

The Management and Accountability System of the UN Development and Resident Coordinator System including the “functional firewall” for the RC System

I. OVERALL CONCEPT OF GOVERNANCE AND ACCOUNTABILITY: BASIC AGREEMENTS

Vision statement

In the long term all Agencies agree that we need a Resident Coordinator who:

- Has an equal relationship with, and responsibility to, all UNCT member agencies,
- Is recognized by and accredited to Government,
- Has all the leadership qualities required to be an excellent team leader who can represent the whole UN development system effectively,
- Is empowered by clear recognition by each Agency of his / her role in strategically positioning the UN in each country,
- Has immediate access to Agencies' technical resources to support the RC function,
- Has flexible financing for start-up/preparatory activities of the UNCT.

We recognize that it will take some time to achieve this ideal; currently we have agreed to the governance and accountability framework set out below. We will continue to work towards achieving this vision through a dynamic consultative process.

RC System governance: management by UNDP, on behalf of the System

Distinction between “management” and “accountability”: The system must **belong to all** – through governance system/broad participation and clear accountability, and reporting lines but can only be **managed by one entity** with clear responsibility and clear accountability based on common understanding of what is required. UNDP is recognized as manager of the RC system, with guidance from all, and being accountable to all through UNDG/Advisory Group. It is agreed that there is a need for further strengthening of the system.

Accountability Framework at all levels

Principle of accountability vs. line management, where accountability is broad and includes system owned inclusive planning, prioritization and evaluation.

Accountability needs to be established at all levels, based on:

- a) Clear agreement on what is to be done;
- b) Identification of who is responsible to carry out function;
- c) System for monitoring, evaluating;
- c) Ensuring required resources/support is in place.

Functional firewall can work if there are strong mechanisms through which the system can provide **direction**, and hold appointed actors **accountable**, and as long as it is clear what role is to be performed by whom – “day to day management of RC System” by UNDP, and oversight/governance/ accountability framework as described below by UNDG through the UNDG Chair /Advisory Group, and the RMTs, with the support of the new ASG.

The functional firewall requires a dedicated “**guardian**”: a senior official (UNDG ASG) who will ensure that the interests of the UN System are advanced at all levels of the RC System (HQ, Regional, country). Clear TORs and accountability for ASG need to be defined.

In sum, two different strands of management and accountability run through the RCS,:

1. A clear **line management**, going from the UNDP Administrator to the UNDP RD to the RC/RR, balanced by a
2. A clear **accountability line**, going from the UNDG Chair (guided by the AG, supported by UNDG ASG and DOCO), to the RMT to the UNCT.

II. GOVERNANCE AND ACCOUNTABILITY TABLE

In order to get to the concept outlined above, changes need to happen primarily in two areas:

1. Explore and define **accountability issues for different levels** for the system, as per the table below, and
2. Explore and define **management lines per function**, as per UNDP’s matrix on delineation see Annex I .

Below is an outline of 1) above, an accountability framework:

WHO	IS ACCOUNTABLE FOR WHAT	TO WHOM
Resident Coordinators	<ol style="list-style-type: none"> 1. Report on UNCT results 2. Achieve agreed RC results drawn from UNCT workplan, and 4. Implement the RC/UNCT “code of conduct” 	<ol style="list-style-type: none"> 1. National Government 2. UNCT 3. RMT¹ (RMT to undertake assessment process, DOCO to support and monitor)
UNCT members	<ol style="list-style-type: none"> 1. UN country team results where they have agreed to lead the team 2. Implement RC/UNCT Code of Conduct 3. Agency results 	<ol style="list-style-type: none"> 1. UNCT/RC, RMT (RMT to undertake assessment process, DOCO to support and monitor) 2. RD or equivalent agency manager
RMTs	<p>Agreed roles for RMTs (Oslo):</p> <ol style="list-style-type: none"> 1. Provision of coherent technical support to RCs and UNCTs 2. Quality assurance of UNDAF/UN programme 	UNDG Chair/AG supported by UNDG ASG and DOCO

¹ RMT = Regional Managers Team, which include Regional Directors and relevant senior managers with direct supervisory responsibilities for agency engagement at country level.

WHO	IS ACCOUNTABLE FOR WHAT	TO WHOM
	3. Performance management 4. "Trouble shooting" in difficult country situations, dispute resolution etc.	
DOCO	1. <u>Effective support to:</u> Full UNDG and working groups <ul style="list-style-type: none"> • UNDG Chair • Regional Managers Teams • Advisory Group (ASG + Principals) • Ad hoc RC/UNCT's (second line trouble shooting) • Provide technical guidance, training, financial support on coordination issues to UNCTS & RMTs • Support MDTF oversight committees including establishment of data base on MDTFs 2. Close liaison with other CEB mechanisms. 3. Close liaison with OCHA, DPA + DPKO 4. Proper use of resources 5. Management of dispute resolution mechanism	UNDG Chair/AG through the UNDG ASG
Advisory Group	1. Effective guidance to UNDG chair on progress with UN coherence, and management of RC System 2. Monitoring DOCO performance	CEB, through the UNDG
UNDG Chair	1. Effective leadership in efforts to enhance UN coherence at country level 2. Effective leadership and management of RCS 3. Effective leadership of the UNDG mechanism	1. UNDG members 2. SG directly 3. SG as Chair of CEB
UNDG ASG	1. Oversight of DOCO, on behalf of UNDG Chair 2. Supporting AG in oversight of RMT performance, on behalf of UNDG Chair 3. Supporting AG in oversight of MDTF unit and other AA functional units 4. Effective support for RCS oversight mechanism at all levels 5. Provide strategic guidance to the UNDG mechanism 6. Manage UNDG dispute resolution mechanism	UNDG Chair, guided by the AG
Chair of UNDG Working Groups	1. Analysis and policy recommendations to support UN coherence at country level 2. Agreed workplan results	UNDG, supported by DOCO
<i>UNDP HQ (management by</i>	<i>Effective management and administration of the RC system</i>	<i>All parts of UNDP have to recognize their dual role of</i>

WHO	IS ACCOUNTABLE FOR WHAT	TO WHOM
<i>function)</i>		<i>supporting the UNDG Chair, as well as the UNDP Administrator, as per UNDP functional firewall matrix</i>
<i>UNDG ASG with DOCO Support</i>	<i>Introduction of clear dispute resolution system at all levels of RC System. Act as facilitator to ensure resolution as necessary</i>	<i>UNDG Chair/ AG</i>
<i>All UNDG Agencies</i>	<i>Present grievances arising in articulate and timely manner to be resolved through dispute resolution mechanism</i>	<i>UNDG Chair/ AG</i>

Accountability for MDTFs and Joint Programmes

Note! Management for MDTFs is separate from management of the RC System. Any agency can be AA for an MDTF or Joint Programme[JP] if requested, and any agency can establish a MDTF unit.

WHO	IS ACCOUNTABLE FOR WHAT	TO WHOM
AA of MDTF or JP (regardless of Agency)	<ol style="list-style-type: none"> 1. a. Effective and impartial fiduciary management of UNDG MDTFs according to UNDG agreed rules and procedures of MDTFs b. Bring any aberrations to the oversight committee 2. Effective day to day management of MDTF following financial and other rules and procedures 3. Report following UNDG guidelines including on fund allocation, disbursement, as well as achievements and challenges in acting as AA for MDTFs or JP 	<ol style="list-style-type: none"> 1. UNDG MDTF oversight committee at technical and ASG level, supported by DOCO 2. Appropriate unit of own agency (preferably not unit responsible for fund raising to avoid perception of conflict of interest) 3. MDTF oversight committee (technical level first stop)
RC/DSRSG/Steering group Chair	<p>Following UNDG agreed procedures, and using UNDG agreed guidelines for Steering Committees.</p> <ol style="list-style-type: none"> 1. Development of ToRs for new MDTF or JP in close consultation with UNCT or relevant governance body, and national partners, or donors. 2. Develop criteria for fund allocation. 3. Effectively manage process for resource mobilization, production of substantive reports, and resource allocation process. 4. Identify Agencies having problems in achieving results, and proactively initiate 	Local oversight committee, [government, UNCT, donors], MDTF oversight committee

WHO	IS ACCOUNTABLE FOR WHAT	TO WHOM
	troubleshooting action.	
UNDG ASG	<p>1. Organizing and supporting regular meetings of the oversight committee at both levels, including inviting the MDTF AA to report on progress on MDTF fiduciary management.</p> <p>2. On a “no-objection”-basis, agree on the establishment of new MDTFs and ensure observance of agreed procedures by UNCTs and other steering committees, especially with regard to MDTFs, and follow up issues arising.</p> <p>3. Bringing to AG any issues not resolved by technical oversight committee, and provide regular briefings to AG</p> <p>4. With interagency participation and preparation, organizing regular meetings of the donors to MDTFs for a) interaction with UNDG members, b) further refinement of MDTF tool, and c) the role of ASG in resource mobilization will be elaborated over time.</p>	UNDG Chair through AG

III. AGREED ROAD MAP AND NEXT STEPS

<p>UNDG ASG</p> <ol style="list-style-type: none"> 1. Agreed that a new ASG post for UNDG to be proposed to ACABQ and Member States as an upgrade of the D2 DOCO Director post. September is key month to gain support from Member States. 2. Agreed that recruitment process should be based on an interagency mechanism 3. Final ToRs to be elaborated but main functions are as in accountability table 4. Annual performance review by UNDG Chair on the basis of review and advice from AG 5. Agreed that ASG for UNDG will manage the oversight system for the MDTFs through the technical interagency groups and AG
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<p>Regional Managers Team</p> <ol style="list-style-type: none"> 1. RMT membership will expand over time to be representative of Agencies working at country level 2. TOR for Chair and members of RMT, including time allocations 3. Performance appraisal system 4. Reporting of RMT and assessment of performance: report to UNDG Chair, supported by UNDG ASG who collates RMT annual performance data against agreed bench marks and presents this for discussion by AG before submission to UNDG Chair for action 5. Need to determine minimum level of support to RMT and funding of support. Ref. Oslo meeting
<p>Multi Donor Trust Funds</p> <ol style="list-style-type: none"> 1. Review and strengthen effective oversight committee at technical level, which will bring relevant issues to AGⁱ 2. Standardized procedures for management and governance of MDTFs to be agreed between agencies and implemented by all AAs of MDTF and Joint Programmes (Protocol for Administrative Agents. ASG Group will work on the standardized procedures for management and governance of MDTFs and arrangements will be made to have them cleared by the UNDG Advisory Group and then the full UNDG before the October 2008 CEB meeting. 3. Full financial disclosure of all financial transfers and allocations by MDTF office to date, including use of overhead.
<p>DOCO Functional Analysis</p> <ol style="list-style-type: none"> 1. Examine new and existing roles, identify capacity gaps [especially for RMT support and MDTF oversight] and recommend new structure including possibilities of Deputy Director 2. Agency contribution to funding DOCO agreed in principle, but modality to be determined
<p>Incentive Structure</p> <ol style="list-style-type: none"> 1. For every level of the RCS there has to be clear UNDG incentive system built into performance appraisal for relevant staff in each Agency. Roadmap for implementation to be developed by UNDG WG on RC Issues by end 2008
<p>RC Office and Structure</p> <ol style="list-style-type: none"> 1. Lean office of the RC, recognizing that the RC will draw on agency assets as relevant 2. More detailed RC job description to be finalized by end 2008. (Action: DOCO) 3. RC mobilizing resources for the system (UNDAF and One Programme). UNDP resource mobilization done by CD. Take UNDP resource mobilization out of RR score card, action UNDP . 4. The agreed vision is for the RC to represent all UN agencies while the CD is to be a UN country team member, equivalent to other agency representatives. This is to be achieved by the end of 2009 with continuous progress in the meantime. 5. The reporting relationships for all managers/representatives in the country team should be similar with respect to the RC. All agency country representatives would report to the RC on matters related to the working of the country team and implementation of the country programme and strategy. Concurrently, the country representatives report to their respective regional managers and headquarters organizations on matters relating to the details of their particular organization's operations. This model of these reporting arrangements vis-à-vis the RC to be reviewed and amended as needed by the end of 2009. 6. Within this framework, in some, or all, of the Delivering as One pilot countries, the chair of UNDG will explore the possibility of moving ahead for 2009 with separately accredited

RCs on the one hand and UNDP CDs on the other. This of course has to have full support of Governments and should be understood as being experimental.

7. Clear division of labor and accountability lines between RC/RR and CD-function, where RC should focus on strategic positioning of UNCT, and member organizations, limiting UNDP-RR role to overall guidance. When there is no CD, RR function should still as much as possible leave operational responsibility to UNDP Deputy Res Rep, who will also undertake UNDP-specific resource mobilization (job descriptions to reflect this). UNDP should continue with CD roll out in all countries where there is a significant UNDP operation
8. Costs relating to UNDPs management of the RCS should be reflected in a separate budget line. UNDP will work with AG to get a clear understanding on cost of support of RC function and improve presentation as necessary.
9. Comprehensive review of these steps and implementation to be conducted by UNDG in the Fall of 2009.

ⁱ E.G. the need for full financial disclosure, the need for openness to inter-agency missions to explore setting up MDTFs