

**Report  
on QCPR Monitoring Survey  
of Resident Coordinators in 2015**

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Final Report  
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**Development Cooperation Policy Branch  
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## Table of Contents

Introduction.....	3
I. Demographics.....	4
II. Delivering as One (DaO) and the Standard Operating Procedures (SOPs).....	15
III. Results-based management.....	24
IV. Harmonized Approach to Cash Transfers (HACT).....	26
V. South-south and Triangular Cooperation .....	29
VI. Transition from relief to development .....	32
VIII. The Management and Accountability System of the Resident Coordinator System.....	39
IX. Communicating as One .....	45
X. Regional dimensions .....	46
XI. Best practices.....	47
XII. General comments.....	47
XIII. Other data sources .....	48

## Introduction

To monitor the implementation of resolution 67/226 on the quadrennial comprehensive policy review (QCPR), the General Assembly called on the Secretary-General to regularly assess and report on a comprehensive and quantitative basis on progress in furthering programme and operational coordination at the country level, in order to inform annual reporting to the Economic and Social Council on the functioning of the resident coordinator system (paragraph 131). In this context, a survey of resident coordinators was conducted in 2013, 2014 and in 2015.

The 2015 Survey of Resident Coordinators (referred to as ‘the survey’) was carried out from 15 June 2015 to 18 August 2015. The survey was initiated through a message from UN DESA transmitted through the Development Operations Coordination Office (DOCO) to all resident coordinators. Follow up with Resident Coordinators was conducted through DESA, DOCO and the Regional UN Development Groups (R-UNDGs).

The overall response rate to the 2015 survey was 89%. Compared with 60% in 2014, and 85% in 2013, the response rate in 2015 was unprecedentedly high, with responses were received from 116 resident coordinators.

In order to keep the process as cost-effective as possible, the survey questions were designed so as to be answered with a minimum of research; in most cases a multiple choice answer was provided. Also, to keep the survey to manageable proportions, the number of questions had to be limited. For these reasons, the survey can be a complement to but not a substitute for an in-depth analysis of any individual topic.

The results of the survey are presented below, question by question. Each question, as it appeared to the respondents of the survey, is presented in italics prior to the discussion on the results of that question. Note that not all questions were asked of all respondents. Some questions were skipped where a response was irrelevant or not applicable. This was determined on the respondents’ response to a preceding question. It is noted in the report where this occurs.

Most questions were answered by all or nearly all of the 116 RCs that responded to the survey. The number of RCs that responded varied from 114 to 116 according to the question. Unless otherwise stated, all tables, graphs and survey data presented in this report are sourced from the 2012, 2014 and 2015 surveys of Resident Coordinators.

Note on terminology: To make the survey questionnaire as easy to understand as possible, the word “agency” was used throughout to refer to UN specialized agencies, funds and programmes, as well as departments of the UN Secretariat. For this reason, the word “agency” is used in the same way in this report.

## I. Demographics

Aside from the responding resident coordinators' geographic location (1), the demographic classification and characteristics of each country where the resident coordinator is serving (as set out in 2-9), were not asked as survey questions but were applied by DESA at the close of the survey to analyze the results and disaggregate the data.

### 1. Geographic location

**Question: Please select your location:**

Valid responses were received from 116 resident coordinator respondents. The responding resident coordinators accounted for some 87% of all country-level expenditures (according to 2014 expenditure data on operational activities for development).

### 2. Region

As shown in the table below, there was a high survey response rate from RCs in all regions. All RCs in ECIS and LAC completed the survey, and more than three quarters of RCs in each of the other regions did so. The Africa and Arab States regions achieved response rates of 82% and 78% respectively, lower than the other three regions. Several RCs serving in Ebola-affected countries and countries with ongoing conflict did not respond to the survey. In addition, there were RCs who had recently (less than 6 months) taken up the position as RC and did not feel able to comprehensively respond to the survey.

**Table 1. Respondents by region, 2013-2015**

		Africa	APA	Arab	ECIS	LAC
2015	Number of RC that responded	37	22	14	18	25 <sup>1</sup>
	Response rate by region	82%	92%	78%	100%	100%
2014	Number of RC that responded	20	16	8	15	19
	Response rate by region	42%	70%	50%	83%	79%
2013	Number of RC that responded	38	19	11	18	23
	Response rate by region	84%	79%	61%	100%	96%

### 3. Income group

Using the 2014 World Bank classification on income groups<sup>2</sup>, resident coordinators responding to the survey were based in the following: 28 low-income countries, 42 lower-middle-income countries, 39 upper-middle-income countries, and 7 high-income countries. Note that the World Bank income classification, as well as the number of countries with a resident coordinator change slightly from year to year.

<sup>1</sup> There are 24 RCs in LAC, however, one additional response was received from Head of the RCO in Suriname, which was also counted. Suriname is part of a multi-country office and as such, shares an RC with Trinidad and Tobago.

<sup>2</sup> <http://data.worldbank.org/about/country-and-lending-groups>

**Table 2. Respondents by country income group, 2013-2015**

		Low income	Low-middle income	Upper-middle income	High income
<b>2015</b>	Number of RC that responded	28	42	39	7
	Response rate by income group	<b>82%</b>	<b>91%</b>	<b>95%</b>	<b>78%</b>
<b>2014</b>	Number of RC that responded	15	28	31	4
	Response rate by income group	44%	61%	78%	44%
<b>2013</b>	Number of RC that responded	28	41	36	4
	Response rate by income group	78%	89%	92%	50%

#### **4. Status as a Least Developed Country**

Thirty six responses from resident coordinators serving in Least-Developed Countries (LDCs) were received, comprising 31% of all responses. As a proportion of all RCs based in LDCs, there was a 82% response rate.

In 2014, 22 responses were received from resident coordinators in LDCs, representing a 50% response rate. In 2013, 35 responses were received from resident coordinators in LDCs, representing a 73% response rate.

**Table 3. Respondents serving in LDCs, 2013-2015**

		LDCs
<b>2015</b>	Number of RC that responded	36
	Response rate of LDCs	<b>82%</b>
<b>2014</b>	Number of RC that responded	22
	Response rate of LDCs	50%
<b>2013</b>	Number of RC that responded	35
	Response rate of LDCs	73%

#### **5. Status as a Small Island Developing State**

Responses from 17 resident coordinators serving in Small Island Developing States (SIDS) were received, comprising 15% of all responses. As a proportion of all RCs located in SIDS (19), this represents a response rate of 90%. In 2014, 13 responses were received from resident coordinators in SIDS, which made a response rate of 72%. In 2013, 14 RCs in SIDS participated, which represented 78% of all RCs in SIDS.

**Table 4. Respondents serving in SIDS, 2013-2015**

		SIDS
2015	Number of RC that responded	17
	Response rate of SIDS	90%
2014	Number of RC that responded	13
	Response rate of SIDS	72%
2013	Number of RC that responded	14
	Response rate of SIDS	78%

## **6. Delivering as One**

For the purpose of analyzing the responses to the survey in 2015, the countries that are classified as Delivering as One (DaO) are the countries that have formally requested the UN development system to adopt the Delivering as One approach in their country, based on the records of the Development Operations Coordination Office (UNDG/DOCO). As of July 2015, when the survey was carried out, there were 50<sup>3</sup> such countries. By November 2015, Congo and Guyana were added to the list and the number had risen to 52. For the purpose of analyzing the survey data, the list of 50 countries was used as only countries classified as DaO at the time of the survey could potentially reflect the views of an RC in a DaO country.

In 2015, there were 43 responses from RCs in DaO countries, making up 37% of all responses, and representing a 90% response rate from RCs in the countries that have formally adopted DaO.

Prior to 2015, the DaO classification was different. For the purpose of analyzing the 2013 and 2014 survey responses, the countries deemed to have been implementing DaO were the 8 DaO pilot countries and the 26 countries that the RCs themselves identified as DaO 'self-starter' countries in the 2013 survey. Under either method, the vast majority of countries that had been implementing DaO in 2012 or earlier are included. The new classification, as outlined above, includes a number of countries that began implementing DaO after 2012. In the analysis that follows, where the data have been disaggregated by DaO, DaO status generally refers to the 43 RCs in DaO countries that responded to the survey. Where it is significant, the countries are divided into those that adopted DaO in 2012 or earlier, and those that adopted DaO in 2013 or later.

## **7. Presence of a UN Humanitarian Coordinator in the country**

In the absence of a formal classification of countries in transition from relief to development, the designation of a UN Humanitarian Coordinator has been used in all the DESA surveys as a proxy for transition status.

27 responses were received in 2015 from resident coordinators who are also UN humanitarian coordinators. They comprise 23% of all responses, and represent 90% of all UN humanitarian coordinators. 27 responses from RC/HCs were received also in 2013, while 21 such responses were received in 2014.

<sup>3</sup> <https://undg.org/wp-content/uploads/2014/11/Delivering-as-One-Countries-July-2015.pdf>

## 8. Presence of an Integrated Mission

A total of 16 responses were received from RC/HCs in countries with an integrated mission. These responses account for 14 percent of all responses and represent a 76% response rate. Integrated missions are established in countries where both peacekeeping and humanitarian activities are carried out. In 2014, 11 responses were received from countries with an integrated mission.

## 9. Programme size, UNCT size and country coverage

For the purpose of analyzing the data by programme size, the countries with RCs who responded to the survey were ranked according to UN expenditures on operational activities for development in 2013. The ranked countries were then divided into three groups. The top 39 countries were designated as large programme countries, the bottom 38 countries were designated as small programme countries and the remaining 39 countries were designated as medium programme countries.

**10. Question: Do you currently serve as Resident Coordinator or Resident Coordinator a.i. for more than one country/territory**

**Table 5. Country coverage by RCs (a)**

Cover more than one country or territory?	Number of RCs
Yes	6
No	109

RCs who answered 'yes' were then asked the following question (11). All others skipped to the subsequent question (12).

**11. Question: Please indicate the number of UNCTs in which you currently serve, and for the remaining questions in the survey, please respond with reference to your country of residence**

The 25 RCs who answered 'yes' to the preceding question were asked how many UN country teams they were a member of. In most cases, the answer was one: that is, the UNCT in the country where they were posted. In six instances they were a member also of one or more additional UNCTs, as the table below shows.

**Table 6. Country coverage by RCs (b)**

Number of UN country teams in which the RC is a member	Number of RCs
2	3
3	0
4 or more	3
Total	6

**12. Question: How many agencies are currently represented in the UN country team?**

**Table 7. Size of UN country teams**

Number of agencies in the country team	Number of RCs
5 or less	2
6 to 10	15
11 to 15	34
16 and above	65

In their comments, several RCs provided a breakdown between resident and non-resident members of the UN country team. Some included Non-Resident Agencies (NRAs) that have representational offices in the country manned by national officers. Others mentioned NRAs that have project offices in the country but no resident head of agency.

**13. Question: What is the approximate number of UN agency national and international core professional staff (UN personnel with a Fixed Term Appointment) currently in post in the country?**

**Table 8. Number of UN staff in the country, 2015**

Number of UN core professional staff in the country	Number of countries
10 or less	4
11-20	3
21-30	4
31-40	6
41-50	11
51 and above	88

In the optional comment box below this question, a few RCs provided a breakdown between international and national professionals or clarified that the figure referred to both categories.

**14. Question: Please indicate the status of the country in regard to Delivering as One (DaO)**

A similar question was asked of the resident coordinators in 2013 and 2014, with some differences in the wording of the answer options, as explained in the footnotes to the table below. The table shows the responses to the 2013 and 2015 surveys:<sup>4</sup>

<sup>4</sup> 2014 data has been omitted and to show a trend across the period

**Table 9. Country status as regards Delivering as One (DaO), 2013-2015**

Status of the country in regard to Delivering as One (DaO)	2015		2013	
	Number	%	Number	%
Original DaO pilot country	8	7	8	7
Not a pilot, but implementing all elements of DaO <sup>5</sup>	14	12	26	25
Implementing some elements of DaO	69	59	38	35
Government has requested or is actively considering DaO	10	9	9	8
Not implementing any elements of DaO <sup>6</sup>	15	13	28	25
Total number of respondents	116	100	109	100

The table reconfirms that a large majority of countries are applying all or some of the elements of DaO. The proportion of countries implementing or planning to implement all or some aspects of DaO (the first four rows in the table) grew from 75% to 87% between 2013 and 2015.

The introduction of the Standard Operating Procedures (SOPs) for DaO has affected the responses against some of the lines. In effect, the SOPs raised the bar in terms of what constitutes “implementing all elements of DaO”. Some ‘self-starter’ countries did not check “implementing all elements of DaO” in 2015, reflecting that they were not (yet) implementing all the elements in the current SOP package. On the other hand, some countries that have not formally adopted DaO are already implementing at least one or two of the SOPs, and therefore also checked ‘implementing some elements of DaO.’

In their comments, several RCs mentioned actions being taken to advance the implementation of DaO. For example, one stated: “UNCT has significantly progressed on the application of DaO but [the] Government has not adhered to One-UN formally,” while another explained: “We are implementing some elements of DaO already, and the Government is expected to request DaO shortly.”

**15. Question: Please specify the elements of DaO that are being implemented. Please select all that apply.**

This question was addressed in 2015 to the RCs who stated in the previous question that they were implementing at least some elements of DaO: that is, they selected one of the first three answer options. The remaining respondents skipped the question.

Responses to the question are shown in the table below. Although a similar question was asked in 2013 and 2014, the data is not comparable, because in those years it was assumed

<sup>5</sup> In 2013, the option was ‘Self-starter’

<sup>6</sup> In 2013, the option was ‘Government is not considering DaO’.

that the DaO pilot countries and self-starter countries were implementing *all* elements of DaO and therefore did not need to answer the question.<sup>7</sup>

**Table 10. Elements of DaO being implemented, 2015**

Elements of Delivering as One (DaO)	2015	
	#	%
One Leader	66	72
One Programme	57	62
One Budgetary Framework	24	26
Operating as One	62	67
Communicating as One	78	85
Other (please specify)	12	13
Total number of RCs who answered the question	92	

As was indicated in the previous question, the introduction of the SOPs has affected the way RCs describe their status in relation to DaO. The UNDG considers the SOPs to entail 15 “core elements”, and each of the five “Ones” listed in the table includes at least two SOP “core elements.” The UNDG has begun tracking the extent to which UNCTs are implementing the core elements.

Under ‘other’ elements of Delivering as One, RCs mentioned One UN House, One Fund, and One Government.

One RC explained that One Government was “*part of the country’s model of DaO. It is intended to improve the coordination within the Government agencies and also without the Government towards the UN and other development partners.*”

Another RC summed up the progress as follows: “*Overarching pillar Joint steering committee on managing and monitoring UNDAF is now part of the UNDAF governance structure. One program – the new UNDAF at an outcome level has been signed recently; 4 result groups chaired by Heads of Agencies have been established, these 4 result groups are currently working with the government on formulating the workplans for the new UNDAF outcomes, these groups will be aligned with national coordination mechanisms. One leader- regular UNCT meetings take place, a code of conduct is currently being discussed to empower the result group leaders. In January 2014 four result groups with ToRs have been created and met on a regular basis, on average there were meetings every 2 months. Operating as one -an effective OMT has been meeting since 2011, a Common service budget for 2014 was proposed and validated by the UNCT. The group has further advanced the project for the UN house. There has been little progress on moving on synergies on joint operations. Communicating as one – the common communication group has regular meetings and elaborated a work plan for 2014 including such activities as a joint UNS film.*”

The survey results indicate that the number of countries where DaO is being applied to some extent is growing. The present survey includes many questions that explore in more detail the extent to which DaO is being applied. As will be seen, the survey reveals that significant progress is being made in many areas.

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<sup>7</sup> This question was actually answered by one more RC than the number who said Yes to the previous question.

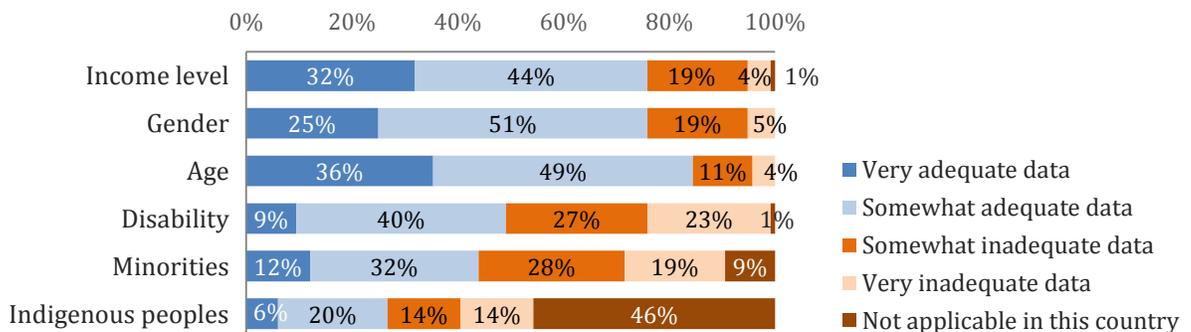
**16. Question: Please rate the adequacy of the data the UNCT had access to for each of the following types of demographic information**

This question was asked in light of the need, at the country analysis stage, for the UNCT to have access to data that is disaggregated by various demographic groups as a basis for UNDAF (or equivalent instrument) strategies that properly address their specific situations and needs.

In operative paragraph 22, the 2012 QCPR resolution highlighted “the importance of improving strategic planning at the United Nations agency and national levels, as well as of consistent, reliable and comprehensive statistical data and analysis about United Nations operational activities supporting national efforts in order to provide an understanding of evolution and trends contributing to sound policy decisions and to effectively implement the present resolution.” The resolution further identified certain demographic groups as in need of particular attention on the part of the UN system. Notably, it highlighted disability (operative paragraph 23), poverty eradication (operative paragraphs 69 to 73), and gender (operative paragraphs 80 to 92); in operative paragraph 59, the Assembly called for particular efforts to be made by the UN system to “target and empower the poor and people in vulnerable situations.” The outcome document of the United Nations summit for the adoption of the 2030 Agenda for Sustainable Development places even greater emphasis on the need for adequate data so that countries can measure progress with regard to the Sustainable Development Goals (SDGs).

The resident coordinators were therefore asked about the availability of disaggregated data on incomes, gender and other key demographic factors. As shown in the chart below, the majority of the resident coordinators considered the availability of disaggregated data to be at least somewhat adequate in regard to age, income groups, and gender, while the data was generally seen as inadequate in the areas of disability, minorities, and indigenous peoples. The latter data could become essential in the context of the aim of the 2030 Agenda to ensure that the most disadvantaged groups receive priority attention. One RC commented that “Data is inadequate for effective monitoring of certain vulnerable groups (refugees, IDPs, LGBT) and certain minorities.”

**Figure 1. Adequacy of country data in respect of various demographic factors, 2015**



The same question was asked in the RC surveys in 2013 and 2014. Those surveys produced results that were similar to the data presented above. However, the general pattern was of

the RCs becoming somewhat *less* satisfied with the adequacy of data as the years went by. This can be interpreted as becoming more focused on data quality, possibly stimulated by the prospect of data requirements to effectively support Member States in the implementation and the monitoring of the SDGs.

**17. Question: Is the period of the UNDAF (or equivalent instrument) aligned with the Government's planning cycle (where applicable)?**

**Table 11. Alignment of UNDAF with the Government's planning cycle, 2013-2015**

Is the UNDAF aligned with the Government's planning cycle?	2015		2014		2013	
	#	%	#	%	#	%
Yes	77	66	51	65	58	53
No, but we plan to align the period of the next UNDAF with the government's cycle	24	21	24	31	24	22
No, and there are no plans to align with the government's cycle	11	10				
Not applicable, the UNDAF or equivalent framework is not being used in the country	4 <sup>8</sup>	3	3	4	27 <sup>9</sup>	25
Total	116	100	78	100	109	100

Alignment with national planning processes is a significant element of ensuring the relevance and effectiveness of UN development cooperation. The proportion of RCs answering 'yes' to the question indicates that some progress is being made. At the same time, as the table shows, around one-third of resident coordinators continue to report that the UNDAF is not aligned with the Government's planning cycle.

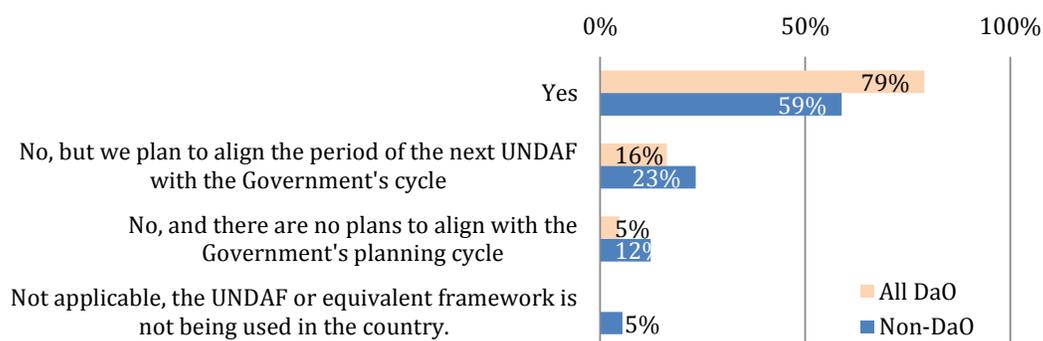
The UNDAF guidelines (Part I) issued by UNDG in 2010 advocate synchronization with the government cycle. Given that five years have elapsed since the issuance of the guidelines, progress appears to have been modest. This finding is consistent with the comments from some programme country governments who stated, in their survey, that the UN could improve its relevance to the country's needs and priorities by aligning the UNDAF with the government's cycle. More positively, UNCTs seem more aware of the importance of aligning cycles, and are taking steps to adjust in the next UNDAF cycle. This emerges from the new answer option included in 2015, where 'no' was separated into 'no, but we plan to align the period of the next UNDAF with the government's cycle' and 'no, and there are no plans to align with the government's cycle'.

The alignment of the UNDAF with the government's planning cycle is noticeably closer in DaO countries, where 95% are aligned or plan to align. The corresponding figure for non-DaO countries is 87%. All but one country in transition is aligned or plans to align.

<sup>8</sup> Two of these responses came from multi-country offices with sub-regional UNDAFs, meaning that alignment with every government's cycle is not possible.

<sup>9</sup> This figure cannot be compared with the other figures on this row, because the option in 2013 was simply 'Not applicable' – without the qualification that there is no UNDAF or equivalent – and this led many more respondents to check the box.

**Figure 2. Alignment of UNDAF with the Government's planning cycle - by DaO, 2013-2015**



Over the past three years, Resident Coordinators have provided explanations for the lack of alignment. A key reason that continues to be cited is that the government cycle is three or four years, or a period longer than five years, whereas the UNDAF duration was five years. For example, one RC stated: *“while the UNDAF covers a five-year period, the country's periodic plans cover a three-year range.”* In this regard, the 2010 UNDAF guidelines (Part I) do not indicate that the UNDAF duration should be five years, yet a ‘tradition’ of five-year planning periods seems to persist. Possibly with the revised approach to UNDAFs advocated in the SOPs – pitching them at the outcome level and making them less detailed – the resistance to UNDAFs with a duration of less than 5 years may diminish.

**18. Question: Regarding the preparation of the UNDAF (or equivalent instrument) please check one of the following**

This question has been included in the RC surveys of 2013, 2014 and 2015. It aims to explore the implementation of an important element of DaO: the simplification of the UNDAF process.

**Table 12. Duration of UNDAF preparation period, 2013-2015**

Timing and duration of the UNDAF preparation process	2015 %	2014 %	2013 %
The UNDAF was prepared during the penultimate year of the previous UNDAF	47	56	50
The UNDAF was prepared in the first half of the final year of the previous UNDAF (as provided for in the DaO Standard Operating Procedures - SOPs)	28	22	23
Other (please explain in the comment box below)	22	19	27
Not applicable, the UNDAF or equivalent framework is not being used in the country	3	3	

The above data does suggest a slight trend towards the approach advocated in the SOPs, whereby the UNDAF is pitched at a high (outcome) level and the more detailed efforts at ensuring coherence takes place at the implementation stage through such initiatives as results groups and joint work planning.

**19. Question: The activities of the UN and the country's development needs and priorities are**

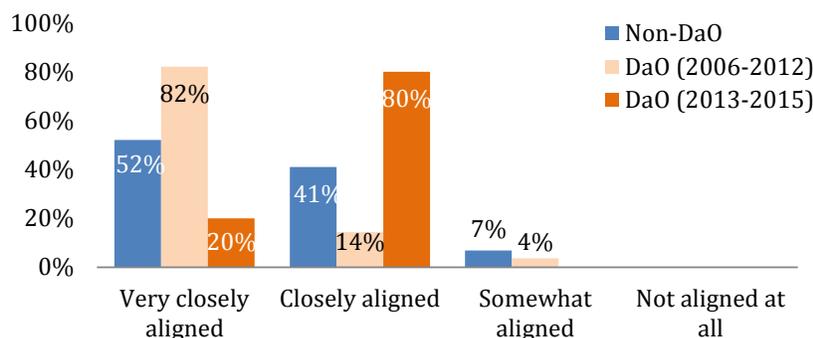
This question explored the perceptions of RCs on how closely aligned UN activities are with the country's needs and priorities. The question has been asked of both governments and RCs since 2012, and the responses are set out in the table below. Overall, it appears that RCs and governments alike consider alignment to be close or very close. Governments were noticeably less inclined to judge alignment as 'very close'. In these respects, there has been no perceptible change in views since 2012.

**Table 13. UN alignment with national needs and priorities, 2012-2015**

Closeness of alignment with the country's needs and priorities	UN Resident Coordinators			Programme Country Governments		
	2015 %	2014 %	2013 %	2015 %	2014 %	2012 %
Very closely aligned	55	49	58	19	23	23
Closely aligned	40	45	34	67	70	60
Somewhat aligned	5	5	8	13	7	16
Not aligned at all	0	1	0	1	0	1

In countries where DaO has been in effect since 2012 or earlier, alignment was judged to be closer than in non-DaO countries by both RCs and governments. 82% of RCs in countries that adopted DaO in 2012 or earlier rated the alignment as 'very close.' Moreover, the RCs reported that the UNDAF is synchronized with the national planning cycle in 79% of countries with DaO against only 59% of countries that have not adopted DaO.

**Figure 3. UN alignment with national needs and priorities - by DaO, 2015**



The RC of one country with which alignment was judged to be 'very close' commented that: "Whereas country analyses are typically organized around themes or sectors, the UNCT chose to depart from this more standard approach by attempting to conduct a Country Analysis (CA) with people at its core. By adopting this approach, potential 'client groups' have become the major focus of the UNDAF, so it is naturally grounded in a human-rights-based approach to development." Conversely, an RC in a country where alignment was judged to be close but not very close explained that: "There is a normative agenda and international protection agenda in the UN Development Cooperation Strategy, our post-UNDAF document, which goes beyond the NDP of the country."

## II. Delivering as One (DaO) and the Standard Operating Procedures (SOPs)

The Standard Operating Procedures (SOPs) for DaO envisage a major role for results groups in programme implementation. Thus, the following questions apply primarily to countries where all or some aspects of DaO have been adopted. At the same time, non-DaO countries use theme groups or programme coordination groups to serve some of the same purposes.

The Standard Operating Procedures (SOPs) for DaO envisage that results groups would ensure the necessary inter-agency cooperation at the UNDAF *implementation* stage. With these groups in place, it is thought that the UNDAF itself can become more of a strategic document, pitched at the outcome level, rather than an operational document. Results groups are one of the 15 core elements of the SOPs.

According to UNDG IMS data, results groups have been fully established in 44% of countries, partially established in a further 31%, and not established in 26%.

**20. Question: To what extent do the results groups or theme groups or joint teams or programme coordination groups form part of a national coordination mechanism?**

This question has featured in the 2014 and 2015 Survey of Resident Coordinators. The first point to note is the very significant decline in both the number and percentage of RCs who responded with ‘not applicable’. This result suggests a rapidly growing ‘buy-in’ by UNCTs to the concept of results groups.

**Table 14. Results groups and national coordination mechanisms**

To what extent are results groups (or other coordination groups) part of a national coordination mechanism?	2015		2014	
	#	%	#	%
All groups	23	20	5	6
Some groups	47	41	30	39
No groups	34	29	24	31
Not applicable	12	10	19	24
Total	116	100	78	100

The second significant result is the more obvious one: the rapid increase in the number and percentage of countries where *all* results groups are part of a national coordination mechanism. This depicts a significant step towards stronger national ownership of UN activities in the countries concerned. It is notable that of the twenty-three countries where all groups are part of a national coordination mechanism, fifteen are DaO countries. Stronger national ownership seems a key reason why the vast majority of programme countries are enthusiastic about DaO.

At the same time, the sustainability of UN-supported activities in all countries depends on national ownership and thus on sufficient participation by key stakeholders in the work of coordination groups. In the programme country survey, some governments called on the

UN to do more to keep themselves and other national stakeholders properly informed about its activities. The linking of the work of the results groups to broader national mechanisms seems to merit attention by more UNCTs.

**21 and 23. Question: In regard to chairing/membership of the groups**

In both 2014 and 2015, RCs were asked to indicate the extent to which national partners - governments and NGOs - participate in the work of results groups or other coordination groups. The RCs were asked whether the government co-chairs all, some or none of the results groups or other coordination groups; and a similar question in regard to NGO participation in the groups.

As with the previous question, there was an increase in the number of RCs who found this question relevant to their country situation, judging from the drop in the number saying 'not applicable' between 2014 and 2015.

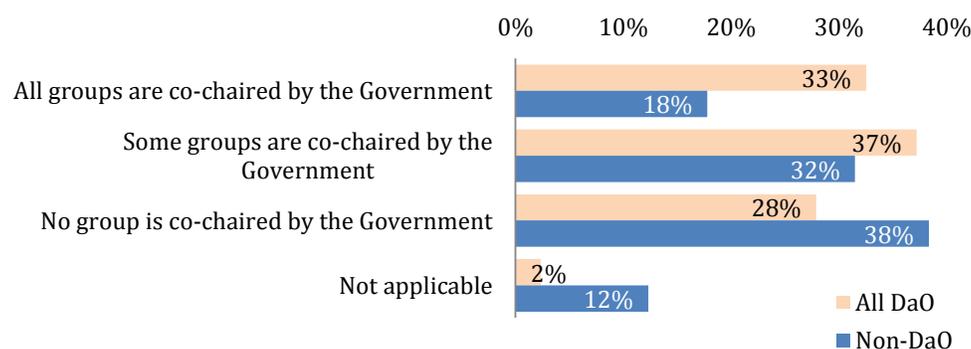
**Table 15. Inclusiveness of results groups, 2014-2015**

Government co-chairing and NGO participation in results groups or other coordination groups		RC responses			
		All %	Some %	None %	N/A %
Government co-chairs	2014 - 78 responses	17	19	41	23
	2015 - 116 responses	23	34	34	9
Groups have non-governmental partners as members	2014 - 78 responses	9	37	35	19
	2015 - 116 responses	7	49	39	5

Government co-chairing of a results group and non-governmental participation are important elements in assuring national ownership of UN-supported activities, and on this score the picture seems mixed. Government co-chairing is more common in countries implementing DaO: Governments co-chair at least some results groups in two-thirds of the countries implementing DaO, compared with about 50 per cent for non-DaO countries. Moreover, DaO countries form the majority of countries where *all* results groups are co-chaired by the government. The regional breakdown shows that all or some groups are co-chaired by government in about two-thirds of countries in Africa, and by about half the countries in other regions.

The above table also shows that non-governmental partners participate in at least some results groups or other coordination groups in a majority of the countries where such groups exist. The regional breakdown shows that participation by non-governmental partners is found in a majority of countries in Africa, Asia and the Pacific, and Europe and Central Asia, but in a minority of countries in the other two other regions. The pattern in DaO countries was similar to all other countries on this question.

**Figure 4. Inclusiveness of results groups - by DaO, 2015**



**22. Question: Chairing or co-chairing of results groups by a UNCT member**

**Table 16. Extent to which results groups other coordination groups are chaired or co-chaired by a UNCT member, 2014-2015**

Chairing of results groups by a member of the UNCT (Head of Agency)		RC responses				
		All %	Some %	None %	N/A %	Total %
Head of agency co-chairs	2014 - 78 responses	60	24	4	12	100
	2015 - 116 responses	66	26	4	3	100

Designating a UNCT member (head of agency) to chair each results group is another significant aspect of 'One Programme' in the SOPs for DaO, as it tends to enhance the effectiveness of the group. The table shows the large and probably growing extent to which agency heads are assuming leadership roles in results groups, which can be seen as a promising sign of closer collaboration within country teams. UNCT members chair results groups in both DaO and non-DaO countries, although relatively more DaO countries have *all* results groups chaired by a UNCT member.

**UNDG IMS: Do results groups (or other coordination groups) prepare joint annual work plans?**

In 2014, RCs were asked about the extent to which results groups had prepared joint annual work plans. This question was not repeated in 2015, since it is one of the 15 "core elements" of the SOPs and relevant data was collected by UNDG.

**Table 17. Survey of Resident Coordinators and UNDG IMS: joint annual work planning by results groups, 2014-2015**

Joint annual work planning is conducted by results groups (or other coordination groups)		RC responses				
		All %	Some %	None %	N/A %	Total %
Results groups prepare in joint annual work plans	2014 - 78 responses	27	38	13	22	100
	2015 - UNDG IMS data	24	27	49	-	100

The results indicated above are difficult to interpret, in view of the marked progress being made with results groups that was noted in the preceding questions. Caution should be applied when comparing the two data sources given that, among other things, there was no 'not applicable' option in the UNDG IMS.

In the DESA 2014 survey of Resident Coordinators, it was found that joint annual work planning is already becoming the norm in DaO countries, where 50% of RCs reported that *all* results groups have joint annual work plans. The corresponding figure for non-DaO countries was 17%.

**24. Question: The UNDG envisages that the UNCT would provide the Government with a report on progress with the UNDAF (or equivalent instrument) at least once in its lifetime, and annually in DaO countries. Did the UNCT provide the Government with such a report in the last five years?**

A significant concern of governments, as reported in the surveys in 2012, 2014 and 2015, is around the topic of transparency, and in particular around the reporting received from the UN system at country level. In this regard, current UNDG guidelines call for a report on results achieved by the UN system to be provided to governments at least once in an UNDAF cycle. The responses from UN resident coordinators in the 2014 and 2015 RC surveys are shown in the table below. Based on the 2015 figures, it appears that 75% of UNCTs have provided one or more reports in the last five years. In DaO countries, 86% of UNCTs in DaO countries did so, while the figure for non-DaO countries was 68%.

The survey questions in 2014 and 2015 were identical except that in 2015 the period of reference was five instead of four years, to allow for the entire period of an UNDAF (typically five years) to be covered. This change from 4 to 5 years has slightly increased the percentage of RCs who replied 'yes', and decreased the percentage saying 'no'. However, the change is small, and it remains the case that up to a quarter of all UN country teams may not be providing the Government of their country with such a report. This calls for an explanation, which is addressed by the following question.

**Table 18. Reporting to governments on UN results in 2014 and 2015**

Has a report on results achieved by the UN been provided to the Government in the last 4 or 5 years?	In the last five years - 2015				In the last four years - 2014			
	Yes	No	Don't know	Total	Yes	No	Don't know	Total
Number of responses	87	20	9	116	56	17	5	78
Percentage	75	17	8	100	72	22	6	100

**25. Question: If you responded that no report was submitted to the Government, please briefly explain why**

In 2015, the RCs who said 'no' were asked to explain why a report was not provided to the government. A few RCs mentioned a major crisis situation in the country, while others explained that their UNDAF did not include adequate monitoring mechanisms. Some RCs

mentioned that DaO was not in effect in their country, or there was not an UNDAF. The latter responses seem to reflect a misunderstanding of UNDG policy, which is that **all** UNCTs should provide a report to their government at least once in an UNDAF cycle. Several RCs stated that there were plans to provide such a report to the government in the coming year.

**26. Question: Did the UNCT provide the government with such a report in the last year?**

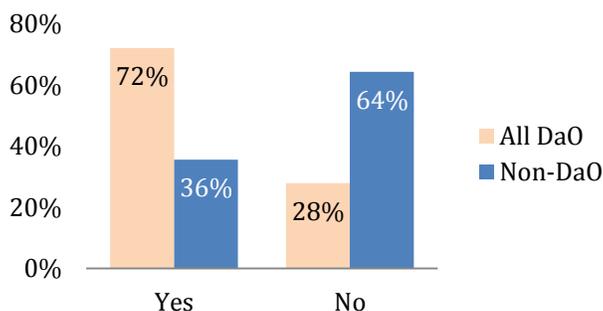
The question was addressed to the RCs who answered ‘yes’ to the preceding question (87 in 2015, and 56 in 2014), that is, they had provided a report to the government on UN system results in the last four or five years. The other respondents skipped over the question: these are marked ‘not applicable’ (N/A) in the table below.

**Table 19. Provision of a report to the government in the last year: 2014 and 2015**

UNCT provided report to government in the last year	2015				2014			
	Yes	No	N/A	Total	Yes	No	N/A	Total
Number of responses	57	30	29	116	40	16	22	78
Percentages	49	26	25	100	51	21	28	100

The table indicates that in both 2014 and 2015, almost exactly half of all UNCTs provided a report on UN system results to the government within the last year. In DaO countries, 72% of RCs reported in 2015 that the UNCT had provided such a report to the government in the previous year.

**Figure 5. Provision of a report to the government in the last year - by DaO, 2015**



The surveys of programme country governments have similarly asked whether the government receives a report from the UN Resident Coordinator on the results being achieved by the UN system in their country. The table below depicts the responses to the question in 2014 and 2015.

**Table 20. Reporting to governments on UN results, as reported by governments in 2014 and 2015**

Has a report on results achieved by the UN been received by the Government from the UN	2015				2014			
	Yes	No	Don't know	Total	Yes	No	Don't know	Total
Number of responses	61	42	24	127	34	23	13	70
Percentage	48	33	19	100	49	33	18	100

This data appears to tie in with the information from RCs, among whom around half stated that a report had been provided to the government in the last year.

**27. Question: Regardless of when the last report was provided to the Government, please indicate the extent to which the report**

The matter of the *quality* of the reporting was examined through this follow-up question. The responses reported in the table below are from the RCs who had stated that at least one report had been provided to the government in the last four or five years. For clarity, the data is presented only in terms of the *number* of RCs who chose each answer.

**Table 21. Quality dimensions of reports provided to the government, as seen by RCs, 2013-2015**

Extent to which the UN system report:	Year of survey	Total Responses #	Fully #	Partially #	Not at all #	Fully, as % of total
...was structured around the UNDAF outcomes	2015	87	79	7	1	91
	2014	56	51	4	1	91
	2013	87	60	24	3	69
...was linked to national development results	2015	87	62	22	3	71
	2014	56	34	19	3	61
	2013	86	50	35	1	58
...informed government on the results of the UNCT as a whole	2015	87	61	23	3	70
	2014	78	40	14	2	71
	2013	87	49	22	16	56

The above data suggests that there has been a significant improvement in the quality of reporting to governments in the last three years, especially as regards reports being structured around the UNDAF outcomes. At the same time, many UNCTs seem to be challenged in regard to linking the reporting to national development results and to including the work of the UN system as a whole. The improvements may be related to the growth of DaO, since RCs in DaO countries reported greater compliance with each of the quality dimensions compared with RCs in non-DaO countries.

Data on the same topic was also obtained through the Survey of Programme Countries. Thus, the governments of the 60 countries that said in 2015 they had received reports on the results being achieved by the UN system in their country were asked about the same

quality dimensions, as well as three additional dimensions. The results are given in the table below. The data is in absolute numbers, not percentages, since the numbers are relatively small.

**Table 22. Survey of Programme Country Governments: quality dimensions of reports provided to the government, 2015**

Quality dimensions	Strongly agree #	Somewhat agree #	Somewhat disagree #	Strongly disagree #	Don't know #	Total #
We receive reports on UN results regularly enough to meet our needs	14	34	10	1	1	60
The information in the reports is up-to-date	14	38	5	1	2	60
Sufficient financial data is included	10	28	12	3	7	60
The results of the whole UN system are included	12	26	13	4	5	60
Reporting is structured around the outcomes of the UNDAF (or equivalent programme framework)	27	26	4	1	1	59
Reporting is linked to national development results	19	29	9	1	2	60

Among these countries, it can be seen that most are 'somewhat' satisfied with the quality of reports, with a significant proportion expressing reservations about the regularity of reporting, the availability of financial data, the coverage of the UN system as a whole, and/or ensuring the reporting is linked to national development results. It must be emphasized that this data refers only to those countries that have been receiving a results report from the UN resident coordinator.

The answer metric in the Survey of Programme Countries is different from that in the RC survey, so comparisons cannot easily be made. However, the overall pattern whereby structuring of the report around the UNDAF is judged favourably by most countries tends to confirm the findings in the RC survey, and the less favourable responses of the governments on the other two quality factors (linked to national development results and informed the government on the results of the UNCT as a whole) also tend to confirm the results from the RC survey.

On each of the quality dimensions, governments of DaO countries gave the UN a significantly more favourable assessment than non-DaO countries, mirroring the more positive assessments from RCs in DaO countries. The UNDG has further developed the One UN Country Results Report format for standardized UNCT reporting on the results achieved under the UNDAF, for those countries that apply the DaO approach. The use of this tool will align annual results reporting closer to the UNDAF outcomes and create a more formalized annual results reporting to governments.

**28. Question: The Regional undg Peer Support Group has provided the UNCT with the support we needed in regard to the following key UNDAF steps**

Instead of a general question about support from the regional undg, a more targeted question was asked in 2015, exploring support provided to UNCTs with key aspects of the UNDAF process.

**Table 23. Regional undg support with key UNDAF steps, 2015**

Sufficient support provided with these key UNDAF steps:	Strongly agree %	Somewhat agree %	Somewhat disagree %	Strongly disagree %	Don't know %
Road Map	47	37	3%	1	12
Country Analysis	26	46	7%	7	14
Strategic Planning	36	46	3%	3	12
Monitoring and Evaluation	20	43	18%	4	15

The above table shows considerable variations in the way RCs assess the support received from the Peer Support Group (PSG) in the four key steps. The road map is the step where support was judged most adequate, while monitoring and evaluation appears to be the area most in need of improvement; this may help to explain the low level of compliance with the requirement to undertake an UNDAF evaluation.

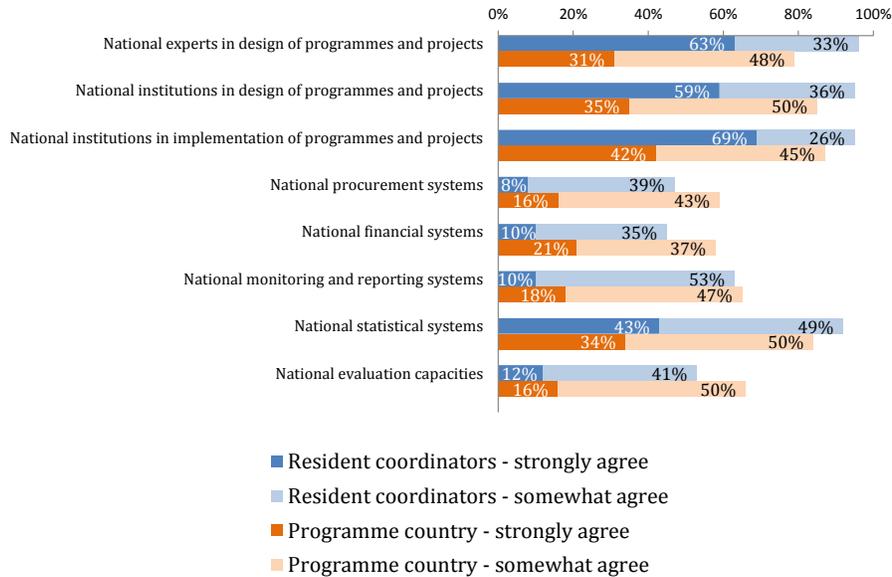
When the data is broken down by region, it emerges that the PSG for Eastern and Southern Africa is the most favourably assessed, for their support on all four of the key UNDAF steps. The next most favourably assessed PSG is that covering Europe and Central Asia.

**29. Question: Please indicate the extent to which you agree that the UN has used each of the following [capacities] as much as possible**

The surveys of resident coordinators and of programme country governments both explored how much the UN was seen to be using national systems and capacities. The responses are shown in the chart below.

**Figure 6. Survey of Programme Country Governments and Survey of Resident Coordinators: use of national capacities, 2015**

*Please indicate how much you agree or disagree that the UN has used the following approaches as much as possible: ('strongly agree' and 'somewhat agree' responses are shown)*



The chart shows that programme country governments and RCs have similar views on this topic. They broadly concur that the UN is using national experts and institutions as much as possible in the design and implementation of programmes, and is using national statistical systems as much as possible. On the other hand, they viewed the UN’s use of national procurement systems, financial systems, monitoring and reporting systems, and national evaluation capacities less favourably.

The programme country surveys in 2012 and 2014 similarly explored the views of governments on the use of national capacities by the UN system. The 2015 findings are similar to the earlier findings. The breakdowns by country income level and DaO status do not show significant differences in the pattern of responses, reinforcing the view that the use or non-use of national systems tends to be dictated by agency business models, which cannot be easily adapted to suit individual country situations.

In their comments, some respondents (both governments and RCs) acknowledged that there were capacity weaknesses on the national side. Some RCs mentioned steps they were taking to assist the country in overcoming capacity constraints, including more support for the harmonized approach to cash transfers (HACT). One RC commented that “UN policies, procedures, practices have not prevented the UN system from being effective. Rather, it is the lack of national capacities and accountability that have been the obstacles.” On the other hand, the RC in another country expressed the view that “UN rules are not flexible enough to allow to use the national systems fully. It is desirable if UN programmes can use a mix of UN and national rules in implementation.”

### III. Results-based management

*“Also requests the United Nations development system to ensure that UNDS RBM systems are not developed in isolation from national systems, and in this regard requests the UNDS to engage closely with national governments on RBM and on how results achieved by UN development assistance at the national level are defined, measured and reported on, and to, upon request, provide support to those governments and partner institutions that wish to introduce or adapt RBM, as part of their monitoring and statistical systems” (E/2015/15)*

**30. Question: To what extent has the UN country team studied with the Government how results achieved by UN development assistance in your country are defined, measured and reported on, with a view to ensuring compatibility between the national and UN results-based management (RBM) systems?**

This question was new in 2015, prompted by the ECOSOC resolution cited above. The resolution was in turn most likely prompted in part by the challenges in ensuring compatibility that were highlighted in the responses received from UN agencies and programme countries in previous surveys. The responses are shown below.

**Table 24. Compatibility between UN and national RBM systems, 2015**

To what extent has compatibility between national and UN RBM systems has been studied?	#	%
To a great extent	31	27
To some extent	67	58
Not at all	17	15
Total	115	100

A number of RCs commented that the government did not have national RBM systems, while others mentioned initiatives to develop or strengthen national systems.

**31. Question: Has the Government expressed interest in receiving support from the UN country team in strengthening national RBM systems?**

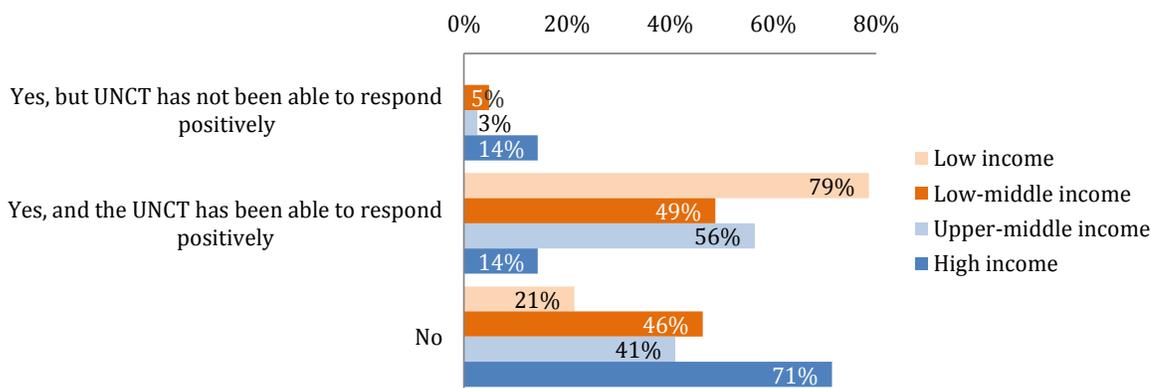
**Table 25. UN support for national RBM systems, 2015**

Has government expressed interest in receiving support with RBM?	#	%
Yes, but the UNCT has not been able to respond positively	4	3
Yes, and the UNCT has been able to respond positively	65	57
No	46	40
Total	115	100

The data breakdown reveals that three-quarters of DaO countries expressed interest in receiving support with RBM, compared with 50% of non-DaO countries. Government interest in receiving UN support with RBM also correlates with income level; low income countries being most likely to be interested in support in this area. In their comments, some

RCs mentioned that training had been arranged in conjunction with UNDAF preparation, and others mentioned that RBM training had been done by individual agencies with their counterparts.

**Figure 7. UN support for national RBM systems - by income, 2015**



**32. Question: Considering the financial management and other capacities available in the country, to what extent do you agree that the UN system is using parallel implementation units (PIUs) as little as possible?**

This question has been asked in the 2014 and 2015 survey of resident coordinators, while a variant on the question was asked in 2013. The data feeds into one of the QCPR indicators (#26). In 2013, the question was phrased the other way around: respondents were asked to agree or disagree that “the UN system is using PIUs more than necessary”. The results from each survey are shown below.

**Table 26. Use of parallel implementation units (PIUs), 2014-2015**

UN system using PIUs “as little as possible”	2015 %	2014 %
Strongly agree	25	16
Somewhat agree	37	49
Somewhat disagree	22	23
Strongly disagree	6	8
Don’t know	10	4

While almost two-thirds of RCs agreed rather than disagreed with the statement, a substantial minority of between a quarter and a third of all RCs disagreed. This is a relatively significant amount of disagreement considering the response pattern to other survey questions. A positive sign is the apparent trend in the proportion of RCs who ‘strongly agreed’ that the UN is using PIUs as little as possible, notwithstanding the variance in response rates between 2014 and 2015 may be attributable to some of this trend.

The main conclusion would be that there are considerable differences from one country to another, and the prevalence of PIUs is evidently an issue in some countries. This finding is

consistent with the repeated calls by programme countries for the UN to make more use of national systems and capacities. Disaggregating the data revealed little difference among countries according to typology.

In their comments, RCs again highlighted limited government capacities, and the efforts they were making to address the capacity gaps. One RC explained the situation as follows: “National capacities and systems require strengthening to support National Implementation Modality. HACT macro and micro assessments have been conducted to strengthen the systems. The UN is building capacities of national institutions to strengthen their financial management systems.”

#### IV. Harmonized Approach to Cash Transfers (HACT)

##### **33. Did your UNCT establish a Harmonized Approach to Cash Transfers (HACT) working group?**

As summarized in table 27 below, 84% of all respondent confirmed the establishment of a HACT working group in their country. A number of Resident Coordinators provided additional comments, which indicate that a number of the working groups have been established as a group of the Operations Management Team (OMT). Also, some Resident Coordinators pointed out that the HACT working group is limited to those agencies that implemented HACT, in most cases the groups consist of members from UNDP, UNICEF and UNFPA. HACT implementation is mandatory for these agencies.

**Table 27. Establishment of HACT working group**

Establishment of HACT working group	%	#
Yes	84	97
No	16	18
Total	100	115

##### **34. Did your country conduct a macro-assessment?**

**Table 28. Conducted macro-assessments**

Conducted macro-assessments	%	#
Yes	65	75
No	35	40
Total	100	115

**35. Did your country complete all micro-assessments?**

**Table 29. Conducted micro-assessments**

Conducted micro-assessments	%	#
Yes	54	62
No	46	53
Total	100	115

While the vast majority of respondents confirmed the establishment of a HACT working group, only 65% of all respondents stated that a macro-assessment and 54% of all respondents stated that all micro-assessments have been conducted in their country. A number of Resident Coordinators pointed out that the macro-assessment is underway or that the UNCT opted to use country assessments that were conducted through the World Bank. For the micro-assessments, some respondents underscored that the HACT implementing agencies in their country would only have a very limited number of common implementing partners. Therefore, some of the HACT implementing agencies have completed the micro-assessments for their own partners, while other agencies are still in the process of assessing their implementing partners.

**36. Did your country assume 'high-risk' for those implementing partners where no micro-assessment was conducted? (This question was not asked of all respondents)**

For those implementing partners that have not been assessed, the UNDG HACT framework established that they are considered as non-assessed. In this case, agency guidelines determine the risk and necessary programme and assurance activities to be performed during the programme cycle. Of those respondents that answered that not all micro-assessments have been conducted in their country, 32% stated that their country assumes 'high-risk' for those implementing partners that were not yet assessed. The assumption of 'high-risk' includes that implementing partners have an underdeveloped financial management system and control framework. This implies that in 31% of those countries that are implementing HACT, some of the implementing partners are neither assessed nor considered 'high-risk'. Some of the respondents underlined that the HACT-implementing agencies are still in the process of completing their micro-assessments. Another comment stated that none of the agencies implement HACT in their country due to Government constraints.

**Table 30. Partners with 'high-risk' assumption**

Did your country assume 'high-risk' for those implementing partners where no micro-assessment was conducted	%	#
Yes	32	17
No	68	36
Total	100	53

**37. Does your UNCT have a Common Assurance Plan in place?**

According to the UNDG HACT framework, assurance planning is critical to the successful HACT implementation. The planning of assurance activities is guided by capacity assessments, the UN entities' capacity to implement assurance activities, and the total budgeted programme cycle funding and the number of implementing partners. Due to the large number of implementing partners in some programme countries, HACT assurance activities need to be carefully planned and are often subject to joint efforts through all agencies that are implementing HACT. The implementation of a common assurance plan for those agencies that are implementing HACT is not mandatory. However, in a number of Delivering-as-One countries and programme countries that are implementing elements of Delivering-as-One, agencies have progressed in establishing common assurance plans, in particular in those countries where agencies have a number of common implementing partners.

**Table 31. Number of common assurance plans**

Does your UNCT have a Common Assurance Plan in place	%	#
Yes	27	31
No	73	84
Total	100	115

Twenty-seven percent of all respondents have confirmed that their UNCT has established a common assurance plan as opposed to 73%, who stated that there is no common assurance plan in their country. A number of Resident Coordinators commented that the HACT implementing agencies in their country would currently develop a common assurance plan. Also, some Resident Coordinators stated that assurance planning has been developed and implemented through the individual agencies.

**38. Please explain what has been preventing your UNCT from establishing a Common Assurance Plan. (This question was not asked of all respondents)**

A number of respondents stated that the development of a common assurance plan is either in progress or has been planned. Many respondents pointed out that, in their country, assurance planning is done individually through the HACT implementing agencies and that common assurance planning would not be a requirement. Also, some respondents added that HACT implementing agencies in their country would not share any implementing partners and, therefore, common assurance planning would not lead to any significant advantage.

**39. Is the implementation of the Common Assurance Plan on track? (This question was not asked of all respondents)**

Sixty-five percent of those respondents, who answered that their UNCT has a common assurance plan in place, confirmed that the plan would be on track.

**Table 32. Number of common assurance plans on track**

Is the implementation of the Common Assurance Plan on track	%	#
Yes	77	24
No	23	7
Total	100	31

**40. Briefly mention the reasons why assurance activities are not on track in your country. (This question was not asked of all respondents.)**

Seven respondents stated that their common assurance plans would not be on track. However, most of their comments suggest that assurance activities are in progress and that corrective measures are taking place. A full set of edited responses can be found in Annex A.

## V. South-south and Triangular Cooperation

**41. Question: To what extent does the current UNDAF or equivalent framework include programming of support to south-south and triangular cooperation?**

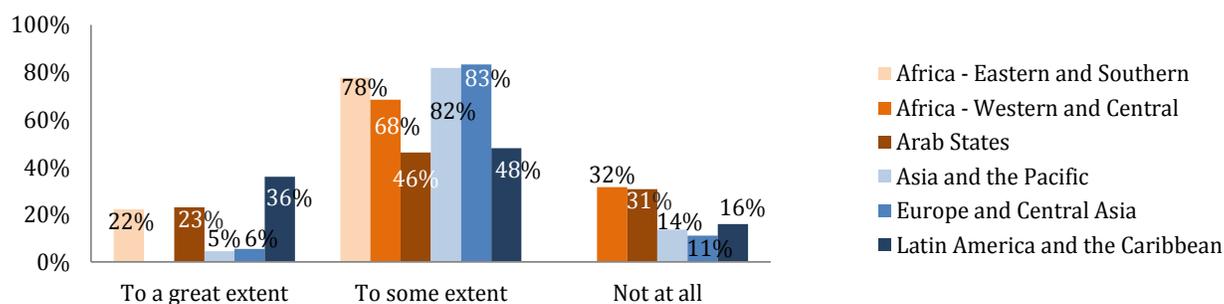
This question was included in the RC survey for the first time in 2014. The results for the two years are shown below:

**Table 33. Inclusion of south-south cooperation in the UNDAF, 2014-2015**

To what extent does UNDAF support south-south and triangular cooperation?	2015 #	2015 %	2014 #	2014 %
To a great extent	18	16	11	14
To some extent	78	68	52	67
Not at all	19	16	15	19
Total number of responses	115	100	78	100

The pattern of responses has remained remarkably similar over the two years. Within this picture, however, there were significant regional variations: UNDAFs in Latin America and the Caribbean cover south-south cooperation the most extensively (36% indicated 'to a great extent') while the RCs in the countries of West and Central Africa noted the least extensive coverage in their UNDAFs (none selected 'to a great extent'). Similarly, very few UNDAFs in low income or lower middle-income countries cover south-south cooperation 'to a great extent' (only four UNDAFs out of 69).

**Figure 8. Inclusion of south-south cooperation in the UNDAF - by region, 2015**



**42. Question: As far as you know, has the government requested the UN system to support its cooperation with other developing countries?**

**Table 34. UN to support for cooperation with other developing countries, 2014-2015**

Has government requested the UN system to support its cooperation with other developing countries?	2015 #	2015 %	2014 #	2014 %
Yes	90	78	61	78
No	16	14	14	18
Don't know	9	8	3	4
Total number of responses	115	100	78	100

As with the preceding question, while the response rates were different, the pattern of responses is remarkably similar over the two years. On this question, there were no major differences according to income level or region, although Latin America and the Caribbean again reflected the greatest involvement with south-south cooperation.

**43. Question: Based on what you know, what type of support has been requested? Please select all that apply.**

This follow-up question was addressed to the RCs (90 in 2015) who answered 'yes' to the previous question. The responses to this question in 2015 are shown in the table, along with the responses in 2014. The percentage figures reflect the number of RCs who chose the answer option as a percentage of all RCs who answered this question.

**Table 35. Types of support requested with south-south cooperation, 2014-2015**

Type of support	2015 %	2014 %
Provision of access to knowledge and expertise of other developing countries	86	84
Identification of cooperation partners	56	56
Delivery of cross-border or inter-regional projects or programmes	46	35
Support towards regional integration	46	38
Financial support	37	38

Capacity building on management of south-south cooperation	32	30
Support for negotiation capacity development	29	25
Serving as an administrative agent to manage cooperation projects	21	21
Others (please specify in the comment box below)	1	6

As with the preceding questions, the pattern of responses is very similar in the two years. In their supplementary comments, RCs mentioned specific initiatives on which the UN had provided support; these included initiatives aimed at strengthening the government's capacity to engage in south-south cooperation.

**44. Question: What have been the main challenges for the UNCT in providing the requested support for south-south and triangular cooperation?**

This follow-up question was also addressed to the RCs who answered the previous two questions. The responses to this question in 2015 are shown below, along with the responses in 2014. The table shows the number of resident coordinators that selected each type of challenge. There was no restriction on the number of challenges that each RC could select, so the maximum possible number of responses for each challenge was the total number of RCs who answered the question, which in 2015 was 90 as for the preceding question. The percentage reflects the ratio between the number of times the challenge was actually chosen and the maximum number of times it could have been chosen.

**Table 36. Challenges for the UNCT in providing support for south-south cooperation, 2014-2015**

Type of challenge	2015 #	2015 %	2014 #	2014 %
Lack of dedicated resources and capacity	55	61	39	64
Nature of the request	18	17	10	16
Business rules and procedures	15	20	10	16
Need for corporate strategy and policy	14	16	15	25
Other (Please specify)	22	24	14	23

Again, the responses in the two years closely mirror each other. Notwithstanding the different response rates, the reduction in the percentage that identified a need for corporate strategy and policy seems significant and would be consistent with the efforts by agencies to incorporate south-south cooperation into their strategic plans, as reported in the survey of agency headquarters.

In the optional comment box provided below this question, some RCs made a variety of useful comments, citing lack of funding, lack of capacities and/or lack of corporate policies or tools or language barriers as challenges. Also mentioned were the hazards for the UN where the government views south-south cooperation as complementary to the national foreign policy.

## VI. Transition from relief to development

**45. Question: Has the UNCT concluded an agreement/arrangement for response to crisis, such as a joint needs assessment, with key partners in the past three years?**

The raw data under this question from the RC surveys in 2014 and 2015 is presented in the following table. It must be emphasized that the results of the two surveys are not comparable because the question was revised in 2015, removing the reference to the World Bank as an example of a key partner and referring to the preceding three years (instead of two). For both these reasons, the proportion of 'yes' responses should be expected to increase, which it did, in absolute terms and in percentage terms.

**Table 37. Agreements with 'key partners' for response to crisis, 2014-2015**

Agreements for response to crisis concluded with key partners	2015		2014	
	#	%	#	%
Yes	49	42	18	24
No	18	16	25	33
Not applicable, this is not a transition country	48	42	32	43
Total	115	100	75	100

It is noticeable that the question was answered by many more RCs than those who are also a UN Humanitarian Coordinator. A number of RCs explained that, although they are not formally in a transition country, they had concluded relevant agreements in the context of recent cyclones, floods, refugees and other crises.

Indicator 43 in the monitoring and reporting framework previously asked for the *number* of countries with such agreements, and it does not stipulate that the agreement must be a recent one. However, the *number* will fluctuate according to the number of RCs who respond to the survey in any given year, so the indicator was altered to report on the percentage. Also, the survey question asked in 2014 and in 2015 limits the timeframe so that the agreement or arrangement must have been reached in the period since the last QCPR.

The relevant percentage for the monitoring and reporting framework is found by dividing the number of RCs reporting 'yes' by the number reporting either 'yes' or 'no'. The 'not applicable' responses are ignored. Thus the indicators for 2014 and 2015 are 42% (18/43) and 73% (49/67). It must be stressed again that, for the reasons already stated, caution should be applied when comparing the results between the two years, and as such, they are reflected in different lines in the monitoring framework.

This question is focused on countries in transition from crisis to development. In the absence of a formal categorization of such countries, for the purposes of analysis the countries with a UN Humanitarian Coordinator have served as a proxy. The responses to this question in 2014 and 2015 when filtered for responses from RC/HCs are shown below.

**Table 38. Agreements with 'key partners' for response to crisis – responses from RC/HCs**

Agreements for response to crisis concluded with key partners (countries with an RC/HC)	2015		2014	
	#	%	#	%
Yes	20	76	6	28
No	3	12	10	48
Not applicable, this is not a transition country	3	12	5	24
Total	26	100	21	100

## VII. Funding: The Common Budgetary Framework (CBF)

The concept of a Common Budgetary Framework (CBF) was developed in 2010, as an integral part of the UNDAF Action Plan, to serve as a comprehensive and results-based planning and management instrument for financial requirements and identified funding gaps for the entire UNDAF programming period (see UNDAF Action Plan Guidance Note, Annex 3 of October 2010).

A current and publicly accessible CBF is also meant to serve as an instrument to enhance transparency by providing programme country governments, development cooperation partners (donors) and other stakeholders with a simplified single reference document that covers the UN funding situation at any point in time during the programming cycle.

The extent to which the CBF serves the purposes for which it is intended can be used as an indication of coherence in overall planning, management and communication relating to mobilizing the financial resources to support coherent UN operational activities for development at the country level.

In this context, the 2012 QCPR called on the UN development system to establish and operate CBFs at the country level. Specifically, the resolution requested that: “as a practice, all available and projected financial contributions for operational activities for development of the United Nations system at the country level be consolidated within a common budgetary framework.”

**47. Question: Does a Common Budgetary Framework (CBF) exist covering the current UNDAF (or equivalent instrument) programming period in your country?**

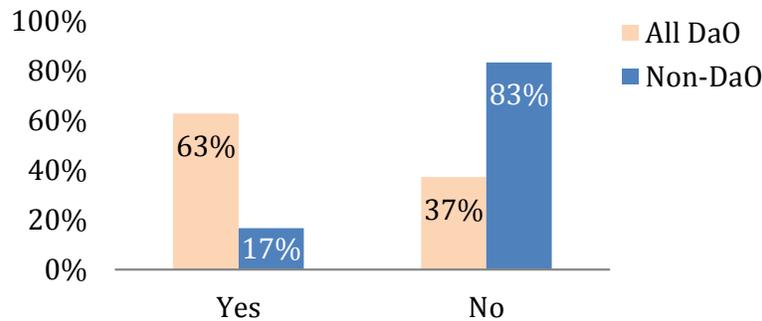
Progress in this regard has been steady, the number of countries with a CBF having grown quite rapidly in the last twelve months, as shown by the table below. At the same time, there is a long way to go to meet the QCPR mandate. The responses to the question in the RC surveys in 2014 and 2015 are shown below. The data for each year has been broken down according to whether or not the response came from a DaO country.

**Table 39. Prevalence of Common Budgetary Frameworks (CBF), 2014-2015**

Common Budgetary Framework (CBF) exists:	2015				2014			
	Responses from DaO countries		Responses from all other countries		Responses from DaO countries		Responses from all other countries	
	#	%	#	%	#	%	#	%
Yes	27	63	12	17	13	54	3	6
No	16	37	60	83	11	46	48	94
Total	43	100	72	100	24	100	51	100

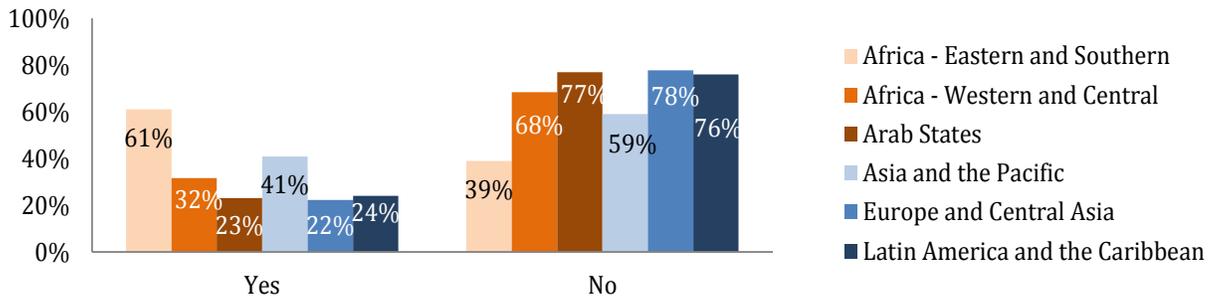
It is clear from this table that CBFs have been established in many more DaO countries than in other countries, in absolute terms and in percentage terms. It appears that CBFs have been treated largely as a DaO mechanism, whereas the QCPR resolution did not limit the situations where it would be applicable. In the survey, RCs in countries that do not yet have a CBF were asked to provide a reason. Some stated that there was resistance by some agencies, and others mentioned a lack of a clear UNDG policy.

**Figure 9. Prevalence of Common Budgetary Frameworks - by DaO, 2015**



Other breakdowns of the CBF data also show some interesting patterns. The regional breakdown shows that the UNCTs in over half the countries of Eastern and Southern Africa have established a CBF, while the proportion is less than a quarter in the Arab States, Latin America and the Caribbean, and Europe and Central Asia. See the chart below.

**Figure 10. Countries with a CBF - by region, 2015**



This data, indicating uneven application of the policy across regions, would be consistent with the comment made by some RCs about a lack of clarity in UNDG policy.

To maintain a CBF, the RC needs to receive relevant data from UNCT members on a regular basis. Accordingly, the following question was asked of RCs.

**48. Question: Do you receive information on available and projected financial contributions from agency representatives, when requested?**

**Table 40. Receipt of financial information from agencies, 2015**

Information on financial contributions received when requested:	All countries		Countries with a CBF	
	#	%	#	%
Yes	86	75	37	95
No	29	25	2	5
Total	115	100	39	100

The table shows that around three-quarters of RCs receive financial data when requested. Nearly all RCs in countries with a CBF answered ‘yes’ to the question. In their comments, RCs pointed out that the picture varied greatly across agencies, some agencies being reluctant to share financial information, and also that the process of obtaining information was time-consuming. A noteworthy comment by one RC was: “Yes, but with great effort involved in requesting, following up, pressure, and then very uneven input quality. But we persist and produce a CBF out of it because it’s an extremely useful instrument.”

**49. Question: Please assess the timeliness and quality of the data received from agency representatives, in terms whether it is adequate to make the CBF a useful and effective instrument**

The data in the table below comprises the responses to this question from the RCs in countries with a CBF who stated in the preceding question that they do receive information from agencies on financial contributions when requested.

**Table 41. Timeliness and quality of CBF data received from agencies, 2015**

Timeliness and quality of data received from agencies	#	%
Very adequate	8	22
Somewhat adequate	22	59
Somewhat inadequate	6	16
Very inadequate	1	3
Total	37	100

In addition to the seven RCs who stated under question 49 that the timeliness and quality of data received from agencies is ‘somewhat inadequate’ or ‘very inadequate’, it can be

assumed that the two RCs who answered ‘no’ to question 48 would also judge the data to be inadequate. In any event, the data suggests that there is room for improvement in terms of agencies supporting this function of the UN system at country level. In their comments, RCs mentioned again that the availability of data varies from one agency to another, and responses are not always timely. One RC mentioned that *“When preparing the UNDAF, information on funding needs were shared, but the data is not kept up to date on a regular basis.”* Another challenge was this: *“Data is difficult to compare due to agency differences in types and definitions of funding, quality control weak and system for input and production of CBF is too manual. Need sharper online platform developed to facilitate.”*

**50. Question: If you have a CBF, how often is it updated?**

The data in the table below reflects the responses from RCs who reported they had a CBF.

**Table 42. Frequency of updating the CBF, 2015**

<b>CBF is updated:</b>	<b>#</b>	<b>%</b>
More than once a year	7	18
Once a year	23	59
Less than once a year	6	15
Not applicable	3	7
Total	39	100

As may be seen, a large majority of RCs who answered this question stated that the CBF is updated at least once a year. Once a year is the most typical frequency. One of the “core elements” of the SOPs for DaO is an “annual common budgetary framework” which is analogous to a CBF that is updated at least once a year.

**51. Question: If you have a CBF, is it at all times accessible for the government, development cooperation partners (donors) and other stakeholders?**

**Table 43. Accessibility of CBF to key partners, 2015**

<b>CBF is accessible to key partners:</b>	<b>#</b>	<b>%</b>
Yes	28	72
No	9	23
Not applicable	2	5
Total	39	100

The programme country surveys have repeatedly highlighted government concerns about the adequacy of financial data from the UN system. The responses to this question indicate that at least 28 UNCTs are taking an effective step towards satisfying the concerns. More progress can be expected as CBFs become more widespread through the SOPs.

**52. Question: In your opinion, have DaO modalities led to additional funding for your country of assignment?**

**Table 44. Resource mobilization and DaO, 2015**

Have DaO modalities led to increased funding?	#	%
Yes	27	24
No	28	24
Not applicable, since we do not have relevant DaO modalities	60	52
Total	115	100

The data in the above table suggests mixed experiences. While around half of RCs responded that this question was ‘not applicable’, among the countries for which the question was relevant, 50% of RCs said ‘yes’ and 50% said ‘no’. However, when the data for countries that began implementing DaO in 2012 or earlier are viewed, the proportion that said ‘yes’ increases from 50% to 78%. Thus, it seems that DaO has a favourable effect on resource mobilization, but it takes some time.

One RC mentioned that a Joint Resource Mobilization Strategy was planned for development in 2015; in this regard, joint resource mobilization strategies are one of the core elements of the SOPs that UNDG is tracking, and according to UNDG IMS data the implementation of such strategies is at least partially underway in 30% of all countries. Along with establishing a common budgetary framework, a joint resource mobilization strategy is a means for UNCTs to increase the coherence of their activities, avoiding overlaps and instances of unproductive competition.

**53. Question: The Regional UNDG provides satisfactory support to the UNCT in the implementation of SOPs for countries wishing to adopt the DaO approach**

This question aimed to explore the views of RCs on the support provided by headquarters on DaO. The results depict a noticeable lack of consensus on the subject. The extent of disagreement is fairly high when compared with the response to some other questions in the surveys. The overall responses and the breakdown by region are shown below.

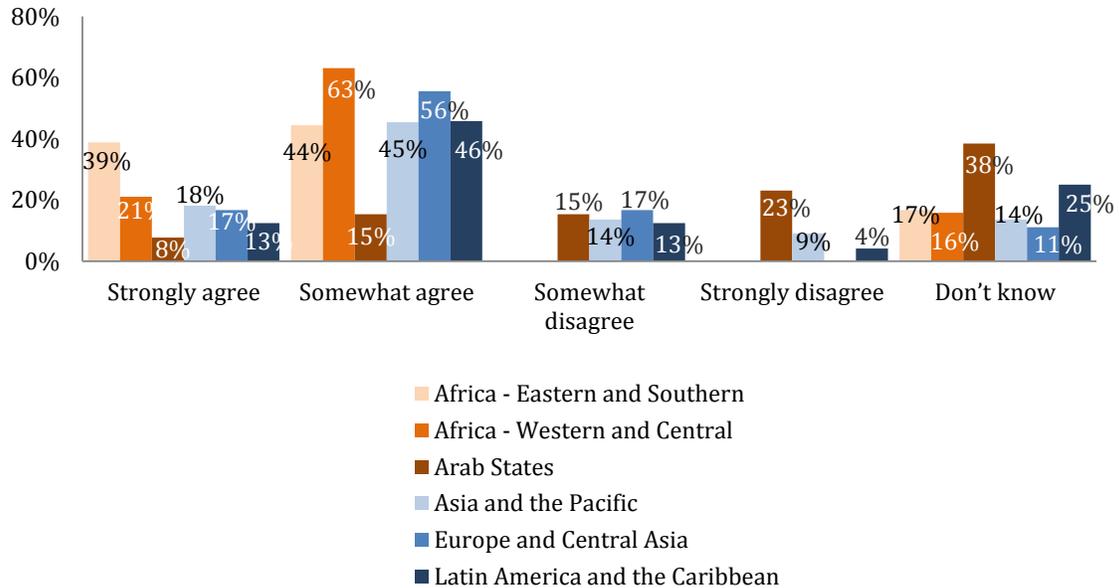
**Table 45. Regional UNDG support for DaO, 2015**

Regional UNDG provides satisfactory support	All regions %	E&S Africa %	W&C Africa %	Asia & Pacific %	Latin Am. & C %	Europe, C. Asia %	Arab States %
Strongly agree	19	39	21	18	13	17	8
Somewhat agree	47	44	63	45	46	55	15
Somewhat disagree	10	0	0	14	12	17	15
Strongly disagree	5	0	0	9	4	0	23
Don't know	19	17	16	14	25	11	39

The table reveals that support for DaO from regional teams varies significantly from one region to another. The support in the Eastern and Southern Africa region is much more highly rated than in the other regions, as can be seen in the table. The RCs in Western and

Central Africa are the next most satisfied with the support they are receiving on DaO. A certain amount of dissatisfaction can be seen in the other regions, especially Arab States.

**Figure 11. Regional UNDG support for DaO - by region, 2015**



It is apparent that many RCs feel the need for greater support in implementing DaO. Governments also feel the need for more support in relation to DaO. In the programme country survey, Governments were asked how satisfied they were with “the information about DaO provided by the UN Resident Coordinator and other UN officials.”

The responses from governments, shown in the table below, mirror the responses from RCs, reinforcing the conclusion that more needs to be done to support countries that are interested in adopting DaO.

**Table 46. Government perspective on support for DaO, 2014-2015**

Satisfaction with the information about DaO provided by the UN system	2015 %	2014 %
Very satisfied	25	26
Somewhat satisfied	48	52
Somewhat dissatisfied	13	20
Very dissatisfied	3	0
Don't know	11	2

## VIII. The Management and Accountability System of the Resident Coordinator System

*"...calls upon: (a) The United Nations development system to ensure the full implementation, including the monitoring, of the management and accountability system of the United Nations development and resident coordinator system, including the "functional firewall" for the resident coordinator system ..."* (A/RES/67/226 para 130a);  
and *"...to further strengthen their participation in the resident coordinator system and the management and accountability system, including in the areas of information-sharing, performance assessment and the functional firewall"* (E/RES/2013/5, para21)  
*"...requests United Nations entities that have not yet fully implemented the management and accountability system to do so as a matter of priority, and requests all funds and programmes, and encourages all specialized agencies, to include the formal input of the resident coordinator in the performance appraisals of their agency representatives"* (E/RES/2015/15, para 56)

**54. Question: The Resident Coordinator has contributed to the performance appraisal of UNCT members in the past 12 months**

**55. Question: The job descriptions of UNCT members, as heads of agencies, recognize the role of the Resident Coordinator**

**56. Question: Agencies report regularly to the Resident Coordinator on resource mobilization activities and programme implementation performance of UNDAF elements led by the agency**

**57. Question: The performance appraisals of UNCT members, as agency heads, include UNCT results**

In the survey of agency headquarters, agencies were asked about their policy in regard to the same elements of the Management and Accountability (M&A) system. A full analysis of this topic therefore appears in the report on the 2015 Survey of Agency Headquarters, and will not be repeated here.

To summarize the results of the agency headquarters survey, it can be said that many agencies, specialized agencies as well as funds and programmes, are arranging to participate fully in the management and accountability system. This applies especially in terms of job descriptions that acknowledge the role of the RC, recognition of reporting obligations on programmatic matters, and including UNCT results in the UNCT member's performance appraisal system. There remains less complete acceptance of the requirement to seek an input from the RC to their UNCT member's performance appraisal; five of the agencies with substantial field presence indicated that they have not yet adopted this provision.

Within this context, the RCs were asked about their experiences with the M&A system. The results are presented in the table below. A comparison of the RCs responses with the data from the Survey of Agency Headquarters reveals some gaps between policy and practice at the country level. Thus, while nearly all agencies report having revised their representatives' job descriptions to reflect their role vis-a-vis the RC, only 59% of RCs stated that all or most of the agency heads in their country have such revised job descriptions. More markedly, while almost all agencies recognise a reporting obligation to the RC, only 49% of RCs stated that all or most agencies report regularly to them on

‘resource mobilization activities and programme implementation performance of UNDAF elements led by the agency’. Again, while practically all agencies have agreed that UNCT results should be captured in their representative’s performance appraisal system, this is currently the case for ‘all’ or ‘most’ agency representatives in only 42% of countries, according to the reporting in the survey of Resident Coordinators.

**Table 47. Extent of participation of United Nations agencies in the management and accountability system at country level, as seen by RCs, 2015**

Participation by agencies in the UNDG Management and Accountability System	1. The job descriptions of UNCT members, as heads of agencies, recognize the role of the Resident Coordinator (RC)		2. Agencies report regularly to the RC on resource mobilization activities and programme implementation performance of UNDAF elements led by the agency		3. The performance appraisals of UNCT members, as agency heads, include UNCT results		4. The RC has contributed to the performance appraisal of UNCT members in the past 12 months	
	# of countries	%	# of countries	%	# of countries	%	# of countries	%
All agencies	33	29	20	17	14	12	12	11
Most agencies	34	30	37	32	35	30	22	19
Some agencies	44	38	41	36	56	49	60	52
None	4	3	17	15	10	9	21	18
Total	115	100	115	100	115	100	115	100

On the first and third of the above items, it is possible that a discrepancy between policy and practice arises because some UNCT members and some RCs are not fully informed about the reforms introduced by the respective agencies at the HQ level. However, the mixed picture in regard to the implementation of the M&A system at country level tends to be clearest in the responses on the fourth item: whether the RC contributed to the performance appraisal of UNCT members in the past 12 months. This is something on which the RCs would undoubtedly have been well informed, given that UNCT members already report on the performance of the respective RCs.

Considering that five agencies have not yet implemented this aspect of the M&A system, it seems encouraging that the RCs in 12 countries were able to provide an input to the performance appraisal of *all* representatives, and of *most* representatives in a further 22 countries. On the other hand, in a sign of how far there is still to go in implementing the M&A system, over two-thirds of RCs stated that they had provided an input to the performance appraisal of only ‘some’ or ‘none’ of the agency representatives. Furthermore, the DESA mission to Colombia in mid 2015 found that the RC had provided an input to the performance appraisal of the representative of only one agency (FAO) out of around 20 UNCT members for whom he was not the first reporting officer.

**58. Question: Please indicate which of the following positions UNDP has in the country? Please select all that apply.**

In regard to the functioning of the resident coordinator system, the QCPR resolution asked for information to be provided on the workings of the “functional firewall”, by which the RCs role as RC is segregated from the role of UNDP resident representative, particularly as regards resource mobilization.

This is a preliminary question to the operative question below, and has been included in the RC survey in 2014 and 2015. The total number of RCs who answered this question in 2015 was 115, and in 2014 it was 75; some countries with large or complex programmes have both a UNDP country director and a DRR and/or more than one of each position, which explains the totals of 130 and 88 in the table as respondents could select more than one response.

**Table 48. UNDP Country Directors and other senior staff, 2014-2015**

UNDP positions immediately below that of Resident Representative	Number of countries with the position	
	2015	2014
Country Director (CD)	48	27
Deputy Resident Representative (DRR)	71	49
Other second-ranking official	11	12
Total	130	88

Regarding the ‘other second-ranking official’, RCs used the optional comment box below this question to further explain the second-ranking official. Several mentioned that the next most senior official was a national Assistant Resident Representative. These are offices with small UN/UNDP programmes, and no doubt there would be limits on the extent to which the firewall concept could be applied in such cases.

**59. Question: Has the RC/RR signed delegation of authority letters, including for resource mobilization, with the second-ranking UNDP official?**

**Table 49. Delegation of authority by the RC, 2014-2015**

The RC has formally delegated authority for RM to the second-ranking official	2015		2014	
	All countries #	Countries with a CD #	All countries #	Countries with a CD #
Yes	91	42	44	23
No	24	6	31	4
Total number of responses	115	48	75	27

The QCPR monitoring and reporting framework has the following indicator (indicator 61e): “% of UNDP country directors that have signed delegation of authority letters, including for resource mobilization, with RC/RRs.” The responses to the two questions in 2015 show that 42 RCs in offices with Country Directors responded to the survey. Of these, all but six

reported they had signed delegation of authority letters, including for resource mobilization. Thus, based on the responses to the current survey, 88% of Country Directors have received formal delegation of authority for resource mobilization on behalf of UNDP. The corresponding figure for 2014 was 85%.

A few RCs added optional comments. Some indicated that the delegation of authority was spelled out in the officer’s terms of reference or that the UNDP Internal Control Framework (ICF) provided the basis for it. Another RC explained that the “*DRR cannot always substitute for a Head of Agency and therefore to leave the resource mobilization to him/her is undercutting UNDP's ability to raise funds.*”

It is important to note that as per the resolution 67/226 the signing of delegation of authority letters is only required where there is a Country Director (CD). Furthermore, where there is neither a CD nor DRR, these letters cannot be signed as the next-ranking official is either too junior or a national officer and as such some authorities cannot be delegated to him/her.

**60. Question: The RC office has been provided with adequate resources (human and financial) to ensure effective coordination in support of national development priorities of the country**

This statement probably provoked more disagreement than any other question in the survey. The results are shown below. Responses on this question were mostly similar regardless of country status, such as DaO or income level, although nearly all RCs in high-income countries disagreed. The responses may to some extent be seen a self-serving, but there is no doubt that the demands on RCs have been growing rapidly, especially with DaO, while resources have remained tight despite the cost-sharing arrangement that was recently introduced.

**Table 50. Capacity of Resident Coordinators offices, 2015**

<b>RC office has adequate resources to ensure effective coordination (115 responses)</b>	<b>2015 %</b>
Strongly agree	15
Somewhat agree	47
Somewhat disagree	21
Strongly disagree	17
Don't know	0

The view that RC offices are under-resourced was confirmed by the 2015 DESA field missions. It was clear that the RCs are not alone in seeing the need for more resources; the view tends to be shared by most UNCT members.

**61. Question: What was the total cash income, including funds received through global cost-sharing arrangements, of the RC Office in 2014 expressed in US\$?**

This question aims to provide data that would address the QCPR monitoring indicator 67a: “Contributions in cash provided to the RC system.” Since the survey does not cover all offices, it cannot give a total figure for such contributions. However, it can show trends in cash contributions from year to year by examining the proportion of offices in each contribution band. The table below provides the relevant data.

**Table 51. Cash income of RC offices, 2014-2015**

Cash income of RC office in 2013 and 2014 (in US dollars)	2014 (reported in 2015, 115 responses) %	2013 (reported in 2014, 75 responses) %
Up to \$50,000	1	5
\$50,000 to \$100,000	3	22
\$100,000 to \$200,000	41	43
\$200,000 to \$300,000	30	13
\$300,000 to \$400,000	8	8
Over \$400,000	17	9

The table appears to reflect a shift towards the higher income bands. Thus, 55% of RCs reported RC office income of over \$200,000 in 2015 (referring to the budget year 2014) compared with 30% of countries in 2013 where the cash income of the RC office was over \$200,000. Caution must be exercised, however, in interpreting the data, since the response rates in the two surveys were different, and relatively few low-income countries (which tend to have larger RC offices) responded in 2014. Thus, nine of the 20 countries that placed themselves in the ‘over \$400,000’ band in 2015 were low-income countries, whereas low-income countries make up only 24% of all programme countries.

**62. Question: The agreed QCPR monitoring indicators include in-kind contributions to the RC system (Indicator 67b). With this in mind, please indicate how readily you have been able to access agencies’ technical resources**

As seen above, the UNDG has addressed the topic of governance and accountability with its M&A system. While there are many elements to the system, the element most relevant in this context states that the Resident Coordinator should have “immediate access to Agencies’ technical resources to support the RC function.” The responses on this question in 2014 and 2015 were as follows.

**Table 52. RC access to agencies’ technical resources, 2014-2015**

In-kind contributions to the RC system - ease of access to agencies’ technical resources	2015 %	2014 %
Have accessed the technical resources of all agencies without difficulty	17	21
Have accessed the technical resources of some agencies without difficulty	63	64
Have generally encountered difficulty in accessing agencies’ technical resources	20	15

Looking at the breakdowns by country typology, only minor differences can be seen in relation to country income levels, DaO status, or region. The most notable differences are seen with countries in transition and those with an Integrated Mission, which were more likely to say that they accessed the technical resources of all agencies without difficulty. It is not obvious how to interpret this: a possible factor may be better resourced RC offices and/or better resourced agency offices in those countries.

A few RCs added comments. One mentioned: “*Good collaboration, e.g. requests to borrow cars, comments on documents, interview panels etc.*” Others pointed to constraints on cooperation, noting that agencies had small offices or had suffered staff cutbacks.

The monitoring a reporting framework reports in-kind contributions by proxy through the “% of RCs that have accessed the technical resources of all agencies without difficulty.”

**63. Question: To what extent do you agree that the UN system field representatives in general enjoy sufficient delegated authority to respond effectively and efficiently to national needs and priorities?**

Different levels of delegated authority among UNCT members have often been cited as a bottleneck on closer cooperation among agencies at the field level. The 2012 QCPR requested “*the members of the United Nations development system, upon the request of affected countries, to further delegate authority in the areas of programming and allocation of resources, as appropriate, to field representatives of United Nations entities in order to enable the respective entities to respond effectively and efficiently to national needs and priorities in countries in situations of transition from relief to development*” (OP103); and “*to delegate the authority to country teams to establish and manage common services and long-term agreements with third parties through standardized inter-agency agreements without further approval requirements by the end of 2013*” (OP154). This question was therefore included in the 2014 and 2015 Survey of Resident Coordinators.

**Table 53. Delegation of authority to UN system field representatives, 2014-2015**

UN system field representatives enjoy sufficient delegated authority	2015 %	2014 %
Strongly agree	24	17
Somewhat agree	62	67
Somewhat disagree	13	12
Strongly disagree	1	4

The response to this question supports the QCPR monitoring indicator 69: ‘% of RCs that ‘strongly agree’ that the UN system field representatives enjoy sufficient delegated authority to respond effectively and efficiently to national needs and priorities’. The data (above) appears to show a modest positive trend. Under optional comments, RCs pointed out that there were large variations among agencies, noting some representatives of specialized agencies have received less delegated authority, which reconfirms a finding in the 2013 RC survey. The DESA mission to Colombia saw first-hand how levels of delegated authority vary, and how it remains an obstacle to good cooperation in the field.

## IX. Communicating as One

This was a new section in 2014, included in light of the Standard Operating Procedures on this topic. The 2014 data served as a baseline for assessing progress in the respective areas of cooperation and coherence over the coming years. The areas included the existence of a UN communications group under the UNCT and the existence of a common UN website, among others. Tracking in these areas is now managed by UNDG/DOCO through the IMS.

### 64. Question: Does the UNCT have a Joint Communications Strategy?

The table below shows the number and percentage of RCs who responded 'yes' or 'no' on this question, according to whether or not they were classified as being in a DaO country.

**Table 54. UNCTs with a Joint Communications Strategy, 2015**

UNCT has a Joint Communications Strategy		Yes		No	
		#	%	#	%
2015	Non-DaO countries	42	58	30	42
	DaO countries	33	77	10	23
	Total	75	65	40	35
2014	Non-DaO countries	24	47	27	53
	DaO countries	21	88	3	12
	Total	45	60	30	40

The table shows that there has been a modest increase (from 60% to 65%) in the proportion of countries where the UNCT has a joint communications strategy, and also that such strategies are more common in DaO countries than non-DaO countries.

36 RCs contributed optional comments. Many explained that a joint communications strategy was being developed, that an old one was being updated, or referred to the establishment of a communications group. RCs also mentioned a variety of obstacles, including: emphasis on activities rather than a *strategy*, resistance to DaO by staff of the UN Division of Public Information (DPI), and lack of agreement on a definition.

### 65. Question: In your opinion, to what extent does the strategy promote adequate linkages between the UN's normative and operational activities?

The RCs who answered 'yes' to the previous question (45 in 2014, and 75 in 2015) were asked this follow-up question. The results are shown below.

**Table 55. Communications strategy and normative-operational linkages, 2014-2015**

To what extent does the strategy promote adequate linkages between the UN's normative and operational activities:	2015		2014	
	#	%	#	%
To a large extent	37	49	22	49
To a moderate extent	31	41	15	33
To a small extent	5	7	8	18
Not at all	2	3	0	0
Total	75	100	45	100

Considering the different response rates, the pattern of responses is broadly similar in each of the years. Within the overall picture, however, significant differences emerge when the data for 2015 is broken down by SIDS status and size of programme. That is, in SIDS and in countries with small programmes, RCs were significantly more likely to say that the strategy promotes adequate linkages between the UN’s normative and operational activities “to a large extent”. A similar pattern was seen in 2014. The responses from DaO countries on this question did not differ substantially from those of other countries that have a joint communications strategy.

## X. Regional dimensions

**66. Question: Regional UNDG Teams provide effective support on the highest priority regional or sub-regional issues of relevance to the country.**

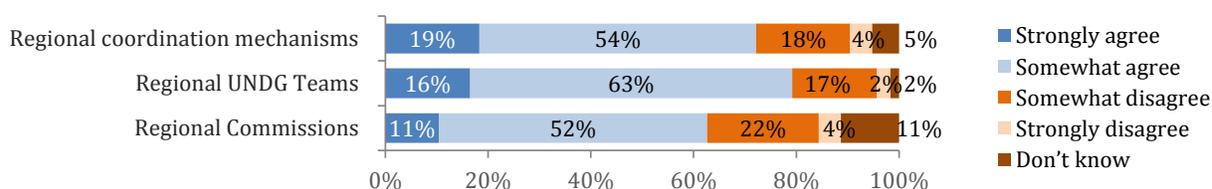
**67. Question: Regional Coordination Mechanisms provide effective support on the highest priority regional or sub-regional issues of relevance to the country.**

**68. Question: Regional Commissions provide effective support on the highest priority regional or sub-regional issues of relevance to the country.**

**Table 56. Support from the Regional UNDG, Regional Coordination Mechanisms, and the UN Regional Commissions, 2015**

Effective support on highest priority issues is provided by:	Strongly agree %	Somewhat agree %	Somewhat disagree %	Strongly disagree %	Don't know %
Regional UNDG (R-UNDG)	16	63	17	2	2
Regional Coordination Mechanisms (RCM)	19	54	18	4	5
Regional Commissions	11	52	22	4	11

**Figure 12. Support from the Regional UNDGs, Regional Coordination Mechanisms and the UN Regional Commissions, 2015**

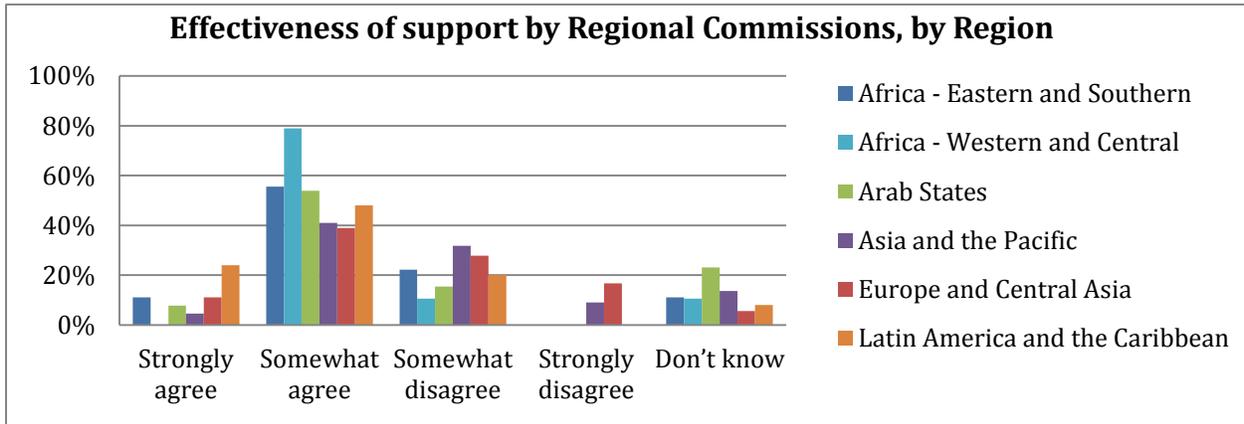


Overall, there is limited endorsement of these statements for both regional coordination mechanisms (the R-UNDGs and the RCMs) as well as for the UN Regional Commissions, and the regional commissions scored lower ratings than the R-UNDGs and RCMs with regard to effective support on highest priority regional and sub-regional issues.

In terms of distribution by region, for R-UNDGs, Africa (both regions) fared better than other regions. As for the Regional Coordination Mechanisms (RCMs), the responses did not differ greatly from one region to another.

Regional commissions were perceived as relatively more effective in Africa, Latin America and the Caribbean and Arab States, in comparison with Asia and the Pacific, and Europe and Central Asia (See figure 13).

**Figure 13. Support from the UN Regional Commissions: Breakdown by region, 2015**



## XI. Best practices

**69. Please describe a best practice and/or innovation in any area of work that you would like to share.**

*In your response, please consider the following: Title: Timeframe [beginning/end]: Entities & Partners involved: A brief description of: - the issue that needed to be addressed - the solution that was developed -what was put in place/developed/achieved? -lessons learned (It may be useful to draft your response in a Word Document and then copy and paste your response into the text box below)*

***This question sought qualitative information. See Annex.***

## XII. General comments

**70. Please provide any additional comments you may wish to make on any aspect of implementing the QCPR resolution at the country level**

The Resident Coordinators were provided the opportunity to comment on any aspects of implementing the QCPR provisions at country level through this question.

Thirty-two RCs took the opportunity to make comments, mainly around the themes of coherence and implementing DaO.

Many RCs saw a need for greater commitment by the UN system to make DaO work, echoing some of the comments from programme countries. In particular, RCs called on agencies to “*adapt their internal systems to more coherent and cohesive intervention and development of joint programmes*”,

to revise job descriptions of agency representatives to include clear responsibilities to support UN coordination, to provide more support to DaO principles and to support the RC (in kind, programmatically, financially, etc.), to “*fully implement mutual accountability*” (still not implemented uniformly by all agencies in UNDG), to harmonize financial reporting and monitoring systems at Headquarters level which is “essential for operational coherence and joint action at country level”, to carry out more staff training including training for heads of agency, and to synchronize planning cycles of agencies. One RC expressed the view that current UNDG’s approach with the SOPs was diluting the DaO concept, reversing some gains made by the pilot and self-starter countries, such as the abandonment of the common country programme document.

While most comments proposed ways to improve the implementation of the QCPR agenda, some RCs took the opportunity to acknowledge the progress made in their country of assignment as a result of the UNDAF, Delivering as One, and the introduction of the Standing Operating Procedures for DaO. RCs also expressed appreciation of the new cost-sharing arrangement for the RC System, support from the regional UNDG and regional commissions in difficult country situations, and developing a Business Operations Strategy (BOS). The Joint Office of UNDP, UNFPA and UNICEF commented that their experience “offers very useful lessons learned for how to achieve greater programmatic and operational integration.”

### **XIII. Other data sources**

See Methodological note on surveys