and implementation, taking into consideration the principle of inclusiveness. For transition countries, national development priorities might include peace- and state-building priorities. The planning process should include the totality of the UN presence and, specifically in transition countries, inter linkages should be ensured between the UNDAF and Integrated Strategic Frameworks, where applicable, and possibilities for a single process and document should be explored.[9]

The UNDAF may be agreed and signed with the Government between January and May of the year prior to implementation. It is submitted to UN governing bodies of the UN entities where this approval is required in June/July for approval in September prior to implementation in January of the following year. In cases where the UNDAF is aligned to the July-to-June fiscal cycle, submission will be for Board approval in January of the year of implementation.

Establishment of the Joint National/UN Steering Committee

Key points are:

- participation is inclusive (line ministries, UN Country Team, UN mission as relevant, and as deemed appropriate in consultation with members of the UNCT, other stakeholders as defined in the UNDG UNDAF Guidelines) and the Committee is co-chaired by the UN Resident Coordinator and Government Coordinating National Ministry;

- terms of reference for the Steering Committee are jointly prepared and approved by the host country Government and the UN system, including roles and responsibilities, membership, and approval and dispute-resolution mechanisms;

- in countries where aid coordination mechanisms already exist, the Joint National/UN

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[9] See examples of Haiti, Liberia and others where the UNDAF and the integrated strategic framework (ISF) constitute one process and are contained in a single document.

Steering Committee should be integrated into the existing architecture;

- the Steering Committee should review and confirm the strategic direction and overall funding priorities for the One Programme and should provide high-level oversight and support;

- the Steering Committee normally meets one to three times per year); with the Resident Coordinator's Office serving as the secretariat in conjunction with relevant counterparts in the Government and being responsible for information-sharing with the UN Country Team.

In addition, depending on the country context, UN Country Teams should strongly consider establishing national steering sub-committees linked to Results Groups to replace project-specific steering committees and oversight boards.

Results Groups and Joint Work Plan(s)

The Results Groups are mechanisms organized to contribute to specific UNDAF outcomes through coordinated and collaborative planning, implementation, monitoring and evaluation. They are defined at the strategic medium-term planning stage and are aligned to the One Programme expressed in the UNDAF results matrix. Each Results Group is led by a designated Head of Agency who is a member of the UN Country Team and who is responsible and accountable for driving joint approaches for results as well as monitoring and reporting within a harmonized and coordinated framework. The leader is delegated to act on behalf of the UN Country Team not as a lead agency but rather to fulfil a coordination and leadership function on behalf of the UN system. Other key points are:

- using the same results-based management tools and standards, each Results Group develops a one-to-two-year joint work plan that is rolling in nature and indicates short-term outputs, commonly used performance indicators and context-specific performance benchmarks, respective roles and responsibilities, and budgetary requirements;

- the joint work plan(s) serve as the only work-planning instrument, replacing wherever possible agency-specific plans, to drive and account for coherent results delivery by the UN development system or whole UN presence in countries where the principles of integration apply, particularly for areas of joint work between UNCT and UN missions. This holds true

except where Governments require an agency and/or (line) ministry work plan and/or the joint work plan cannot be signed by all agencies within an agreed period;

- these joint Results Group-level work plans are signed with the Government wherever possible. Normally, line ministries that are programme partners should be signatories. If the Government requires an agency annual work plan (AWP), it will be signed by relevant partner ministries;

- to ensure programming coherence and linkages as well as to facilitate reporting and tracking of the budget, the Resident Coordinator Office will consolidate all outputs and budgetary information developed by the Results Groups (the "joint programming results matrix") into a consolidated output document that includes the Common Budgetary Framework;

- all UN resources (including core, non-core and the funding gap) will be presented in the work plan(s); and

- UN Country Team members leading the Results Groups and UN Country Team members participating in those groups are accountable to the UN Country Team and the Resident Coordinator for producing agreed results jointly, in full compliance with the Management and Accountability System. They also continue to be accountable to their respective agencies for their contributions to the work of the UN at country level. UN Country Team members leading the Results Groups are empowered and accountable for driving joined-up implementation and overcoming bottlenecks to achieve results aligned to UNDAF outcomes.

Monitoring, Reporting and Evaluation

Results Groups will be guided by common terms of reference, with one of the key elements being active joint monitoring at the output level. The Results Groups undertake active monitoring and regularly adapt their plans to address identified development bottlenecks and focus on the most critical issues in order to contribute to national development results in the most effective way. Reporting will focus on progress in overcoming development bottlenecks (annually or more frequently) as well as outputs and outcomes.

The designated UN Country Team members leading the Results Groups report results at two levels: (a) contribution to development progress (through the use of a common evaluation framework for

results at the outcome level, i.e., collective accountability of the team towards results) and (b) attribution, i.e., individual accountability of each agency towards activities/outputs carried out through monitoring of the output-level results spelled out in the annual joint work plans.

It is important to note that:

- the annual UN Country Results Report is developed by the respective Results Groups, including those on operations and communications, and consolidated by the Resident Coordinator's Office. The UN Country Results Report will be based on the outcome areas to which each Results Group contributes;

- the annual UN Country Results Report will be used to undertake an annual review of the One Programme, operations and communications. This annual review will inform the development of the next cycle of the Results Groups work plans;

- agency-specific annexes extracted from the UN Country Results Report could be included to meet reporting requirements by Executive Boards/governing bodies; and

- a final independent evaluation will be undertaken in the penultimate year of the cycle. Focusing on the contribution of each Results Group, including operations and communications, to the development results of the One Programme, it will feed into the new programming cycle.

3. Common Budgetary Framework and One Fund

3.1 Goals

The Common Budgetary Framework and One Fund approaches were adopted by all "Delivering as one" pilot programme countries. These 'Ones' contributed to the alignment of UN operational activities with national plans and priorities, by integrating all planned and costed UN programme activities. The independent evaluation of "Delivering as one" particularly highlights that:

- the Common Budgetary Framework is a major innovation that enables UN Country Teams to present all planned and costed programme activities in one place and thus it contributes to better delivery of UN system support;

- the One Fund is a catalyst for an inclusive approach to UN engagement, encompassing a broader range of organizations; and

- joint resource mobilization is a major innovation in all countries adopting the "Delivering as one" approach.

The independent evaluation of "Delivering as one" further recognizes that the Common Budgetary Framework and One Fund approaches contribute towards:

- enhanced national ownership through increased transparency and flexibility for Governments due to the completely un-earmarked or loosely earmarked nature of funding under the One Fund. This flexibility allows for governments to mobilize UN expertise and assistance in innovative areas, and to ensure participation of non-resident agencies and agencies with limited in-country presence when their expertise is needed;

- reduced duplication and fragmentation of activities through improved planning and reduction of competition for funds; and

- better delivery of results (due, among other factors, to the introduction of performance-based allocation criteria under the One Fund), most notably on cross-cutting issues.

The Common Budgetary Frameworks and One Funds are seen as important tools for reporting to Governments and donors, promoting resources that are "less earmarked and more predictable than other forms of non-core funding" and driven by programme needs. They also facilitate coherent resource mobilization by the Resident Coordinator and the UN Country Team for implementation of agreed costed result areas from the One Programme work plans.

3.2 Main Elements

Medium-term Common Budgetary Framework[10]

1. A medium-term (three-to–five-year)[11] Common Budgetary Framework, supporting the One Programme, operations and communications and designed as a planning and management tool at the disposal of the UN Country Team, provides a holistic overview of required, available

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[10]Available resources: Guidance on Common Budgetary Framework

[11] In the initial phases of transitions, where national programming cycles tend to be compressed, the UNDAF (and consequently the ensuing budgetary framework) should be aligned to the shorter cycle and not necessarily cover a period of three to five years.

and expected funding sources, and any gaps in funding to support delivery of the One Programme. It also provides a basis for setting funding priorities, mobilizing resources to cover funding gaps and allocating resources (in the case of the One Fund).

2. The Joint National/UN Steering Committee (see the section on the One Programme) sets overall funding priorities for the One Programme.

Operationalization and Management

Important elements include:

3. agreed roles and responsibilities of the Resident Coordinator, Results Groups, UN Country Team and Resident Coordinator's Office for budget development and management and for resource mobilization and allocation;

4. annual Common Budgetary Framework as an agreed, joint source of financial information on available resources and expected funding and as a basis for joint resource mobilization and allocation of resources from the One Fund (if applicable);

5. defined and agreed fund-management modality, i.e., One Fund and/or joint programmes, following the principle that "programme drives the funding". The specific modality will depend on the nature and complexity of the programme. The One Fund is an optional but recommended mechanism to complement agency core and non-core fund-management modalities; and

6. a joint resource mobilization strategy to ensure a coherent approach to fund-raising activities in country, with inter-agency coordination under the leadership of the Resident Coordinator representing all agencies' interests, i.e. joint resource mobilization will be supplemented by agency resource-mobilization.

Monitoring, Reporting and Evaluation

7. Monitoring of the Common Budgetary Framework and One Fund is built into the monitoring and reporting mechanism of the One Programme and joint work plan(s). Results Groups, the Operations Management Team and Country Communications Group report on resource

mobilization and allocations for their respective work plans.

3.3 Implementation

Strategic Medium-term Budgeting

Define a Common Budgetary Framework

- As part of the UNDAF(see the section on the One Programme), define the Common Budgetary Framework, which includes an estimate of the available and expected funding sources for each outcome area (including the Results Groups, Country Communications Group (CCG) and Operations Management Team (OMT) Results Groups). This Common Budgetary Framework is an estimate for the entire programming cycle and will be further updated, revised and detailed through the joint annual work plans of the Results Groups, Operations Management Team and Country Communications Group.

- The process should be as light as possible taking into account that (a) precise costing at the outcome level is problematic; (b) agency budgets are defined differently; and (c) precise costing and identification of funding needs often can be made only on an annual/biannual basis.

- The Common Budgetary Framework will include (a) estimated agency contributions, with disaggregation by core and non-core resources; (b) the Governments' contributions; and (c) the funding gap. When other UN actors (Peacebuilding Commission, Peacebuilding Fund or UN mission) are present, the Common Budgetary Framework should, as relevant, reflect these other resources.

- Agency core and non-core resources remain under the authority of the respective agency but are reflected, tracked, monitored and reported at the UN Country Team level through the Common Budgetary Framework and are reported on a system-wide basis annually, taking into account agency reporting cycles.

- Results-based budgeting and management ensure a realistic presentation of resource requirements. The Common Budgetary Framework should clearly indicate what resources are available and determine funding gaps for future resource mobilization purposes. Budgeting by Results Groups/agencies should be realistic in two ways: (a) resources needed to accomplish outputs should be costed as accurately as possible; and (b) the level of ambition for resources

should be appropriate to the country context, potential sources of funds (including non-traditional sources) and capacity to spend.

- In countries where the principle of integration applies, the Common Budgetary Framework captures the contributions made by the UN mission to the areas covered. In transition countries where humanitarian activities are ongoing, the Common Budgetary Framework should be coordinated with the applicable humanitarian processes and instruments in order to ensure continuity and coherence between humanitarian and development assistance.

Agree on Principles to Support Coherent Resource Mobilization in a Transparent, Flexible Manner

- As part of the UN Country Team Code of Conduct (see the section on One Leader), agree on key principles driving a joint resource mobilization strategy at the country level, with the individual agency fund-raising efforts complementing joint resource mobilization.

Operationalization and Management[12]

Agree on Key Roles and Responsibilities

- Within the Joint National/UN Steering Committee, the UN Country Team, under the leadership of the UN Resident Coordinator, as part of his/her main responsibilities with regard to leading the One Programme (see the section on One Leader), decides on a strategic joint approach to budgeting and resource mobilization in support of programme priorities.

- The Resident Coordinator is responsible for leading joint resource mobilization and for managing the One Fund transparently. In rare cases (following a process of dialogue and consultation with the UN Country Team on the decision) where consensus is not reached on allocations from the One Fund, the Resident Coordinator has the ultimate authority for

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[12]Available resources:
- Guidance on Common Budgetary Framework
- Guidelines on Establishing, Managing and Closing MDTFs, including One Funds
- Standard SAA and MOU
- Protocol on the Administrative Agent for MDTFs, One Funds, Joint Programmes
- UNDG-WB Post-Crisis Operational Annex

decisions on fund allocation,[13] keeping in mind the capacities and the comparative advantages of the agencies in the country as well as the performance of each individual agency in implementing the Result Groups' work plans.

- The Results Groups (see the section on the One Programme) define the resource requirements, the available resources and the funding gaps for their respective joint work plans.

- The Resident Coordinator's Office tracks and updates the annual Common Budgetary Framework based on the information and updates on resources mobilized/spent provided by the respective Results Groups. If a One Fund is established, the Resident Coordinator Office's is the secretariat for the One Fund at the country level.

Define the Annual Common Budgetary Framework

- As part of the joint work plans developed by the Results Groups (see the section on the One Programme), each Results Group defines annual resource requirements, agency contributions per output (core and non-core) and the annual funding gap as a contribution to the annual Common Budgetary Framework.

- The resource requirements for each Results Group are to be compiled on a yearly basis by the member of the UN Country Team leading the Results Group as part of the joint work plan. The annual Common Budgetary Framework is tracked and consolidated by the Resident Coordinator's Office for all Results Groups (as part of the joint programming results framework (see the section on the One Programme). The UN Country Team regularly and jointly monitors progress on the Common Budgetary Framework, including new pledges received by individual members of the UN Country Team.

Establish the Fund Management Mechanism

The country context and programme nature will define the fund management modality. The One Fund is an optional but recommended complement to agency core and non-core fund management

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[13] UN Resident Coordinator generic job description available from http://www.undg.org/docs/1341/RC-Generic-Job-Description---UNDG-Approved.doc

modalities. Important points include:

- After assessing its financial viability through the analysis of the donor environment, programme needs and assessment of transaction costs as well as the viability of other possible funding approaches, UN Country Teams have the option to establish a One Fund as a complement to agency core and non-core fund management modalities.14

- Contributions to One Funds ideally should be unearmarked and multi-year. Considering, however, the current funding environment, flexibility should be allowed in terms of earmarking contributions at the sector/thematic/outcome level (for tightly earmarked contributions, other funding mechanisms should be considered).

- The One Fund structure should be defined at the highest possible results level (i.e. programme outcome or output).

- One Fund allocation processes should be agreed, which are harmonized and performance-based, with the latter supporting accountability of agencies for producing results with the resources allocated. Harmonized performance criteria will improve the results focus and transparent allocation of resources.

- Within the UN Country Team, agreement must be reached on the Government's role in the strategic direction of the One Fund as well as in the allocation processes through the Joint National/UN Steering Committee, and duly communicated to the Government.

- In transition countries, the One Fund should take into account and be coordinated with the resources channeled through the UN mission, Peacebuilding Fund and humanitarian funding mechanisms. This will strengthen the transparency of resources managed and implemented by the UN in the country.

- In all countries but most especially in middle-income countries, important consideration should be given to quantifying national resources/government contributions channeled through the

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[14] The One Fund is established and managed in accordance with the existing UNDG guidance on the establishment, management and closing of multi-donor trust funds/One Funds with the mandatory application of legal instruments, including the Standard Administrative Arrangement (signed by the Resident Coordinator as full signatory, Administrative Agent and donors), the Memorandum of Understanding (signed by the Resident Coordinator as full signatory, Administrative Agent and Participating UN Organizations) and terms of reference. In transition countries, the UNDG-World Bank operational annex should be taken into account, considering its implications for the governance and structure of the Fund.

One Fund or other joint-funding mechanisms.

Agree on a Coherent Approach to Joint Resource Mobilization

Important considerations for this include the following:

- The mapping of donor priorities and approaches to financing is undertaken in order to facilitate a clear delineation of resource-mobilization opportunities at the country level, including opportunities for One Fund utilization.

- If so decided by the UN Country Team and based on the principles agreed during medium-term planning, a joint resource-mobilization strategy is developed. The UN is currently operating in an environment with increasing challenges to mobilizing the required resources at the country level. Joint resource-mobilization strategies must be country specific, flexible and pragmatic and take into account innovative sources of funding and partnerships.

- The strategy will ensure that the Resident Coordinator-led joint mobilization of resources to cover the identified funding gap is supplemented by individual agency resource-mobilization efforts, thus ensuring transparent, effective inter-agency coordination of resource-mobilization efforts.

- The members of the UN Country Team leading the Results Groups and UN Country Team members in Results Groups actively participate in joint and individual agency resource mobilization to support the achievement of their joint work-plan results.

- Rather than programme-/project-based resource mobilization throughout the year, strategic resource-mobilization efforts focusing on UNDAF outcomes, led by Resident Coordinator/Results Groups, and providing a holistic overview of required resources will significantly reduce transaction costs for Governments, donors and the UN system.

- Information on new resources mobilized or any changes in expected resources must be shared on a timely basis with the Resident Coordinator/Resident Coordinator's Office for realistic monitoring and updating of the Common Budgetary Framework. The Resident Coordinator will also inform the UN Country Team, including non-resident agencies on funding opportunities.

Monitoring and Reporting

- The annual Common Budgetary Framework will serve as the basis for regular monitoring of the funding situation both in terms of priority setting for fund allocation and progress against the agreed resource-mobilization targets. The review of the Common Budgetary Framework will be integrated into the One Programme annual review exercise.

- The UN Country Team will undertake active monitoring and continuously adapt fund-raising and management strategies to address identified bottlenecks and focus on the most critical programme priorities and gaps.

- The respective Results Groups will develop an annual UN Country Results Report (programme, financial, operations and communications (see the section on the One Programme), integrating the One Fund report and demonstrating the collective contribution of the UN development system to the country and to the national development agenda. The report will be consolidated by the Administrative Agent[15] (for the One Fund) and the Resident Coordinator's Office (for the UN).

- The annual UN Country Results Report, with agency-specific annexes where required, will be utilized by each UN agency. The Administrative Agent will be responsible for providing consolidated financial reporting on the One Fund, utilizing agency inputs.

4. One Leader

4.1 Goals

The One Leader pillar is pivotal in strategically positioning United Nations support to countries to reach their development goals and is a critical factor enabling UN Country Teams to work together (e.g. on programming and resource allocations). The Resident Coordinator strengthens the strategic leadership of the UN Country Team by providing a coherent vision of the UN to development partners and by capitalizing on the comparative advantages of the UN Country Team.

The Resident Coordinator is the leader of the UN Country Team and plays a central role in making

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[15] Roles and responsibilities of the Administrative Agent (AA) as well as procedures for the delegation of the AA function from HQ to the country level are described in the Protocol on the Administrative Agent for Multi Donor Trust Funds and Joint Programmes, and One UN Funds

possible the coordination of UN operational activities for development at the country level in support to national priorities and capacity-building. As the designated representative of – and reporting to – the Secretary-General, the Resident Coordinator ensures effective advocacy of the core values, standards, principles and activities of the UN system. She/He acts as the primary interlocutor for the UN Country Team with the Head of State or Government. In the case of integrated missions, the role of the Resident Coordinator is in line with the Secretary-General's January 2006 "Note of guidance on integrated missions: clarifying the role, responsibility and authority of the Special Representative of the Secretary-General and the Deputy Special Representative of the Secretary-General /Resident Coordinator/Humanitarian Coordinator", bearing in mind that the structure for each setting is based on each country context.

Equally important to the One Leader pillar are empowered UN Country Team members with decentralized authority to take appropriate action when acting on behalf of the UNCT on the agreed One Programme agenda. Empowered UN Country Team members work with the Resident Coordinator to make joint decisions relating to programming activities and financial matters and both lead and participate in Results Groups to drive joint programme development and implementation. The Resident Coordinator and UN Country Team members make decisions in accordance with the vision, roles, responsibilities and mutual accountabilities spelled out in relevant policies and instruments, including the Management and Accountability System.

The UN Country Team ensures full participation of all other UN entities active in a given country in the decision-making process for strategic and programmatic issues. Non-resident agencies are members of the UN Country Team, thereby assuming clear responsibilities and accountabilities for participating in common planning and implementation processes. The Resident Coordinator ensures that the interests of non-resident agencies are adequately represented and, in consultation with them, acts on their behalf as appropriate.

Under the One Leader, the Resident Coordinator and the UN Country Team act as one leadership. The one leadership contributes to the reduction of transaction costs[16], duplication, fragmentation and

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[16] According to the "Delivering as one" independent evaluation, from government perspectives, particularly those of central government ministries, transaction costs have been reduced. This is due especially to the consolidation of missions from headquarters and regional offices, and the One Leader and One Voice, which have reduced duplicated meetings and planning processes. In-country donors also sometimes reported reduced transaction costs.

competition for funds; it enhances strategic dialogue on development and the positioning of the UN with the host-country authorities at the highest level; it strengthens the capacity for strategic approaches; it plays a central role in driving forward the programme of reform and constitutes a critical factor enabling UN Country Teams to work together on programming and resource allocation.

4.2 Main Elements

Key Responsibilities of the Resident Coordinator[17]

The Resident Coordinator's leadership is exercised through the responsibility and authority provided by relevant General Assembly resolutions and in accordance with the full implementation of the Management and Accountability System, with the following key responsibilities:

1. to lead the UN Country Team and coordinate the UN operational activities for development and ensure the alignment of UN assistance with national development strategies and coherence among the operations undertaken by the UN Country Team members;

2. if international humanitarian assistance is required and a separate Humanitarian Coordination function is not established, to lead and coordinate the response efforts of UN Country Team members and relevant humanitarian actors. If a Special Representative of the Secretary-General (SRSG) is appointed, the Resident Coordinator/Humanitarian Coordinator will normally function as Deputy Special Representative of the Secretary-General (DSRSG) under his/her overall authority, with responsibility for the coordination of development and humanitarian assistance, including early and longer-term recovery, in the context of Resident Coordinator/UN Country Team consultative arrangements;

3. to lead the UN Country Team in the strategic development of the One Programme and specifically take the final decision on strategic focus and allocation of funds from the One Fund and resources against that focus, if consensus is not reached within the UN Country Team;

4. to propose to members of UN Country Teams, including the non-resident agencies, as appropriate, and in full consultation with Governments, other national stakeholders as defined in the UNDG UNDAF Guidelines and with the specialized agencies, funds and programmes, including within the established One Programme: (a) the amendment of projects and

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[17] For a full list of the responsibilities, see UN Resident Coordinator Job Description at http://www.undg.org/docs/1341/RC-Generic-Job-Description---UNDG-Approved.doc.

programmes, where required, in order to bring them in line with the One Programme, without prejudice to the approval process through governing bodies; and (b) amendments to the One Programme if it is determined that some activities are no longer aligned with the broader strategy of the UN development system in response to the national needs, priorities and challenges of the programme country concerned;

5. to promote the shared values, norms and standards of the UN system;

6. to oversee the work of One Programme Results Groups and, in turn, to be equally and reciprocally held accountable to UN Country Team representatives for performing such leadership to ensure overall successful results of the One Programme. Resident Coordinators consolidate and report on joint Results Group work plan results to the Government;

7. to manage the Resident Coordinator's Office; and

8. to ensure the functioning of and compliance with the Management and Accountability System, the UNCT Code of Conduct, the dispute-resolution mechanism for UNCTs[18], and other relevant UNDG policies and instruments.

Key Responsibilities of the UN Country Team[19]

On the basis of the appropriate decentralization of authority from headquarters, an empowered UN Country Team takes decisions on programmatic and financial matters relating to the programming activities as agreed with national authorities and as called for in the QCPR. Together with the UNDG at the global level, agency headquarters and Regional UNDG Teams, UN Country Teams fully implement the Management and Accountability System, with the following key responsibilities:

9. empower and support the Resident Coordinator in the role of One Leader;

10. assume leadership for One Programme outcomes through the leadership of Results Groups,

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[18] The dispute mechanism for UNCTs only applies to disputes associated with UNCT common processes such as common services, common programming, joint programmes, and related funding, which should be solved first and foremost at country level in an amicable environment. The solution envisaged must be acceptable to all parties to the dispute and should be based on an internal, fair and equitable process. See
http://www.undg.org/docs/10029/Dispute-Resolution-Mechanism---UNDG-Approved.doc
[19] For a full list of the roles and responsibilities of the UN Country Team, refer to the UN Country Team Working Relations Guidance Note. Please note that in countries where the principle of integration applies, the UN presence includes UN (secretariat) missions.

with UN Country Team members having corresponding accountabilities to the entire UN Country Team and to the Resident Coordinator for producing agreed results jointly, for the mobilization of resources for the One Programme and for their own agency results; and

11. uphold the Management and Accountability System, the UNCT Code of Conduct, the dispute-resolution mechanism for UNCTs and other relevant UNDG policies and instruments.

Key Responsibilities of Regional UNDG Teams and Agency Headquarters

Key to the success of the One Leader are the commitment and support from the Regional UNDG Team and agency headquarters as agreed in key UNDG policies and instruments, with the following key responsibilities:

12. UNDG Principals and Regional UNDG Teams ensure full implementation of the management and accountability system, including ensuring adequate, harmonized delegation of responsibilities to UN Country Team members;

13. Regional UNDG Teams provide coherent technical support to the Resident Coordinator and the UN Country Team, quality advice and support to the One Programme, and performance management and troubleshooting in complex country situations;

14. The UN system ensures high-quality Resident Coordinators and high-quality agency representatives to undertake leadership responsibilities with the requisite profiles to effectively address all the tasks inherent in their functions in a "Delivering as one" context, such as proven experience and ability to drive the reform agenda;

15. UNDG Principals and Regional UNDG Teams are responsible for driving cultural change with respect to uniformly supporting "Delivering as one" throughout their respective agencies and for providing coherent policy guidance and political support;

16. UN entities strengthen their career management practices and policies in view of the needs of the Resident Coordinator system, recognize and reward active and constructive leadership by UN agency representatives, and all senior UN staff participating in the One Programme, Operating as One, the Common Budgetary Framework, One Fund and Communicating as One, and encourage mentoring and twinning between "Delivering as one" countries;

17. The UNDG provides integrated training and support to Resident Coordinators and UN Country

Team representatives to help them to respond jointly to the needs, priorities and challenges of programme countries and to address the demands of the UN development system;

18. UNDG Principals and Regional UNDG Teams strengthen the capacity of the Offices of the Resident Coordinators as reflected in the relevant paragraph of the QCPR.

4.3 Implementation

The key steps for implementation are:

- ensuring effective leadership of the UN Country Team, promoting inclusiveness and being the primary interlocutor with the Head of State or Government in support of the UN Country Team, its members and its UNDAF results, accompanied by agency representatives when agency-specific matters are discussed;

- establishment of a Joint National/UN Steering Committee, co-chaired by the Government's coordinating body and the Resident Coordinator, or integration of said Committee into existing national coordination mechanisms;

- full implementation of the Management and Accountability System (as further articulated by its implementation plan, the Resident Coordinator Job Description and the Guidance Note on Resident Coordinator and UN Country Team Working Relations);

- a UNCT Code of Conduct, endorsed by the UN Country Team, to facilitate collaboration and ensure clarity of the norms, roles, responsibilities and accountability of its members in their work in the UN Country Team, including reciprocal performance appraisal and dispute resolution.

- In countries where the principle of integration applies, the UNCT Code of Conduct should also cover the UN mission, in particular the programme components of missions in countries where the Integrated Strategic Framework (ISF) and the UNDAF are merged or intersect;

- all UN personnel should respect the common approach to humanitarian activities and organize themselves through the Inter-Agency Standing Committee (IASC) cluster approach;

- agreement on terms of reference for the role of UN Country Team members leading and participating in the Results Groups;

- driving strategic leadership, particularly on cross-cutting issues, by drawing on the assets of the

UN Country Team, pooling expertise available, and coordinating lead responsibilities in accordance with agency mandates and capacities;

- securing agreement on common principles of resource mobilization and a common strategy, reflecting that the Resident Coordinator is responsible for leading the UN Country Team in mobilizing resources and for managing the One Fund in places where it is established; and

19. securing agreement to second expert staff in the Resident Coordinator's Office when necessary.

5. Operating as One

The quality of support to business operations is critical for the quality of programme delivery. Operating as One is a business model that provides UN Country Teams with an outline for strategic and cost-effective common operational support to the implementation of the One Programme by capitalizing on existing agency operational capacities and consolidating service provision. Common operations are based on local capacity and needs, allowing for a localized, realistic and scalable approach that matches specific country needs and requirements. As a result of this scalability, the development of the Business Operations Strategy to underpin common operations can be adjusted to the priorities and resources available to a UN Country Team/Operations Management Team.

Parallel to the formulation of the One Programme, an empowered[20] Operations Management Team, normally led by an agency representative (a Head of Agency) on behalf of the UN Country Team, develops a vision and strategy for common operations (on a scalable and prioritized basis) in support of the implementation of the One Programme, aiming for:

- **enhanced development results** through strengthened linkages between the Programme and business operations supporting programme delivery;

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[20] "Empowered" in this context refers to the elevation in stature (and corresponding accountability) of the Operations Management Team in the "Delivering as one" context to the equivalent of a One Programme Results Group, to be chaired by one of the UN Country Team members (who must be a Head of Agency), and ensuring that sufficient financial, political and human resources are available to effectively implement the Business Operations Strategy.

- **strengthened reputation** of the UN as a strategic, coherent and (cost-) effective partner working together as One;

- **reduced operational costs** through the reduction of monetary and labor costs realized by leveraging economies of scale, simplifying procedures and reducing duplications in UN operational transactions and processes;

- **increased quality of business services** for both resident and non-resident agencies with reinforced links to UN programme efforts under the One Programme; and

- **enhanced transparency and accountability** for the delivery of joint operational results through improved monitoring of expenditures and progress.

In countries where the principle of integration applies, common operations should, where feasible and appropriate, include the UN mission in order to promote the most effective-efficient use of UN resources and assets in the country.

5.2 Main Elements

The UN Country Team develops the Business Operations Strategy in support of achieving the One Programme objectives. Through the strategy, the UN Country Team identifies and prioritizes existing operational capacities and services to be harmonized, pooled or jointly strengthened in support of the One Programme. Depending on the development results to be achieved, the Business Operations Strategy covers some, or all, of the functional areas outlined below:

1. common procurement;
2. common logistics and transport;
3. common ICT;
4. common HR;
5. common audit;
6. common finance;
7. harmonized approach to cash transfers (HACT); and
8. common premises.

The scope of the Business Operations Strategy and the number of functional areas in which the UN Country Team chooses to engage are determined based on a rigorous and documented

analysis of local needs; Operations Management Team capacity to implement (scalability); economic feasibility; and the ability of the strategy to reduce business operations costs for all participating Agencies, Funds and Programmes.

5.3 Implementation

Strategic Planning (Business Operations Strategy)[21]

The Business Operations Strategy is a logical extension of the One Programme, outlining the UN Country Team's common approach to operational and programme implementation support. In countries where the principle of integration applies, and particularly in the case of structurally integrated missions, the development of the Business Operations Strategy should include and engage the Mission Support Division.

- The UN Country Team elevates the Operations Management Team and the Business Operations Strategy as a strategic, critical driver of effective programme delivery. In recognition of this elevation, the Operations Management Team is chaired by a UN Country Team member, on a rotational basis as appropriate.

- The UN Country Team, with the support of the Operations Management Team, undertakes an operational analysis once per One Programme cycle, to prioritize services based on criteria of high operational impact, value and contribution to UN reputation for efficient operations.

- The UN Country Team, with support of the Operations Management Team, develops a Common Business Operations results matrix and budget, aligned to the One Programme cycle, reflecting agreed outcomes/outputs and funding requirements, and clearly defining Operations Management Team members' roles and responsibilities. The UN Country Team holds the ultimate decision-making authority and an empowered Operations Management Team is accountable for results to the UN Country Team. A monitoring and evaluation framework with key performance indicators tracks the quality and progress of common business operations solutions;

- Based on the Business Operations Strategy, the UN Country Team, with the support of the Operations Management Team, develops common Operations Management Team annual

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[21]Related guidelines Business Operations Strategy: UNDG Toolkit-Draft Guidance- Business Operations Strategy

work plans and annual budgets which can be managed through the Common Services account.

Common Procurement[22]

The UN Country Team:

- maximizes the use of joint long-term agreements (LTAs) negotiated on the basis of joint UN volumes, for specific procurement categories, capitalizing where possible on regional and global level LTAs.[23]

- ensures that common procurement at the country level is led by the agency with the capacity and technical mandate for the concerned supplies and services (following the modality of implementation by the lead agency).

- uses harmonized tools and instruments to reduce procurement costs and harmonize procurement processes, including the use of a common review body, common terminology, common solicitation documents, common standard contracts, common general terms and conditions of the contract local vendor database, and common procurement training materials.

Common Transport and Logistics[24]

The UN Country Team:

- maximizes the use of common staff transport arrangements, carpooling, and common fleet management and maintenance arrangements as appropriate. In countries where the principle of transition applies, the assets and capacities of the UN mission that contribute to such arrangements should be considered;

- implements harmonized travel entitlements for staff and partners once harmonized guidelines

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[22]Related guidelines on common procurement:
- Common UN Procurement at the Country Level (v.2.0).

[23] Lists of existing HQ and regional LTAs are available through the UN Global Market Place.

[24]Related guidelines on logistics and transport:
- Making policies work for Sustainable Travel (2012) http://greeningtheblue.org/resources/travel;
- Sustainable Travel in the UN (2010): http://greeningtheblue.org/resources/travel.

are available from the High-level Committee on Management; and

- makes common arrangements, including the possibility of outsourcing of travel services (tickets, meet-and-greet services, staff transportation, etc.).

Common ICT[25]

The UN Country Team:

- implements country-office level harmonized ICT solutions as outlined in the Guidelines for "Delivering as one" in ICT at the Country Level, providing functional improvements in ICT operations, including the area of green IT, ICT security, connectivity, support and infrastructure in coordination with the UNDG ICT Reference Group.

- in coordination with the UNDG ICT Reference Group, translate UN Country Team ICT related business problems into harmonized ICT solutions that are in line with each agency's ICT standards; and

- establishes task forces under the Operations Management Team, when needed, to ensure interdisciplinary engagement between the ICT Task Force and the other operations- and programme-related teams (e.g., the task forces on procurement, human resource finance and programme teams under the One Programme) to ensure that ICT solutions meet technical as well as business demands.

Common Human Resource Operations

The UN Country Team:

- collaborates in areas of staff recruitment, such as: (a) common vacancy advertisements, formats and media contacts; (b) use of harmonized job descriptions and grade levels; (c) ability to use shortlisting results and/or recommended candidates of other agencies to identify candidates and save duplication of HR efforts; and (d) common outsourcing for reference

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[25]ICT-related guidelines: Guidelines for Delivering as One in ICT at the Country Level, February 2010.

checks;

- uses common rosters/databases for the recruitment of consultants and national staff and uses a common basis for determining the remuneration of individual consultants in accordance with commonly agreed rates derived from the local consultancy market;

- ensures that responsibilities of Operations Management Team staff members in the context of implementation of the Business Operations Strategy are reflected in their performance assessments, including contributions of the Operations Management Team chair, who is a UN Country Team member;

- implements harmonized field-based entitlements once guidance becomes available from the High-level Committee on Management;

- establishes common training and learning opportunities and shared staff training (Business Operations Strategy, Quality Assurance and Project Management, etc.); and uses UNDG standardized UN capacity review/assessment in preparation for a new One Programme/UNDAF cycle.

Common Auditing

- Once internal audit approaches are harmonized between organizations, the internal audit services of the UN organizations participating in joint programming efforts may execute one single internal audit, which is carried out on behalf of all organizations participating in the audit, according to a framework agreed between the internal audit services.

- Within the context of the One Programme, and given the move towards joint work plans at the Results Group level, which replace stand-alone individual agency work plans/project documents, senior management and the GB of the organizations and UN Country Team support an integrated single internal audit of the joint annual work plans at the country level, conducted by the internal audit services of the UN organizations following a risk based planning.

Harmonized Approach to Cash Transfers (HACT) [26]

- Within the context of the formulation of the One Programme and in determining what capacities are needed, agencies use one harmonized approach to assess risks, transfer cash and build the capacity of partners with the aim to obtain assurance on proper utilization of funds in a cost effective manner.

- Agencies implementing HACT use the instruments recommended by the HACT framework as the exclusive instrument to manage cash disbursements to implementing partners and for reporting.

Common Premises and Field Presences [27]

- Where external circumstances permit, including security concerns, UN agencies share premises at the national and provincial levels, as long as such arrangements are cost effective.

- In transition countries, particularly when there is a UN mission, establishment of common premises at the national and provincial levels should take into account security concerns as well as the possibility of co-location with the mission.

- In countries where the principles of integration apply, the possibility of co-location with mission presences, particularly at the subnational level, should be considered.

6. Communicating as One

6.1 Goals

Communicating as One ensures coherent messaging from the UN. This pillar improves the quality of dialogue with the host-country government, increases advocacy and helps to highlight results achieved by the UN at the country level. Communicating as One is critical for ensuring clear and consistent strategic positioning of the UN and its vision at the country level; developing common

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[26]HACT-related guidelines: Framework for Cash Transfers to Implementing Partners(2005).
[27]Common Premises-related guidelines: UNDG website - Common Premises.

messages and policy positions; strengthening the outreach of the UN system by pooling efforts; supporting communication about the UN comparative advantages in the country to both internal and external stakeholders; and avoiding message duplication, inconsistencies and fragmentation. It implies developing common messaging and joint communication on key issues where the UN is active in the country.

Communicating as One will improve the efficiency and effectiveness of common messages and communication products, by pooling expertise and resources. It will also play an important role in building support for the successful implementation of "Delivering as one" with external partners and UN staff.

While there is no existing UNDG working mechanism or UNDG-approved guidance to support Communicating as One, its importance has been strongly reinforced by the independent evaluation of "Delivering as one" and Communicating as One has been instituted in all "Delivering as one" countries. Limited guidance has been developed for joint UN communication purposes by the UN Communications Group.

6.2 Main Elements

Important elements of Communicating as One include the:

1. development of common advocacy messages by the UN Country Team on key UN positions relating to national development issues and other topics in which the UN is engaged;

2. establishment of a Country Communications Group (CCG) accountable to the UN Country Team and the Resident Coordinator and led by a UN Country Team member or the Resident Coordinator;

3. establishment of ground rules to guide UN participation in Communicating as One and to ensure common messaging for the UN Country Team/UN mission, as applicable. Ground rules should recognize that the common messages should be consistently delivered by all members of the UN Country Team or the designated spokesperson(s);

   (Note: Communicating as One does not mean that only one person (such as the Resident Coordinator) speaks or acts as the spokesperson for the UN Country Team. Ensuring a consistent and coherent message is a shared responsibility of all UN Country Team members.

The UN Country Team may decide to designate the Resident Coordinator or another UN Country Team member as spokesperson on a particular issue; and to lead communication and advocacy initiatives in sectoral/thematic areas of work according to mandates and technical competence.

4. establishment of a system of mutual accountability and resolution of differences for joint communication and common messages. The system should also specify roles and responsibilities for the UN Information Centres (where present in the country). In countries where a multidimensional peacekeeping/political operation is in place, the system should include the Department of Public Information/Communications Unit of the Mission and the division of labor between the SRSG and Resident Coordinator in accordance with the Secretary-General's guidance note of 2006;

5. establishment of mechanisms to refer regional/transnational and sensitive issues to the Regional UNDG Team for advice and guidance where needed; to request that communications be issued at the regional level where and when appropriate; and to ensure alignment of key messages of country and agency headquarters;

6. use of a common, established visual identity for joint UN products and communications that is consistent with UN visual identity guidelines, without losing the brand identities of individual agencies within the UN Country Team/UN Mission and within the country;

7. development of joint-communication strategies, including for crisis communications and shared messaging in support of the One Programme. These strategies should have clearly defined objectives that support the UN Country Team's agreed common advocacy messages and the outcomes in the UNDAF; and

8. development of standard joint-communication products that are regularly updated. Examples include but are not limited to the development of a UN country website and an annual results report.

6.3 Implementation

The current SOPs are based on practical experience from the "Delivering as one" pilots and self-starters as no specific guidance from the UNDG existed prior to their formulation.

To address this, the Country Communications Group, led by a UN Country Team member, in consultation with the UN Country Team members leading the Results Groups and the Resident Coordinator, should develop and implement joint communication strategies, plans and activities. These should include:

- joint communication strategies, and shared messaging in support of the One Programme. These strategies should have clearly defined objectives in support of the UN Country Team's agreed common advocacy messages and the outcomes in the UNDAF. Strategies should include communication to key audiences, including the Government, civil society, media and the general public as well as donors, other development partners and UN staff. They can incorporate a variety of different media as appropriate for the communication objectives to be achieved, including print, audio, video, web and social media as well as live media events;
- shared communication products to highlight the results achieved by the UN Country Team, and deliver the agreed UN Country Team common advocacy messages and key positions relating to national development challenges. Examples include a joint UN website and an annual results report;
- regular monitoring and annual evaluation of joint communication work;
- capturing and sharing of lessons learned from both joint and agency-specific communication work in order to support improved knowledge management at the country level and as a contribution to global knowledge management efforts.

To support the development of SOPs of Communicating as One and to ensure the implementation of the work of the Country Communications Group, agencies must assume, whenever possible, the responsibility of ensuring that sufficient human and financial resources are in place to support message consistency. This contribution should be in the form of dedicated time and resources from existing agency structures in order to support joint communication work without adding additional costs to the UN Country Team.

Adequate attention must be given to sustainable financing and the equitable division of workload and cost-sharing for communication between UN Country Team members, especially respecting that they have uneven communications capacities. Therefore, the coordination mechanism for Communicating as One should be light, nimble and flexible to ensure sustainability.

The Resident Coordinator's Office should, where feasible, provide secretariat support to the working of the Country Communications Group and help to ensure coherence between joint communications and the One Programme and the One Leader.

UN Country Team members may consult or seek assistance from their respective Regional UNDG Teams/headquarters as necessary, especially on handling sensitive issues.

UN Country Team members will continue to engage in agency-specific communication activities, such as producing and executing agency-specific strategies, policies, messages and products, using their own brand identities. Agency-specific messages should be consistent with agreed common positions and should not distract from joint UN Country Team/UN Mission efforts.

Annex 1 Proposed Plan of Action for Headquarters

To ensure that the SOPs have their intended impact on coherence, development effectiveness and efficiency at the country level, the UNDG, its Regional Teams and its constituent agencies, funds and programmes need to implement important supporting measures at the headquarters level, as outlined in the proposed actions below.

One Programme

Abolishing UNDAF Action Plans/Country Programme Action Plans/Annual Work Plans

1. Replace the UNDAF Action Plans/CPAPs/AWPs by a combination of UNDAF and Results Group work plans to ensure that the driver for planning instruments is the national development strategy and the Government's requests to the UN Country Team.

Retaining/Replacing Individual Instruments of Agencies

2. Complement the common part of the UNDAF with agency-specific annexes that are extracted from the UNDAF and replace CPDs or other types of instruments. These annexes will provide Executive Boards/governing bodies with documentation of their respective agencies' contribution to the One Programme, and a better understanding of the specific added value of their agencies to the UN Country Team and the One Programme. The Executive Boards/ governing bodies will then approve the respective agency annexes, including agency results and budgets.

3. Allow submission of the UNDAF document with an agency-specific annex in June/July for Board approval in September in the year prior to implementation, in order to shorten the programming process to less than a year and allow for alignment with the Government cycle[28]. In cases where the UNDAF is aligned to the July-to-June fiscal cycle, submission will be for Board approval in January of the year of implementation. Additional guidance for approval processes in transition settings will be developed in order to allow for alignment with shorter

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[28] During the UNDAF preparation process, maximum delegation of authority from HQ to the field is required in order to ensure most efficient timelines are being adhered to. Also individual agency approval processes need to be adjusted to enable the in-country dialogue to proceed smoothly and efficiently.

programming cycles and for programming to be responsive to the changing environment.

Monitoring, Reporting and Evaluation

4. Develop an agreed methodology for monitoring for results to ensure that "Delivering as one" focuses on common delivery and not simply on common planning.

5. Introduce, for the purposes of the One UN Country Results Report, a harmonized reporting framework and templates (programme, operations, communications and financial) to be used by all Results Groups and agencies.

6. Replace individual agency reports to Executive Boards or governing bodies, Governments and development partners with the UN Country Results Report with agency-specific annexes pending approval by UNDG agency boards.

Results Groups

7. Produce terms of reference/guidance to define the roles, responsibilities and accountabilities of Results Groups, UN Country Team members leading the Results Groups and Resident Coordinators (given the enlarged role and responsibilities envisaged for the UN Country Team members leading the Results Groups), including clarification of responsibilities for the common programming principles.

Common Budgetary Framework (and One Fund)

Establishment of the One Fund

8. Define and apply a minimum financial threshold for the establishment and management of the One Fund so as to facilitate the most financially viable application of available funding mechanisms and to avoid increased transaction costs.

Guidance on Performance-based Allocation

9. Develop common guidance on performance-based allocation criteria, including minimum standards.

Joint Resource-mobilization Strategy

10. Agree on key elements/principles for a joint resource-mobilization strategy based on good practices at the country level.

One Leader

To further strengthen the horizontal accountability of Resident Coordinators and UN Country Teams, including non-resident agencies, the UN system will:

11. fully implement and monitor the Management and Accountability System for the Resident Coordinator system, including: strengthening the functional firewall; revising job descriptions of UN Country Team members to explicitly recognize the role of the Resident Coordinator in strategically positioning the UN in each country; clearly define the requirements for reporting to the Resident Coordinator on resource mobilization and programme implementation of One Programme elements led by the agency; clarify the role of the Resident Coordinator in providing an assessment of performance relating to the UN Country Team members as formal input to each agency's performance approval process; and underline the need for UN Country Team results to be included in agency performance-appraisal systems (already agreed by the UNDG and needs re-emphasis via the Standard Operating Procedures);

12. use the UN Country Team Code of Conduct and other tools developed in conjunction with the Management and Accountability System such as the guidance note on RC and UN Country Team working-relations and dispute-resolution mechanisms for UNCTs;

13. ensure that agencies provide clear directions for the responsibilities and accountability of agency country representatives to make contributions to the constructive and effective functioning of UN Country Teams to deliver development results;

14. provide all those leading Results Groups/Operations Management Teams/Business Operations Strategies and their members with appropriate incentives within their agencies and incorporate

that element of their mandate into both their job descriptions and their regular performance reviews;

15. ensure timely support in addressing challenges relating to the performance of UN Country Team members and Resident Coordinators;

16. ensure appropriate coordination of agency high-level visits (e.g., Executive Directors/Directors-General, Regional Directors) with the Resident Coordinator;

17. coordinate headquarters oversight and support to Resident Coordinators when they accumulate more than one function, particularly the DSRSG/RC/HC function;

18. ensure appropriate decentralization of authority from headquarters to country-level representatives of specialized agencies, funds and programmes, where relevant, for taking decisions on programmatic and financial matters relating to the programming activities as agreed with national authorities, etc.;

19. enhance the planning and coordination function of the Resident Coordinator, including through the full exercise of the responsibility and authority of the Resident Coordinator already provided by relevant General Assembly resolutions, by allowing the Resident Coordinator to propose to members of UN Country Teams and relevant non-resident agencies, as appropriate and in full consultation with Governments and with the specialized agencies, funds and programmes, including within the established One Programme:

    (a) the amendment of projects and programmes, where required, in order to bring them in line with the UNDAF, without prejudice to the approval process through governing bodies, and

    (b) the amendments to the UNDAF, or its action plan, if it is determined that some activities are no longer aligned with the broader strategy of the UN development system in response to the national needs, priorities and challenges of the programme country concerned;

20. establish a compact between the Secretary-General and the UNDG Principals that commits the latter to drive changes and monitor the implementation of the SOPs.

Operating as One (by technical area)

Common Procurement

21. Agency HQs: Maintain an overview of corporate long-term agreements and capitalize where possible on each other's long-term agreements.

22. HLCM-Procurement Network: Coordinate UN-wide local-vendor database through the UN Global Marketplace.

23. Agency HQs: Accept the outcome of another agency's procurement process with reference to standard clauses in the relevant internal guidelines to avoid duplication of internal controls across agencies.

24. UNDG: Develop and maintain, in cooperation with HLCM, procurement capacity through the common training of staff at the country, regional and headquarters levels on joint procurement in particular.

Common Transport and Logistics

25. UN Secretariat and UN agencies: Agree on a standard operating modality for the use of common services in general and logistics and transport arrangements specifically between UN Missions and UN Country Teams in cases where the UN has an integrated mission.

26. UN agency HQs: Agree on common insurance options for pooled vehicle fleets at the country level.

27. HLCM: Harmonize travel entitlements for staff and partners.

Common ICT

28. HQ ICT units: Aim for the interoperability of agency systems and those of HQs, including collaboration and content repositories, common directory, shared intranet, online collaboration tools, knowledge-sharing, data-mining solutions, expanded use of UN directory synchronization, implementation of common authentication (for access to shared content) and common domain names.

29. HQ ICT units and relevant UNDG and HLCM mechanisms: establish Task Forces under the Operations Management Team, when needed, to ensure interdisciplinary engagement between the ICT Task Force and the other operations- and programme-related teams (Task Teams on Procurement, HR, Finance and Programme Teams under the One Programme) to ensure that the ICT solution meets technical as well as business demands.

30. HQ ICT units and relevant UNDG mechanism: Develop and implement a resource-mobilization strategy aimed at mobilizing required monetary investment in support of the roll-out of the ICT in a "Delivering as one" policy guidance note.

Common Human Resource Operations

31. Agency HQs: Ensure that UN common standards for the classification of posts at the Professional and General Service levels are applied.

32. Agency HQs: Ensure a clear definition and agreement of the circumstances that merit exceptions under which non-staff personnel can be employed in core functions at the country level (currently only staff can be used in core functions).

33. Agencies: Ensure that rules and regulations treat all local staff as internal candidates within agencies.

34. Agencies: Ensure that rules and regulations treat UN staff as internal candidates when applying for jobs in other agencies.

35. All UN staff: Use similar appraisal systems with common timelines or ensure that appraisal systems allow for inter-agency contribution to staff performance appraisals when the staff member engages in inter-agency activities.

36. Agency HQs: Emphasize the need to harmonize HR regulations and practices, promote increased mobility and comparability between agencies, and support the move to a more networked approach to HR support, with an aim to be more nimble, rapid and flexible in the HR area.

37. HLCM: harmonize policy -relating to field-based entitlements.

Common Auditing

38. Once internal audit approaches are harmonized between organizations, the internal audit services of the UN organizations participating in joint programming efforts may execute one single internal audit, which is carried out on behalf of all organizations participating in the audit, according to a framework agreed between the internal audit services, of the "Delivering as One" programming instruments at country level (One programme, joint Results Group Work Plans, Business Operations Strategy).

39. Within the context of the One Programme, and given the move towards joint work plans at the Results Group level, which replace stand-alone individual agency work plans/project documents, senior management and the GB of the organizations and UN Country Team support an integrated single internal audit of the joint annual work plans at the country level, conducted by the internal audit services of the UN organizations following a risk based planning.

Common Finance

40. Agency HQs: Develop harmonized financial rules and regulations to be compliant with IPSAS within the context of all agencies adopting IPSAS.

41. UN system: Agree on a harmonized methodology for calculating the transaction costs of business processes.

42. UN system: Agree on harmonized cost classifications and cost definitions, in particular with regard to what is charged as direct programme costs.

43. UN system: establish an agreed methodology for the identification of cost drivers in the context of common services.

44. UN system: Develop and implement a harmonized approach to the auditing process in the context of the "Delivering as one" programming instruments at the country level (One programme, joint Results Group Work Plans, Business Operations Strategy).

45. UN HQ: Harmonize the central procurement of UN banking services.

Harmonized Approach to Cash Transfers (HACT)

46. UN agency HQs: Revise, streamline and simplify the HACT guidelines in 2013 in line with the recommendations of the HACT Global Assessment report.

Common Premises and Field Presences

47. UN agencies: Establish capital budgets to support the establishment of common premises, including funding for renovations and refurbishment.

48. UN system: provide guidance, in cases where there are no other options, to allow the UN Country Team to establish common premises through construction, provided that the UN does not own the building, with clear guidance being available to support the process.

49. UN agencies: Harmonize regulations and rules relating to lease and rental agreements, including the establishment of lease agreements exceeding a duration of five years on a case-by-case basis (especially in the case of construction).

50. UN system: Develop additional funding arrangements for common premises, including the use of public-private partnerships based on harmonized procedures and legal tools.

51. UN system: Harmonize regulations, rules and tools at its disposal that facilitate co-location and use of common services between the UN Secretariat and UN agencies in countries where the UN Secretariat has a presence.

52. UN system: finalize a harmonized approach to cost-recovery between UN Missions and UN Country Teams, taking due account of the delivery of mandate-related activities by UN Country Team members.

53. UN system: Look into the issue of security costs of UN premises in transition countries, particular into their impact on programmatic activities.

Communicating as One

To ensure the successful implementation of these procedures, the Secretary-General needs to take the following supportive actions:

54. update the 2005 communication guidelines (DPI); and

55. establish a mechanism to ensure consistency in guidance on communication and messaging provided by agency HQ to country offices and, where necessary, to resolve differences between agency positions, respecting the mandate and competencies of each agency.

To ensure the successful implementation of these procedures, the UNDG and member agencies will need to take the following supportive actions:

56. develop support mechanisms (to be determined, but possibly including the establishment of a headquarters-level coordination mechanism) to assist Country Teams in developing joint communication and advocacy activities. Examples include the development of guidance, including on communication in crisis contexts and on sensitive issues, common templates (e.g., for websites and publications, use of the UN brand and logo), communication checklists, training, creation of expert rosters and support to ongoing documentation, and sharing of good practices from the country level;

57. review and, where necessary, update existing UN Communications Group guidance on country communication groups and any other relevant UN-wide guidance on communication at the country level, including on visual identity and branding of joint communication products and the use of the UN logo and name;

58. develop and systematically advance (with UNDG/DOCO expertise) knowledge management and access to/dissemination of relevant learning at the country level to inform communication at the country level; and

59. Exchange/disseminate agency guidelines and procedures across the UN development agencies in order to ensure that inconsistencies and redundancies are removed.