



UNITED NATIONS  
SUSTAINABLE  
DEVELOPMENT  
GROUP  
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# Guidance Note on a New Generation of Joint Programmes - Annexes

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October 2022

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## Acronyms and Abbreviations

AA	Administrative Agent ( <i>pass-through fund management modality</i> )
BOS	United Nations Business Operations Strategy (country level)
CA	Convening Agent ( <i>pass-through fund management modality</i> )
CBO; CBS	Common Back Office; Common Business Services
CEB	United Nations Chief Executives Board
CF	Cooperation Framework ( <i>short version of UNSDCF</i> )
CSO	Civil Society Organization
DCO	United Nations Development Coordination Office
ERP	Enterprise Resource Planning systems of UNOs
FMOG	United Nations Fiduciary Management and Oversight Group
FMM	Fund management modalities for joint programmes: parallel, consolidated, or pass-through
GEWE	Gender equality and women's empowerment
HDP	Humanitarian-Development-Peace collaboration
HRP	Humanitarian Response Plan
IP	Implementing Partner(s)
JP	Joint Programme
JWP	CF Joint Work Plan
LNOB	Leave no one behind
MA	Managing Agent ( <i>consolidated fund management modality</i> )
MAF	Management Accountability Framework of the UN Development and UNRC System
MDTF	Multi-Donor Trust Fund ( <i>a pooled fund</i> )
OMT	Operations Management Team ( <i>country level, responsible for BOS</i> )
PUNOs	Participating United Nations Organizations
QCPR	Quadrennial Comprehensive Policy Review
RBB	Results Based Budgeting (a key element of RBM)
RBM	Results Based Management
UNRC/ UNRCO	United Nations Resident Coordinator/ Resident Coordinator's Office
RG	CF Results Groups
SC	Joint Programme Steering Committee
SDGs	Sustainable Development Goals
ToC	Theory of change
UNCT	United Nations Country Team
UNEG	United Nations Evaluation Group
UNO	United Nations Organization
UNSDCF	United Nations Sustainable Development Cooperation Framework ( <i>see CF</i> )
UNSDG	United Nations Sustainable Development Group ( <i>formerly UNDG</i> )

## Annex A. Joint Programme Documents

1. A joint programme (JP) document enables the partners to implement harmonized, results focused joint programmes with minimum documentation. Based upon the approved concept, a draft JP document is prepared by the lead participating UN Organization (PUNO) with programme staff of PUNOs and non-UN partners (*as applicable*). It includes a theory of change (ToC) and a single integrated JP results framework, work plan and budget. These are derived from the CF and related joint work plan (JWP) and funding framework.<sup>1</sup>
2. Preparation of the JP document meets the minimum criteria and quality standards, including the guiding principles. There are **two (2) standard templates** for use by all JPs:
  - (1) A Standard JP document for more complex programmes; and
  - (2) A Simplified JP document for less complex programmes at or below a budget threshold of USD \$1 million total per year.

The templates may be adjusted to reflect requirements of the donors or the pooled fund mechanism.

3. Required legal documents for fund management modalities: Parallel, Consolidated, and Pass-through<sup>2</sup> (Annex D)

Legal documents		
Parallel	Consolidated	Pass-through
» JP document [no additional legal instruments]	» JP document » Memorandum of Understanding between PUNOs and the Managing Agent (MA)	» JP document » Memorandum of Understanding <sup>3</sup> between PUNOs and the Administrative Agent (AA) and Convening Agent (CA) » Standard Administrative Arrangement between the Donor and the AA

4. The JP document is approved and signed by all PUNOs, national and/or sub-national government partners, and non-UN partners.<sup>4</sup> Approval and signature of the JP triggers the establishment of the JP steering committee and JP team.

<sup>1</sup> The JP results framework and work plan is derived from the relevant CF JWP. It shows a planned contribution to one or more CF outcomes and may include CF outputs, sub-outputs and PUNO activities.

<sup>2</sup> **Parallel:** PUNOs manage funds separately; **Consolidated:** PUNOs transfer funds to another PUNO, designated as the Managing Agent (MA); **Pass-through:** PUNOs appoint one UNO as the Administrative Agent (AA) to set up a common fund account in which funding from different donors is co-mingled. Financial transfers are made between the AA and PUNOs. A PUNO is selected to serve as Convening Agent (CA) to provide coordination and programmatic leadership. Pass-through mechanisms are always UN inter-agency pooled funds which can operate as stand-alone JPs and country, regional and global multi partner trust funds (MPTFs), as per UN financial data standards.

<sup>3</sup> When the JP is funded by an existing global, regional or country MPTF, a new MoU or SAA is not needed. These are signed at the level of the MPTF.

<sup>4</sup> Implementing partners (IPs) of PUNOs do not sign the JP document. Once it is approved and signed, the JP results framework, work plan and budget is signed separately by Implementing partners (IPs) of PUNOs.

## A1. Template 1. Standard

### Cover Pages

<b>Joint programme title:</b>	
Outcomes(s): <verbatim from CF>	
Duration:	
Anticipated start and end dates:	Start:                      End:
JP Team	
Lead PUNO:	
PUNOs:	
Fund management modality: (Parallel; Consolidated; Pass-through)	
» Managing Agent: (Consolidated only)	<i>Include name and email of responsible officer</i>
» Administrative Agent: (Pass-through only)	<i>Include name and email of responsible officer</i>
» Convening Agent: (Pass-through only)	<i>Include name and email of responsible officer</i>
<b>Total estimated budget:</b> <sup>5</sup>	
Out of which:	
» Funded	
» Un-funded	
<b>Source of funds:</b>	
» Government	
» PUNO 1	
» PUNO 2	
» PUNO 3	
» PUNO 4...	
» Donor 1	
» Donor 2...	
» Non-UN partner 1	
» Non-UN partner 2...	

**Mandatory text:** The **legal basis** for the joint programme is the Legal Annex for the signed United Nations Sustainable Development Cooperation Framework (20\_\_-20\_\_). It refers to the cooperation or assistance agreements or other agreements that are the existing legal basis for the relationship between the Government of [++] and each Participating UN Organization.

**In countries without a CF:** The legal basis for the joint programme comprises the cooperation or assistance agreements or other agreements that are the existing legal basis for the relationship between the Government and each PUNO.

<sup>5</sup> Includes programme costs and indirect support costs

## Declaration of commitment and signatures

By signing this Joint Programme document, all signatories commit to work together in a spirit of partnership to achieve the results identified in the **results framework, work plan and budget**.

Co-Chairs of Steering Committee	
<b>Government</b>	<b>United Nations Country Team</b>
<i>Name of Representative</i>	<i>Name of Representative<sup>6</sup></i>
<i>Signature</i>	<i>Signature</i>
<i>Name of Ministry or Department</i>	<i>Name of Organization</i>
<i>Date</i>	<i>Date</i>
UN Organizations	
<i>Name of Representative</i>	<i>Name of Representative</i>
<i>Signature</i>	<i>Signature</i>
<i>Name of Organization</i>	<i>Name of Organization</i>
<i>Date</i>	<i>Date</i>
<i>Name of Representative</i>	<i>Name of Representative</i>
<i>Signature</i>	<i>Signature</i>
<i>Name of Organization</i>	<i>Name of Organization</i>
<i>Date</i>	<i>Date</i>
Non-UN Partners (as applicable)	
<i>Name of Representative</i>	<i>Name of Representative</i>
<i>Signature</i>	<i>Signature</i>
<i>Name of Organization</i>	<i>Name of Organization</i>
<i>Date</i>	<i>Date</i>

### 1. Executive Summary (One page)

The executive summary contains a summary of all sections with emphasis on: (1) The rationale and relevance of the joint programme; (2) The expected results and their contribution to the CF outcome(s), country priorities, and related SDG targets; (3) Intended beneficiaries with emphasis on vulnerable groups; and (4) the JP partners including all PUNOs, Government, and non-UN partners (as applicable).

### 2. Situation Analysis (one page)

This section provides a brief, evidence-based summary of the development challenges to be addressed.

It is obtained from the CF, the Common Country Analysis (CCA), and other country analytical work including the [Humanitarian Needs Overview](#)<sup>7</sup> (as relevant). It outlines the economic, social, political, environmental, and institutional context for the joint programme. It includes a gender analysis that, along with the other considerations (theory of change, results framework), is consistent with the selected Gender Equality Marker code. It identifies the development or human rights challenges to be addressed; provides specific, current and disaggregated data on these challenges, major underlying and root causes, and the key capacity gaps. According to guidance for the CCA, the situation summary:

<sup>6</sup> Normally the UN co-chair is the chair of the relevant CF Results Group and JWP from which the JP is derived. The UN co-chair represents and acts on behalf of the UNCT. Secretariat functions are provided by the lead PUNO.

<sup>7</sup> Inter-Agency Standing Committee (IASC), '2022 [Joint Intersectoral Analysis Framework](#) (JIAF) Guidance'.

- » Identifies the immediate, underlying and root **causes of inequalities and vulnerability**; including the different ways that women and girls and men and boys experience the identified problems, and respond to gaps in fundamental rights, including discrimination, and power-imbalances.
- » Offers evidence to justify the JP based upon **high quality, disaggregated data**<sup>8</sup>, with emphasis is on critical SDG-related data gaps and gender-sensitive and sex disaggregated statistics.
- » Examines, as appropriate to the JP, normative and institutional gaps related to economic transformation, social exclusion of identified vulnerable groups, environmental sustainability and climate change adaptation and mitigation, governance and rule of law, and humanitarian-development-peace collaboration.

### 3. Rationale and theory of change *(two pages)*

Based upon section 2, this section offers the rationale and theory of change for the JP. It explains the major changes expected from the JP and how people, and especially vulnerable groups, will benefit. It makes reference to the integrated results framework, work plan and budget (Annex A). It includes:

- » A brief [theory of change](#) that is obtained from the CF. This defines the change pathway required to achieve the expected results, including major assumptions, risks and risk mitigation measures;
- » Description of the expected JP results; normally, this is one or more CF outputs, sub-outputs (derived from the related CF JWP), contributing logically to a CF outcome, country priorities, and related SDG targets;
- » Specific programme strategies and how they will address the major underlying and root causes of the problems to be addressed, including the key capacity gaps of institutions (duty-bearers) and people (rights-holders);
- » A brief description of the division of labour between PUNOs and partners, the comparative advantages and added value of each to achieve the expected results;
- » Reference to any critical cross-cutting concerns, related to the guiding principles; and
- » Analysis of how the JP strategy and results will *complement* the efforts of other development partners and programmes working on the same problems.

There are two sub-sections:

**(1) Lessons:** A summary of major lessons from past programme experience, including how recommendations and observations from human rights mechanisms and other relevant supervisory mechanisms have been considered and used in the design of the JP.<sup>9</sup>

**(2) Sustainability plan and exit strategy:** A brief description about how expected JP results will be sustained beyond the timeline of the JP and CF with a focus on: (1) Community sustainability, (2) Financial sustainability, and (3) institutional sustainability. It describes expected roles and responsibilities of government, donors, and IPs. As part of the plan, the JP SC and JP team remain operational for a minimum of three months after operational closure of the JP to offer advice, and support transition efforts and capacity development. The JP team will consider the use of UN Volunteers to carry-out sustainability and transition arrangements.

### 4. Steering and management arrangements *(half page)*

This section describes steering and management arrangements for the JP. This section does not substitute for organization-specific arrangements required by the respective internal policies of

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<sup>8</sup> Disaggregated by income, sex, age, education level, ethnicity, migratory status, disability and geographic location

<sup>9</sup> [International human rights mechanisms and supervisory systems](#) under the UN are charter-based or treaty-based, including ILO conventions and the relevant [supervisory mechanisms](#).

PUNOs. It offers a brief description of key groups, their composition, and major roles and responsibilities:

It includes:

- » The JP Steering Committee (SC) See: ToR
- » The JP Team See: ToR

See section 2.3: Role of the UN Resident Coordinator (UNRC) and Resident Coordinator's Office (UNRCO).

As relevant, this section will indicate common business services that will be used to enhance JP implementation.

## 5. Fund management modality *(Two paras)*

There is a choice of **three fund management modalities** (FMM): parallel, consolidated, or pass-through. These are underpinned by legal instruments that govern financial management and accountabilities. This section specifies the chosen FMM. For the pass-through and consolidated FMM, it provides a brief description of the special roles and the PUNOs assigned to play them.

- » Consolidated FMM: PUNOs select the Managing Agent (MA) and inform the UNRC. Normally the lead PUNO is the MA.
- » Pass-through FMM: (1) PUNOs select the Administrative Agent (AA) and inform the UNRC. When a JP responds to a country, regional or global pooled or vertical fund, the AA is indicated by the pooled fund TOR and governance arrangements; (2) PUNOs select the Convening Agent (CA) and inform the UNRC. The lead PUNO is the CA. When the pooled fund *requires* a coordination role for the UNRC, the selection of the CA/Lead PUNO is done in consultation with the UNRC.

See Annex D for specific information about each FMM, management aspects and legal instruments, indicative budget thresholds, and a flow chart to guide selection.

[Harmonized Approach to Cash Transfers](#) (HACT): The HACT is applied by UNDP, UNFPA, UNICEF, UN Women, WFP and other United Nations entities and interagency programmes. When these organizations are PUNOs, this sub-section makes reference to *already agreed arrangements*<sup>10</sup> to transfer cash to implementing partners, stipulated in the CF Legal Annex and Country Programme Documents or other programme documents of these organizations.

**Model text:** The following PUNOs apply a Harmonized Approach to Cash Transfers (HACT): < *list organizations*>.

All cash transfers to an implementing partner are based on the Joint Programme Work Plan, *in accordance with* the agreed arrangements in the Legal Annex of the approved UNSDCF and/or arrangements in the respective country programme documents of PUNOs.

## 6. Monitoring, learning, and reporting *(half page)*

This section summarizes the arrangements for:

(1) Monitoring and learning by the JP team (JP step 9): This is done under the coordination and programmatic leadership of the lead PUNO, and includes data collection, reviews or studies, and joint field visits. This section includes knowledge management (KM) activities which are shown in the work plan and budget. For PUNOs that apply HACT, this includes quality assurance, scheduled audit and HACT spot checks, as required. Some arrangements for monitoring depend upon the choice of FMM (See Annex D).

<sup>10</sup> This includes: Selected cash transfer modalities, the size and frequency of disbursements, and the scope and frequency of monitoring, reporting, assurance and audit.



(2) Reporting and communications (JP Step 11): This section describes arrangements for reporting and communications about JP results. One consolidated, results-based annual report is produced that includes programmatic and financial elements. It provides evidence about progress toward JP results, based upon monitoring reports and field missions, along with updated data for indicators (as *available*). Relevant parts of the CF annual results report may be used, unless otherwise required by the donor or pooled fund mechanism. When a separate report is required, the standard report template is used.<sup>11</sup>

(3) Annual progress reviews<sup>12</sup> (JP step 12): Arrangements, roles and responsibilities for conducting annual progress reviews.

## **7. Evaluation** (*two paragraphs*)

This section describes arrangements, responsibilities and timing for the JP [joint evaluation](#) (as *required*), including how evaluation findings and recommendations will be used by the JP partners and other stakeholders.

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<sup>11</sup> The template is aligned with the UNSDG Standard Operational Format and Guidelines for Reporting Progress on the Cooperation Framework.

<sup>12</sup> This may be timed to coincide with CF annual review

## ANNEX A. Integrated results framework, work plan and budget

The integrated JP results framework, work plan and budget is prepared on a rolling basis. It illustrates a high level of coordination and sequencing to ensure complementarity and coherence between the planned activities of programme partners to achieve results. Normally, expected JP results will be one or more CF outputs, sub-outputs and related PUNO activities, contributing logically to a CF outcome, country priorities, and related SDG targets. These are derived from the CF results framework and relevant JWP. Five percent of the JP budget is allocated for monitoring, reporting, evaluation and audit, unless otherwise required by the donor or pooled fund. Normally, each PUNO will allocate five percent of its budget share. The budget uses the UNSDG approved harmonized budget categories.<sup>13</sup> Budgets for monitoring, evaluation and audit are shown in separate budget lines.

### **! Important:**

Planned JP results and activities are coded with [gender equality, human rights, and peace markers](#). This adheres to recommendation from the High-Level Task Force on Financing for Gender Equality that all budget templates across entities enable results-based budgeting (RBB), aligned with the gender equality marker.

Indicators are taken directly from CF results framework and JWP. Outcome indicators will correspond to one or more SDG indicators. Both outcome and output indicators are disaggregated<sup>14</sup> and include quantitative and qualitative measures for how JP results will address gender equality dimensions and reach vulnerable groups (LNOB).

Include at least one outcome indicator to measure expected catalytic changes, for example:

*Qualitative:* Extent to which JP strategy and results have accelerated policy change(s) contributing to SDG achievement in terms of scale (geographic coverage) or scope (additional sectors or themes); or

*Quantitative:* Amount of additional funding or financing ('000 USD) leveraged/mobilized by JP strategy and results.

All results and related budgets under a JP are tagged as 'joint' in UN Info and UNO ERP systems for reporting on the QCPR and Funding Compact.<sup>15</sup>

**Note.** Once the JP document is approved and signed, the JP results framework, work plan and budget is signed separately by Implementing partners (IPs) of PUNOs.

<sup>13</sup> <https://mptf.undp.org/document/download/15822>

<sup>14</sup> As far as possible, data are disaggregated by gender, race, ethnicity, class, age, disability, religion, language, caste, national or social origin, sexual orientation and gender identity, and other forms of discrimination prohibited by international law. CF Consolidated Annexes, LNOB, 17.

<sup>15</sup> UN General Assembly, ECOSOC, Report of the Secretary General-[Funding Compact](#), A/74/73/Add.1, 02 April 2019. Indicator 1.3. Fraction of UNSDG entities reporting at least 15% of development related expenditures on joint activities.



## A2. Template 2. Simplified

**At or below a total budget of USD \$1 million per year** and so long as most resources and capacities are in place and UN organizations are ready to deliver, a JP can be developed and launched by two or more UN organizations with a three-page JP document and a one-page work plan and budget. When the JP responds to a call from a global or regional pooled fund, the standard template is used.

### Cover Pages

<b>Joint programme title:</b>		
Outcomes(s): <verbatim from CF>		
Duration:		
Anticipated start and end dates:	Start:	End:
JP Team		
Lead PUNO:		
PUNOs:		
Fund management modality: (Parallel; Consolidated; Pass-through)		
» Managing Agent: (Consolidated only)	Include name and email of responsible officer	
» Administrative Agent: (Pass-through only)	Include name and email of responsible officer	
» Convening Agent: (Pass-through only)	Include name and email of responsible officer	
<b>Total estimated budget:</b> <sup>16</sup>		
Out of which:		
» Funded		
» Un-funded		
<b>Source of funds:</b>		
» Government		
» PUNO 1		
» PUNO 2		
» PUNO 3		
» PUNO 4...		
» Donor 1		
» Donor 2...		
» Non-UN partner 1		
» Non-UN partner 2...		

**Mandatory text:** The **legal basis** for the joint programme is the Legal Annex for the signed United Nations Sustainable Development Cooperation Framework (20\_\_-20\_\_). It refers to the cooperation or assistance agreements or other agreements that are the existing legal basis for the relationship between the Government of [++] and each Participating UN Organization.

**In countries without a CF:** The legal basis for the joint programme comprises the cooperation or assistance agreements or other agreements that are the existing legal basis for the relationship between the Government of [++] and each Participating UN Organization.

<sup>16</sup> Includes programme costs and indirect support costs

## Declaration of commitment and signatures

By signing this Joint Programme document, all signatories commit to work together in a spirit of partnership to achieve the results identified in the **results framework, work plan and budget**.

Co-Chairs of Steering Committee	
<b>Government</b>	<b>United Nations Country Team</b>
<i>Name of Representative</i>	<i>Name of Representative<sup>17</sup></i>
<i>Signature</i>	<i>Signature</i>
<i>Name of Ministry or Department</i>	<i>Name of Organization</i>
<i>Date</i>	<i>Date</i>
UN Organizations	
<i>Name of Representative</i>	<i>Name of Representative</i>
<i>Signature</i>	<i>Signature</i>
<i>Name of Organization</i>	<i>Name of Organization</i>
<i>Date</i>	<i>Date</i>
<i>Name of Representative</i>	<i>Name of Representative</i>
<i>Signature</i>	<i>Signature</i>
<i>Name of Organization</i>	<i>Name of Organization</i>
<i>Date</i>	<i>Date</i>
Non-UN Partners (as applicable)	
<i>Name of Representative</i>	<i>Name of Representative</i>
<i>Signature</i>	<i>Signature</i>
<i>Name of Organization</i>	<i>Name of Organization</i>
<i>Date</i>	<i>Date</i>

### 1. Rationale and theory of change (three paragraphs)

This section offers a brief rationale and [theory of change](#) for the JP. These are obtained from the CF. At a minimum the section will describe:

- (1) The development challenges to be addressed with available, disaggregated data. This is obtained from the CF, the Common Country Analysis (CCA), and other country analytical work including the [Humanitarian Needs Overview](#)<sup>18</sup> (as relevant);
- (2) Expected JP results, with explanation about how people, and especially vulnerable groups, will benefit;
- (3) Programme strategies, major assumptions and risks and risk mitigation measures;
- (4) How JP results and strategies will *complement* the efforts of other development partners and programmes working on the same problems; and
- (5) A brief description about how expected JP results will be sustained beyond the timeline of the JP and CF.

### 2. Steering and management arrangements (one paragraph)

<sup>17</sup> Normally the UN co-chair is the chair of the relevant CF Results Group and JWP from which the JP is derived. The UN co-chair represents and acts on behalf of the UNCT. Secretariat functions are provided by the lead PUNO.

<sup>18</sup> Inter-Agency Standing Committee (IASC), '2022 [Joint Intersectoral Analysis Framework](#) (JIAF) Guidance'.

This section describes steering and management arrangements for the JP. It does not substitute for organization-specific arrangements required by the respective internal policies of PUNOs. It offers a brief description of key groups, their composition, and major roles and responsibilities. It includes:

- » The **JP Steering Committee (SC)** See: ToR
- » **The JP Team** See: ToR

See section 2.3: Role of the UN Resident Coordinator (UNRC) and Resident Coordinator's Office (UNRCO).

As relevant, this section will indicate common business services that will be used to enhance JP implementation.

### **3. Fund management modality** (*two paragraphs*)

See Standard template.

### **4. Monitoring, learning, and reporting** (*two paragraphs*)

This section summarizes the arrangements for:

(1) Monitoring and learning by the JP team (JP step 9): This is done under the coordination and programmatic leadership of the lead PUNO, and includes data collection, reviews or studies, and joint field visits. For PUNOs that apply HACT, this includes quality assurance, scheduled audit and HACT spot checks, as required. Some arrangements for monitoring depend upon the choice of FMM (See Annex D).

(2) Reporting and communications (JP Step 11): One consolidated, results-based annual report is produced that includes programmatic and financial elements. It provides evidence about progress toward JP results, based upon monitoring reports and field missions, along with updated data for indicators (*as available*). Relevant parts of the CF annual results report may be used, unless otherwise required by the donor or pooled fund mechanism. When a separate report is required, the standard report template is used.

(3) Annual progress reviews<sup>19</sup> (JP step 12): Arrangements, roles and responsibilities for conducting annual progress reviews.

### **5. Evaluation** (*One para*)

This section describes arrangements, responsibilities and timing for the JP joint evaluation (*as required*), including how evaluation findings and recommendations will be used by the JP partners and other stakeholders.

## **ANNEX A. Integrated results framework, work plan and budget**

See Standard template.

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<sup>19</sup> This may be timed to coincide with CF annual review

### A3. Results-based Annual Report: Standard Template

The JP team produces one consolidated, results-based annual report. This standard report template is applicable to all JPs. It is harmonized with the reporting template for the CF. Relevant parts of the CF annual results report may be used, unless otherwise required by the donor or pooled fund mechanism. Reports are prepared by the JP team and reviewed and endorsed by the JP SC and shared with relevant stakeholders.

#### Cover Page [*Copy-paste first two sections from JP document*]

<b>Joint programme title:</b>		
Outcomes(s): <i>&lt;verbatim from JP document and CF&gt;</i>		
Duration:		
Start date and planned end date:	Start:	End:
JP Team		
Lead PUNO:		
PUNOs:		
Fund management modality: (Parallel; Consolidated; Pass-through)		
» Managing Agent (Consolidated only):	<i>Include name and email of responsible officer</i>	
» Administrative Agent (Pass-through only):	<i>Include name and email of responsible officer</i>	
» Convening Agent (Pass-through only):	<i>Include name and email of responsible officer</i>	
<b>Total approved budget:</b>		
Out of which:		
» Funded		
» Un-funded		
<b>Source of funds:</b>		
» Government		
» PUNO 1		
» PUNO 2		
» Donor 1		
» Donor 2...		
» Non-UN partner 1		
» Non-UN partner 2...		
<b>Report submitted by:</b>		
Name:		
Title:		
PUNO:		
Contacts:		

**Note:** Donors and/or the AA (under a pass-through FMM), may have additional information requirements.

## Executive Summary *[up to ½ page]*

This is a summary of the most important achievements of the JP during the reporting period. Please highlight: (1) major results achieved and contributions to the CF outcome(s), country priorities, and/or related SDG targets, and (2) tangible benefits or changes for targeted vulnerable groups. The report should ensure the visibility of individual donors.

### 1. Overview *[Copy-paste from JP document up to ½ page]*

This section describes the purpose of the JP: (1) The development challenges to be addressed; (2) Planned JP results, with explanation about how people, and especially vulnerable groups, will benefit; and (3) Major programme strategies, assumptions and risks. This section will also highlight any major changes in the programme context, including new or heightened risks.

### 2. Results *[up to four pages]*

This is the most important section of the report. There are three parts:

#### 2.1 Narrative

The narrative provides a succinct description about the actual results that have been achieved based upon the JP document and theory of change. Please include key data and make reference to national policy priorities, the roles of partners and any new or innovative partnerships, and national or local implementation capacities that were developed or used.

The narrative will refer to:

- » **Outputs:** Provide a summary of progress toward the outputs and sub-outputs, with reference to changes in indicators (*as available*) Explain any variance between planned and actual outputs during the reporting period. Describe tangible benefits or changes for beneficiaries, especially vulnerable groups. Where possible, provide a percentage of outputs or sub-outputs that are *on-track* or *achieved* and the number and type of beneficiaries.
- » **Outcomes:** Based on achievement of outputs, provide a summary of major contributions of the JP toward the CF outcome(s), country priorities, and/or related SDG targets. In particular, this section should highlight contributions (*as applicable*) to the national policy agenda, influence of country budget allocations, and the adoption and scaling-up of programme solutions. Please refer to changes in indicators (*as available*).
- » **Constraints, adjustments, lessons and good practices:**  
 Explain constraints that were encountered and any adjustments that were made to strengthen the relevance and effectiveness of the JP and the coherence and coordination of UN system support.  
 Describe lessons and good practices and as needed, update information about assumptions and risks, risk mitigation measures and the sustainability plan and exit strategy. Please include experiences of failure, which are a rich source of lessons.



## 2.2 Indicator-based performance assessment

This section is based upon the JP results framework, work plan and budget. Provide information about the achievement of targets for indicators at the outcome and output level. Where there are variances or data are not available, provide an explanation and indicate when data will be reported.

Joint Programme: Integrated Results Framework, Work Plan, and Budget				
Years:				
National development priority:				
Related SDG:				
CF Outcome(s): <<copy paste>>				
Outcome indicator:	Baseline:	Target:	MOV:	
Outcome indicator:	Baseline:	Target:	MOV:	
Outcome indicator:	Baseline:	Target:	MOV:	
Outcome indicator:	Baseline:	Target:	MOV:	
Output 1.1 for Joint Programme				
Output indicators	Baseline	Target	MOV	
a.				
b.				
c.				
Results-based annual report for [Year]				
Progress toward CF outcome		Reason for variance (if any)		
Actual:				
Actual:				
Actual:				
Actual:				
Progress toward JP outputs				
Progress toward JP outputs		Reason for variance (if any)		
Actual:				
Actual:				
Actual:				

New information

## 2.3 A results story

This is a brief story about how the JP is making a difference. It can be at the institutional and policy level or at a local, human level. Please include photos, graphics, and news items as appropriate.

**The problem or challenge**  
In plain language, describe the specific problem or challenge faced by the subject of your story.

**Action through the joint programme**  
How was the problem or challenged addressed through the joint programme by the JP team?

**Result**  
Describe the observable **change** that occurred. How did conditions change at the family or community level or how did institutions perform better to address the problem?

**Lessons**  
What did the JP partners learn from the experience; how will it be used to strengthen the JP?

## 3. Other Assessments or Evaluations *[up to ½ page, as applicable]*

Provide information from assessments, evaluations or studies undertaken that are relevant to the JP.

## 4. Resource mobilization *[up to ½ page, optional]*

Provide information about financial management, procurement and human resources and indicate whether additional resources were mobilized.

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## Annex B. Quality standards and due diligence

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### B1. Joint programmes: Quality standards (*mandatory*)

During the appraisal step (*JP cycle, stage A, step 6*), PUNOs undertake a **quality assurance** (QA) review against the following quality standards. These are based upon the quality standards for the CF<sup>20</sup> and the common management features in the Funding Compact.<sup>21</sup> Attention is placed on the **programmatic rationale** and the comparative advantages of PUNOs to achieve expected JP results. The review is organized by the lead PUNO and carried-out with programme staff of PUNOs. The UNRC and UNCT are accountable for the quality of the JP concept and design. No additional quality assurance is required. As needed and upon request, additional QA can be sought from the Regional PSG, [Regional Collaborative Platforms](#) (RCP) and related issues-based coalitions.

**1. Programmatic rationale and relevance:** The extent to which the JP is relevant and strategic, builds upon the comparative advantages of PUNOs, and makes clear, causal links to the identified CF outcome(s), country priorities, and related SDG targets.

**2. Clearly defined results and strategies:** The extent to which JP results are SMART<sup>22</sup> with well-articulated strategies, and a theory of change, anchored in the CF and related JWP. The JP design should draw on the CCA with concept draws on the CCA with robust disaggregated data and evidence.

**3. Engagement and ownership of JP partners:** The extent to which the JP design was done in consultation with government and key partners and was inclusive of all interested UNOs, regardless of location.

**4. Integration of guiding principles:** The extent to which the design of the JP adequately integrates the guiding principles and applies markers. Important tools for the quality of results and indicators are: [Gender equality, human rights, and peace markers](#); UNCT-SWAP [Gender equality scorecard](#); [UNCT Gender Equality Marker Guidance Note](#); UNCT accountability scorecards on [disability inclusion](#) and the participation and engagement with young people, [Youth 2030](#).

**5. Incorporation of substantive areas of focus from the CF:** The extent to which the design of the JP is likely to effectively support: (1) social and economic transformation; (2) environment and climate change action; and/ or (3) disaster risk reduction and the promotion of peaceful societies (*as appropriate to the identified CF outcome(s), country policy priorities, and related SDG targets*).

**6. Designed to mitigate risks and sustain results:** The extent to which the design of the JP: (1) identifies critical risks with risk mitigation; and (2) includes a sustainability plan and exit strategy to strengthen national systems and scale-up results.

**7. Governance and management arrangements:** The extent to which the design of the JP offers well-defined governance and management arrangements, including secretariat functions, aligned with section 2.3 of the JP guidance and standard TORs.

**8. Monitoring, learning, reporting and evaluation:** The extent to which the design of the JP offers effective arrangements for result-based monitoring, learning, and reporting and for evaluation.

**9. Well written and presented:** The extent to which the JP document is well written, in line with the guidance, with effective arrangements for communications and for visibility of PUNOs and for government, donors, IPs, and non-UN partners (*as applicable*).

**10. Legal basis:** The cover pages of JP document include reference to the **Legal Annex** for the signed CF.<sup>23</sup>

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<sup>20</sup> Standard TOR for Regional Peer Support Group (PSG), 2021. Annex 4 Quality Criteria for CCA/Cooperation Framework cycle products.

<sup>21</sup> [Funding Compact](#) 14: (1) A well-articulated strategy, including innovation, (2) a theory change, (3) a solid RBM system, (4) well-functioning governance bodies, (5) a supportive secretariat, (6) quality assurance on issues that concern UN norms and values; (7) risk management systems and strategies; (8) operational effectiveness; (9) effective [results-based] reporting; (10) increased visibility; (11) increased transparency standards; and (12) planning and funding for joint and system-wide evaluations that meet UNEG norms and standards.

<sup>22</sup> SMART results are: Specific-Measurable-Achievable-Relevant-Timebound.

<sup>23</sup> In countries without a CF: The legal basis for the joint programme comprises the cooperation or assistance agreements or other agreements that are the existing legal basis for the relationship between the Government and each Participating UN Organization

## B2. Criteria to select PUNOs and allocate resources

These criteria are for use during step 4 of the JP cycle: Analyse and select PUNOs. This step applies only to situations where the JP responds to a call from a country, regional or global pooled fund. Based upon the JP document, the UNRC and UNCT use a set of objective criteria to inform their selection of PUNOs and to allocate resources. Normally, a JP that responds to a pooled fund call will use a pass-through FMM; the lead PUNO is the Convening Agent (CA); and the Administrative Agent (AA) is indicated by the pooled fund TOR and governance arrangements.

### Process:

1. Announcement of available funding and request for JP concept by UNRC and UNCT.
2. Prepare JP concept (See JP cycle, step 1) that meets minimum criteria and adheres to quality standards.
3. Based upon the JP concept, UN Organizations (UNOs) that are interested to join the JP as PUNOs complete the following assessment table and submit it to the UNRCO.
4. UNRCO consolidates responses and prepares draft recommendations for consideration by UNRC and UNCT.
5. The UNRC and UNCT meet to review the analysis and make decisions to select PUNOs and allocate resources. The UNRC has final decision-making authority.
6. All UNOs that submitted assessments are informed of the decision.

Criteria	Assessment by UNO
<p><b>1. Comparative advantages</b></p> <p>Description and evidence of UNO comparative advantages to support achievement of planned JP results:</p> <ul style="list-style-type: none"> <li>» Mandate to address the development problem;</li> <li>» Technical and operational capacities and positioning of the UNO as demonstrated by past results, the UNCT configuration exercise and by the availability of relevant technical, human, financial and administrative resources;<sup>24</sup> and</li> <li>» Positioning to address the challenge better than others working in the same area. This is demonstrated by past results, strategic partnerships and and/or a unique role if there is no other organization doing comparable work.</li> </ul>	..
<p><b>2. Performance</b></p> <ul style="list-style-type: none"> <li>» Results: Proportion of deliverables in other JPs on track or delivered, per information in UN-Info</li> <li>» Delivery rate for previous year: Proportion of available budget in other JPs delivered, per information in UN-Info (suggested threshold 70%)</li> </ul>	
<p><b>3. Readiness for implementation</b></p> <ul style="list-style-type: none"> <li>» Availability of implementation structure(s), key partnerships, and implementing partners (IPs) to support implementation</li> </ul>	
<p><b>4. Budget and operational efficiency</b></p> <ul style="list-style-type: none"> <li>» At least USD \$100,000 (indicative) requested in the JP budget<sup>25</sup> AND</li> <li>» Ratio between available resources and funds requested in JP budget</li> </ul>	

<sup>24</sup> This includes experience and capacities for capacity development, monitoring and risk mitigation, reporting, and management and administrative functions related contracts, agreements, and provision of cash and supply assistance to government and other IPs.

<sup>25</sup> **This is indicative.** Where the UNO has made a compelling business case, an allocation of less than USD \$100,000 may be considered. See: Technical Note on Thresholds for MAnneDTFs.

### B3. JP Team: Performance assessment and indicator *(optional)*

This is a self-assessment exercise and indicator. It is based upon expected team attitudes and behaviours and good practices to manage for results. The self-assessment exercise is conducted by the JP team annually, prior to the annual review. Each of attitudes and practices receives a simple **'yes/no' response**, based upon discussion by the team. These can be verified objectively during meetings and from minutes and reports.

#### **Indicator: N<sup>o</sup> effective team and RBM practices applied, out of 10 [scored]**

The indicator is the total number of attitudes and practices being applied or 'yes' responses out of a possible 10 [e.g. 6/10]. The target is determined by the JP team. If used, the indicator is reported in the results-based annual report and progress review.

#### **Effective team attitudes and practices to manage for JP results:**

*Self-assessment by JP team of the number of practices being applied out of a possible 10:*

1. The JP team has a lead PUNO to provide coordination and programmatic leadership and meets at least monthly (in-person or virtual)
2. The JP team actively use the JP results framework, work plan and budget and monitor and discuss the coordination, sequencing, and implementation of planned development activities by PUNOs for maximum synergy, coherence and effectiveness
3. The JP team is transparent about budget allocations and expenditures, actively reviews budget sufficiency and brings any concerns to the attention of the JP SC and heads of PUNOs
4. The JP team is utilizing at least one common business service. <sup>26</sup> (e.g., common LTA for procurement)
5. The JP team closely monitors the achievement of JP results (outputs and sub-outputs) and tracks indicators to gauge the expected contribution to CF outcome(s), country priorities, and related SDG targets
6. The JP team is able to rapidly adapt planned activities and budgets to achieved expected results and maintain relevance and effectiveness
7. The JP team works with partners to scan the programme environment for changes and monitor assumptions and risks
8. All JP team members contribute to the preparation the annual JP report and communications
9. The JP team identifies lessons and undertakes policy dialogue and advocacy with partners to seize opportunities to scale-up JP results and strategies
10. JP team members communicate openly, listen actively and share information about the JP amongst the team and with all partners in a timely manner

<sup>26</sup>UNSDG, [BOS 2.0 High-Impact Services](#) January 2022.

## B4. Due diligence requirements: Non-UN partners joining a JP (mandatory)

### Rationale:

Where there is strong programmatic rationale, non-UN partners<sup>27</sup> may join a JP. These partners implement, in parallel, with their own resources and do not receive funds or supplies from PUNOs for implementation. This will help to secure more partnerships and to lever additional resources to achieve JP results and contribute to the SDGs. The legal basis is the signed JP document, including results framework, work plan and budget. Non-UN partners are not eligible to receive funds under a pass-through FMM.

Non-UN partners: National, regional or international non-government organizations (NGOs), civil society organizations (CSOs), including employers' organizations, trade unions and business sector partners.

A potential partner may approach the UN system to join a JP. Normally, the UNRC, UNCT, and SC, supported by the JP team, will reach out to one or more potential partners to directly solicit their interest and investment. The decision is guided by the JP strategy and results, including sectoral or thematic focus, geographic scope, and the types of expected interactions with intended beneficiaries. Considerations include:

- » The level of development and maturity of the potential partner;
- » The institutional capacity of the partner including relevant sectoral and/or thematic expertise;
- » Presence and relationships with government at national and local levels and communities;
- » Capacity to contribute financial resources for JP implementation;
- » Capacity for effective financial and programmatic management; and
- » Demonstration of innovations and a track record of results.

### Approach:

**! Important:** There is a separate [procedure for business sector partners](#).<sup>28</sup>

1. Non-UN partners may join a JP and implement with their own resources as part of the JP team. To do so, if the joint programme responds to either a country, regional or global pooled funds, they undergo a due diligence review conducted by the JP team, with guidance of the lead PUNO, and endorsed by UNRC and UNCT (JP cycle stage A) and the SC (JP cycle stage B and C). Otherwise, the lead PUNO and JP team will make the determination.
2. The purpose of the review is to confirm that a partnership between the non-UN partner(s) and the UN system will contribute to effective and efficient achievement of planned JP results.
3. The due diligence review involves:
  - » Verification that the partner is established as a not-for-profit organization and appropriately registered with relevant government authorities;
  - » Verification that the partner's values are in line with UN system values and principles;
  - » Verification that the partner and its members are not included in the [UN Security Council Consolidated Sanctions List](#); and
  - » Verification that no impropriety that could pose reputational risk to the UN system or intended JP beneficiaries has been identified in relation to fraud and corruption, sexual exploitation and abuse or other misconduct.

<sup>27</sup> **Non-UN partners** implement with their own resources and do not receive funds or supplies from PUNOs for implementation: National, regional or international non-government organizations (NGOs), civil society organizations (CSOs), including employers' organizations, trade unions and business sector partners. See due diligence requirements in Annex B3. There is a separate approach for engaging with the business sector.

<sup>28</sup> UNSDG, Common Approach to Prospect Research and [Due Diligence for Business Sector Partnerships](#), 2020.

4. A potential partner is required to complete a [UN Partner Portal](#) profile<sup>29</sup> (or, in lieu of, submit a paper Partner Declaration and Profile form). This provides the JP team with all required information for the review.
5. The profile includes the following **declarations** with reference documents:
  - » The partner is a non-profit organization;
  - » The partner is committed to the core values of the UN and the [Universal Declaration of Human Rights](#);
  - » The partner abides by the Principles of Partnership as endorsed by the Global Humanitarian Platform: (a) equality, (b) transparency, (c) result-oriented approach, (d) responsibility, (e) complementarity;
  - » The partner will not discriminate against any person or group on the basis of race, colour, sex, language, religion, political or other opinion, national or social origin, property, disability, birth, age or other status;
  - » The partner shall ensure that all its employees, personnel and sub-contractors comply with the standards of conduct listed in Section 3 of the UN Secretary-General's Bulletin on [Special Measures for Protection from Sexual Exploitation and Abuse](#);
  - » The partner has not been charged with or been complicit in fraud or financial and non-financial corrupt activities, including money laundering, crimes against humanity and war crimes, and is not involved, nor has been involved in the past, with such activities that are incompatible with the UN mandate and values and that would render the organization unsuitable for dealing with UN organizations;
  - » Neither the partner nor any of its members is mentioned on the [UN Security Council Consolidated Sanctions List](#). Furthermore, it has not supported and does not support, directly or indirectly, individuals and entities sanctioned by or otherwise involved in a manner prohibited by a Security Council resolution adopted under Chapter VII of the Charter of the United Nations.

The completion of a profile on the UN Partner Portal exempts the partner from any other paper-based profiles or submissions.



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<sup>29</sup> The [UN Partner Portal](#) is a joint initiative of the UN Secretariat, UNFPA, UNHCR, UNICEF and WFP, with operational support from UNICC. It was launched in 2018.

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## Annex C. Terms of reference

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### C1. Joint Programme Steering Committee

#### Purpose

The **JP Steering Committee (SC)** is accountable for effective management of the JP and the achievement of JP results. It provides strategic oversight and guidance for the JP team from launch to closure (*Stages B and C of JP cycle*), including adjustments to JP results and strategy, progress reports and learning, and evaluation (*as required*).

#### Co-chairs

The SC co-chaired by representatives of the Government and the UNCT

*Normally* the UN co-chair is the chair of the relevant CF Results Group and JWP from which the JP is derived.<sup>30</sup> The UN co-chair represents and acts on behalf of the UNCT. Secretariat functions are provided by the lead PUNO.

When funding for the JP is from a global fund that *requires* a coordination role for the UNRC, the UNRC will co-chair the JP steering committee<sup>31</sup> (e.g., Joint SDG Fund; Peacebuilding Fund; Spotlight Initiative). In all other situations, UNRC involvement is **optional** depending on the specifics of the JP and country context.<sup>32</sup>

#### Members

Members include all PUNOs, non-UN partners, as applicable, and donors, with option to include CSOs, including employers' organizations and trade unions, and business sector partners.<sup>33</sup> Based upon the JP focus and results this may include the Peace and Development Advisor(s) or representative of the PBF secretariat - as observers or active members.

#### Frequency of meetings

Normally, a JP SC will meet at least annually for the annual progress review.

#### Tasks

1. Review and endorse the JP document, including the integrated results framework, work plan and budget. Under a pass-through FMM the SC approves fund allocations to PUNOs.
2. Review, as needed, JP resource mobilisation needs and recommend and support opportunities to address funding gaps.
3. Review and endorse the annual results-based report to identify achievements, constraints and opportunities, and to recommend measures to adapt and strengthen JP strategy and results for greater relevance and effectiveness.
4. During the annual progress review<sup>34</sup>: (1) Review progress information, lessons and good practices, including any adjustments made by JP team, (2) Compare actual progress against expected JP results, (3) Consider the *contribution* of JP results to CF outcome(s), country priorities, and related

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<sup>30</sup> Where a JP contributes to 2 or more CF outcomes, the most relevant CF results group will provide the co-chair.

<sup>31</sup> As per the UNSDG MAF, section 3.5: Where there is an explicit role for the UNRC, the UNRC co-signs Joint Programmes with UNCT members and chairs or co-chairs the local steering committee for joint programmes.

<sup>32</sup> It is important to distinguish between the country level pooled fund mechanism and the JPs that are funded by it. The steering committee for the fund mechanism is chaired by the UNRC or co-chaired with government. UNSDG, UN Country level Pooled Funds, 6.

<sup>33</sup> Implementing partners (IPs) of PUNOs are not normally member of the SC.

<sup>34</sup> This may be timed to coincide with CF annual review

- SDG targets; and (4) Review the sustainability plan and exit strategy and make adjustments (as needed).
5. Review and approve any *substantive changes* that affect expected JP results and the theory of change, involve a no-cost extension, or that **exceed 25 percent** of the annual budget.
  6. Review and endorse the rolling JP workplan and budget for the next year. Under a pass-through FMM the SC approves fund allocations to PUNOs.
  7. Share updates and reports with relevant stakeholders.
  8. Scan the programme environment for changes and monitor assumptions and risks.
  9. Facilitate the resolution of any external challenges that the JP team may face during the JP cycle
  10. If an evaluation is required, assume the role of, or appoint, an Evaluation Steering Group to:
    - » Appoint an Evaluation Manager;
    - » Approve the Terms of Reference for the [joint evaluation](#);<sup>35</sup>
    - » Commission and receive the inception, progress and final reports of the joint evaluation;
    - » Develop and adopt a dispute resolution mechanism for the evaluation process;<sup>36</sup> and
    - » Review and endorse the proposed management response to the findings and recommendations from the joint evaluation.



## C2. Joint Programme Team

### Purpose

The JP team **manages for results** for the duration of the programme. This is done in accordance with the JP results framework, work plan and budget. The team comprises responsible programme staff from all PUNOs and non-UN partners, as applicable. Coordination and programmatic leadership is provided by a **lead PUNO**.<sup>37</sup> They sequence planned activities, monitor implementation and the achievement of results, learn lessons and make adjustments for greater effectiveness *together* with government, IPs and non-UN partners. The JP team practices a set of teamwork skills: participation, effective listening, collaboration, flexibility and the ability to revise and refine. The JP team is accountable to and has a dual reporting role to the JP Steering Committee (SC) and to their respective PUNOs.

### Coordination and Programmatic leadership

Normally, the **lead PUNO**<sup>38</sup> provides coordination and programmatic leadership during implementation.

- » **Coordination:** (1) Organize and support meetings of the JP SC; (2) Coordinate advocacy with donors and external stakeholders, and (3) Facilitate audit and evaluation (*as required*).
- » **Programmatic leadership:** This supports the JP team to manage for results. The lead PUNO ensures programmatic coherence and quality in accordance with the JP results framework, work plan and budget and in adherence to quality standards: (1) Organize and chair JP team meetings; (2) Update the JP results framework, work plan and budget; (3) Lead joint monitoring and learning efforts, including joint field missions, (4) Facilitate programmatic learning and adjustments, (5)

<sup>35</sup> UNEG, [Resource Pack on Joint Evaluations](#), 2014. This toolkit contains guidance and examples of terms of reference (ToR), governance and financing arrangements, management response, and follow-up strategies used in previous evaluations. Other relevant guidance includes: [Integrating Human Rights and Gender Equality in Evaluations](#) (UNEG 2014), [Handbook for Conducting Evaluations of Normative Work in the UN System](#) (UNEG 2014).

<sup>36</sup> Refer to informal dispute resolution mechanism in [MAF](#), Annex 2.

<sup>37</sup> PUNOs are normally self-selecting. Selection of the lead PUNO is informed by the relevant CF JWP and planned JP results, the UNCT configuration exercise, and the capacity and positioning of the organization to provide coordination and programmatic leadership.

<sup>38</sup> Under consolidated FMM, the Lead PUNO is the Managing Agent (MA). Under pass-through FMM the Lead PUNO is the Convening Agent (CA).



Consolidate the annual results-based report, based upon inputs from other PUNOs; and (6) Report to JP SC meetings.

### **Role of the UNRCO:**

When requested by all PUNOs, the pooled fund mechanism, or by individual donors the UNRCO may support the JP team for coordination purposes.<sup>39</sup> When the UNRCO provides coordination support, the lead PUNO continues to provide programmatic leadership. If the JP uses a pass-through FMM, the lead PUNO is the Convening Agent (CA)<sup>40</sup>. See section 2.3 para 19 about the role of the UNRC and UNRCO.

### **Members**

The team comprises responsible programme staff from all PUNOs and representatives of other non-UN partners<sup>41</sup>.

### **Frequency of meetings**

JP teams are expected to meet at least monthly. A JP team may be co-located where appropriate and feasible

### **Tasks**

1. *Sequence and monitor implementation* of planned development activities for maximum synergy and coherence;
2. *Track the JP budget* and expenditures to ensure delivery of planned activities;
3. *Monitor the achievement of JP results* and track indicators to ensure a contribution to CF outcome(s), country priorities, and related SDG targets;
4. *Scan the programme environment* for changes and monitor assumptions and risks;
5. *Adjust JP activities, budgets, results and strategies* to maintain relevance and effectiveness;<sup>42</sup>
6. *Update the JP results framework, work plan and budget* to reflect changes and ensure relevant information is updated in UN-Info;
7. *Identify lessons* and undertake policy dialogue and advocacy with partners to identify opportunities to scale-up JP results and strategies;
8. *Review*: Prepare and support the annual progress review
9. *Report*: Prepare the annual results-based report;
10. *Support* the work of the JP SC and respond to information requests in a timely manner;
11. *Support* resource mobilization efforts of the JP Team and PUNOs;
12. *Liaise* with the [Operations Management Team](#) to utilize available [common business services](#);
13. *Liaise* with the [UN Communication Group](#) to develop joint communications products about the JP;
14. *Share information* about the JP amongst the team and with all partners in a timely manner.

There are some additional special roles related to the choice of FMM (Annex D):

- » For pass-through FMM: Administrative Agent (AA) and Convening Agent (CA) (Lead PUNO is CA).
- » For consolidated FMM: Managing Agent (MA) (Lead PUNO is MA).



<sup>39</sup> This adheres to: A. Mohammed (DSG), Resident Coordinators seeking additional capacities to UNRC offices beyond Special Purpose Trust Fund-funded positions, UN Interoffice Memorandum, 07 July 2020. RCOs may perform 'secretariat/coordination functions only', Para 11.

<sup>40</sup> In this situation a spirit of teamwork is essential: (1) The UNRCO will support the leadership role of the programmatic lead PUNO and ensure it is fully consulted on all advocacy efforts; (2) The programmatic lead PUNO will keep the UNRCO regularly informed.

<sup>41</sup> Implementing partners (IPs) of PUNOs are not normally members of the JP team.

<sup>42</sup> Adjustments are discussed and agreed by the JP team and carried out by each PUNO according to its programming policies and procedures and financial regulations and rules.

## Annex D. Fund management modalities

### Choice of fund management modality

- There is a choice of **three fund management modalities** (FMM): parallel, consolidated, or pass-through.
  - » **Parallel:** PUNOs manage funds separately.
  - » **Consolidated:** PUNOs transfer funds to another PUNO, designated as the Managing Agent (MA), to reduce transaction costs for partners. The lead PUNO is the MA.
  - » **Pass-through:** PUNOs appoint one UNO as the Administrative Agent (AA) to set up a common fund account in which funding from different donors is co-mingled. Financial transfers are made between the AA and PUNOs. A Convening Agent (CA) is selected. Normally, the lead PUNO is the CA and provides coordination and programmatic leadership. Pass-through mechanisms are always UN inter-agency pooled funds which can operate as stand-alone JPs and country, regional and global multi partner trust funds (MPTFs), as per UN financial data standards
- Each FMM is underpinned by legal documents that govern financial management and accountabilities:

Legal documents		
Parallel	Consolidated	Pass-through
» JP document [no additional legal instruments]	» JP document » Memorandum of Understanding between PUNOs and the Managing Agent (MA)	» JP document » <a href="#">Memorandum of Understanding</a> <sup>43</sup> between PUNOs and the Administrative Agent (AA) and Convening Agent (CA) » <a href="#">Standard Administrative Arrangement</a> between the Donor and the AA

- The choice** is based on how to achieve the most effective and efficient implementation, and to reduce transaction costs for partners, donors and the UN system. It also considers the indicative budget thresholds. These apply to the consolidated and pass-through FMM. Thresholds are an internal control mechanism that help the UNSDG to avoid large numbers of small JPs and high transaction costs and to collectively manage risks: political, strategic, programmatic or financial.

Budget thresholds (indicative)		
Parallel	Consolidated	Pass-through
» None	» USD \$200,00 per PUNO	» USD \$1 million per PUNO; and » Each PUNO expected to receive at least USD \$100,000

<sup>43</sup> When the JP is funded by an existing global, regional or country MPTF, a new MoU or SAA is not needed. These are signed at the level of the MPTF.

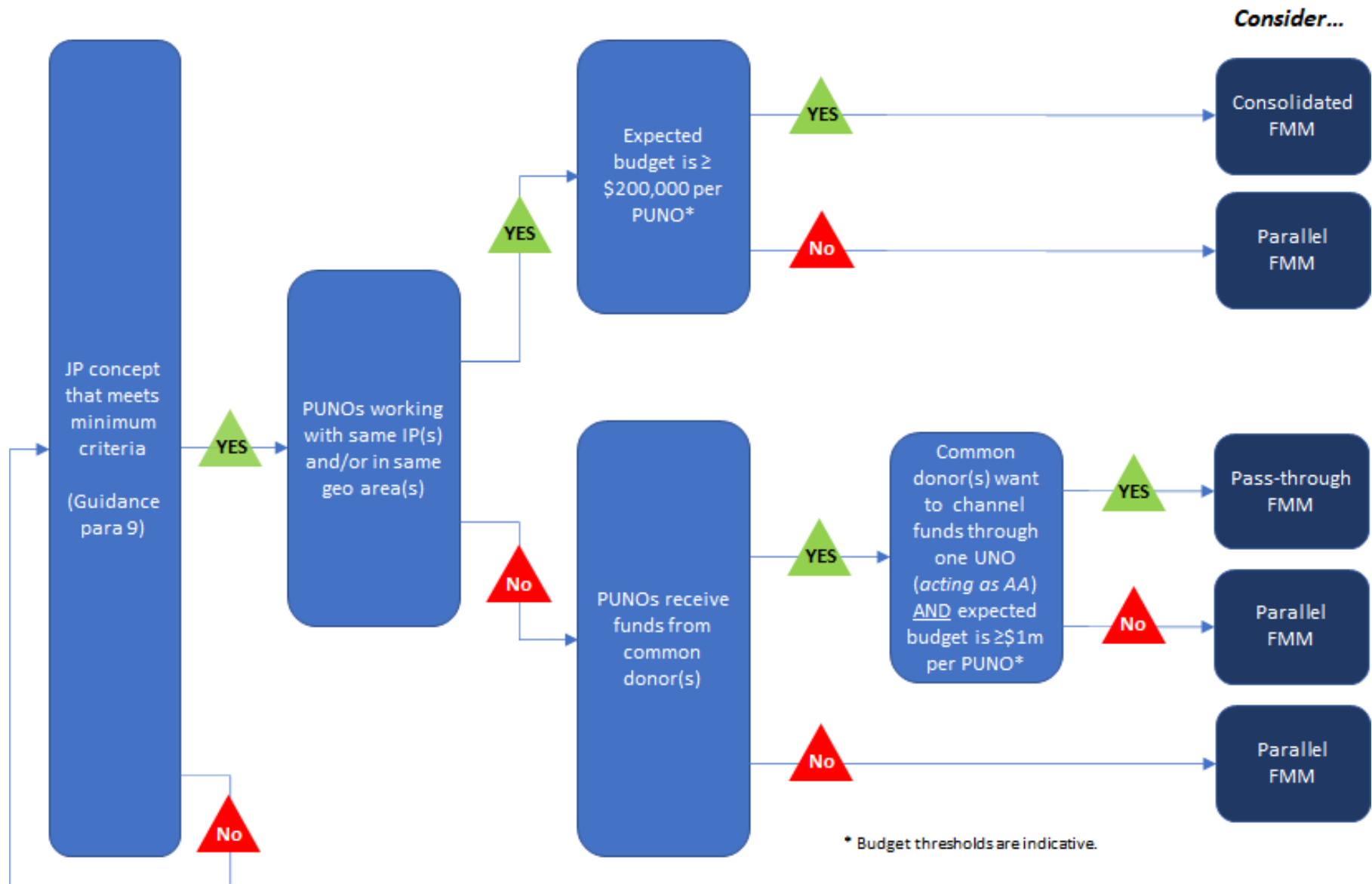
#### 4. Common features of all FMM:

<b>Steering Committee</b>	» Accountable for effective management of the JP and the achievement of JP results. It provides strategic oversight and guidance for the JP team. See TOR
<b>Government partners</b>	» Government ministries, departments and bodies at national or sub-national level that coordinate with PUNOs and implementing partners; Own the national programme to which the UN system contributes
<b>JP Team</b>	» All PUNOs working to achieve JP results See TOR; » A lead PUNO provides coordination and programmatic leadership: Under consolidated FMM, the Lead PUNO is the Managing Agent (MA). Under pass-through FMM the Lead PUNO is the Convening Agent (CA).
<b>Participating UN Organizations (PUNOs)</b>	» UN organizations that <i>participate</i> in the JP; includes: UN system funds, programmes, specialized agencies, including UNOs without physical presence in the country, at national, regional or global level. PUNOs Operate in accordance with their own programming policies and procedures and financial regulations and rules. » Recommended number of PUNOs: <u>Not more than five</u> with preference of from two to four <sup>44</sup> .
<b>Implementing Partners (IPs)</b>	» National, regional or international government or non-government organizations, civil society organizations (CSOs), including employers' organisations, trade unions and business sector (BS) partners ( <i>as permitted by the rules and regulations of PUNOs</i> )
<b>Non-UN partners</b>	» National, regional or international non-government organizations (NGOs), civil society organizations (CSOs), including employers' organisations, trade unions and business sector (BS) partners. See due diligence requirements in Annex B3. There is a separate <a href="#">procedure for business sector partners</a> » Non-UN partners sign the JP document and implement with own resources; they do <u>not</u> receive funds or supplies from PUNOs for implementation. Non-UN partners use a parallel FMM.

5. The defining features of each FMM are described at the end of this section. Below is a decision-making flow chart to help the selection process.

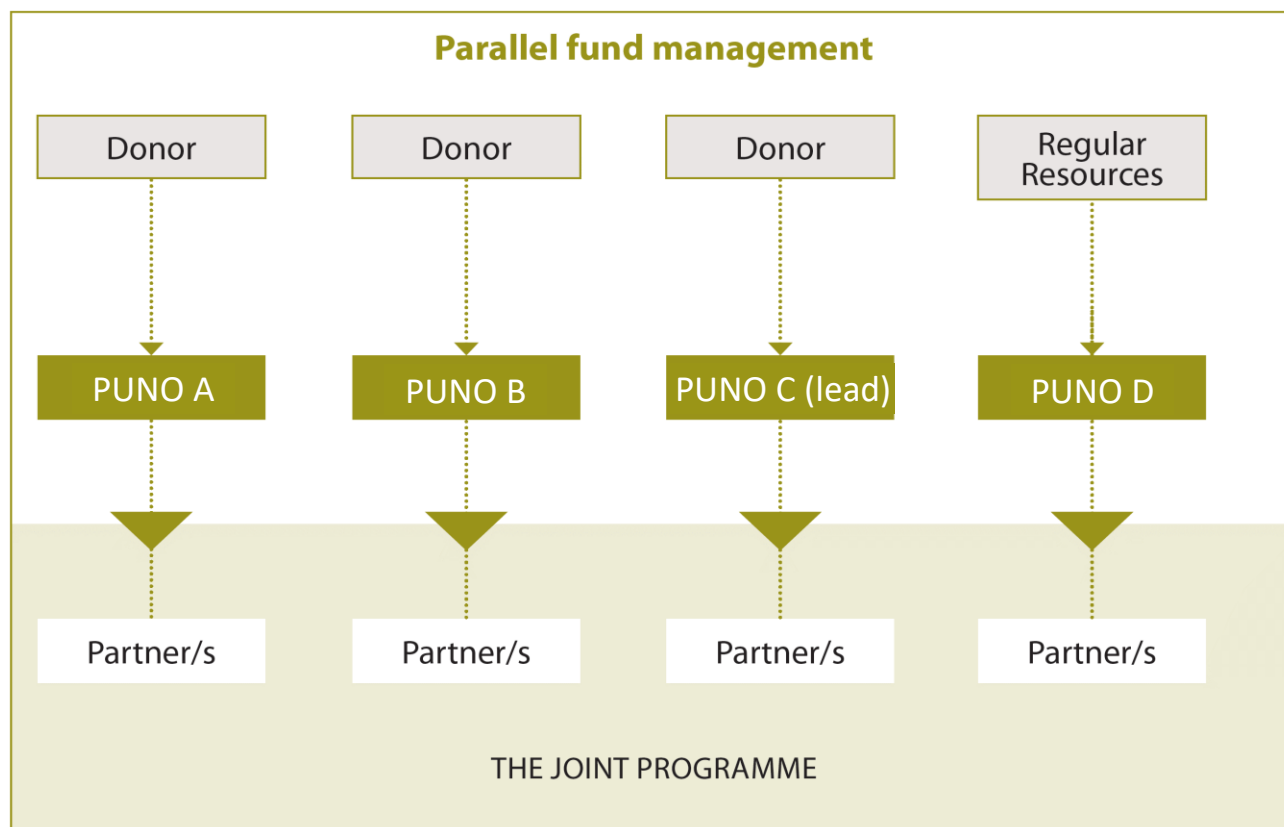
<sup>44</sup> The number of PUNOs may exceed this recommendation based upon context and judgement of UNRC and UNCT.

**Decision flow chart to select FMM**



## D1. Parallel Fund Management Modality

1. This modality is most effective and efficient when PUNOs work to achieve JP results with **different partners** and where funds are or will be earmarked to a specific UN system agency. Each organization manages its own activities within the JP work plan and budget, whether from core/regular or other resources.



2. **Budget threshold:** None.

### Governance

Steering Committee	» See TOR
PUNOs	<ul style="list-style-type: none"> <li>» Members of JP team</li> <li>» Have programmatic, financial, and reporting responsibility for their activities, contributing to JP results</li> <li>» Operate in accordance with their own programming policies and procedures and financial regulations and rules</li> </ul>
JP team	» See TOR

### Managing the parallel FMM

3. **Finance:** During the design stage each PUNO contributed to prepare the integrated results framework, work plan and budget. The lead PUNO will review the budget to ensure it uses UNSDG approved harmonized budget categories<sup>45</sup>.

<sup>45</sup> <https://mptf.undp.org/document/download/15822>

4. **Accounting:** Each PUNO will set up a separate ledger account for the Joint Programme and will account for the income received to fund its programme components in accordance with its financial regulations and rules.
5. **Indirect Costs:** Each PUNO will recover indirect costs in accordance with its financial regulations and rules and as documented in the funding agreement signed with the donor.
6. **Monitoring:** See JP guidance, Stage B: Implement & adjust, 9. Monitor, learn and document performance. The lead PUNO provides coordination and programmatic leadership of JP team.
7. **Adjustments:** See JP cycle, Stage B: Implement & adjust, 10. Make adjustments. *Substantive changes* that affect expected JP results and the theory of change or that **exceed 25 percent** of the annual budget require review and approval by the JP SC. Adjustments to grants and contracts, such as no-cost extensions, increase or decrease of total budget and reallocations between budget categories, are handled through each PUNOs separate governing bodies and/or particular donor and are subject to the Terminal Obligation Date (TOD) and the Disbursement Date (DD). They may also require discussion with between PUNOs and their respective donors.
8. **Reporting:** See JP cycle, Stage B: 11. Report and communicate; Stage C: 15. Prepare final report. Reporting deadlines stated in the legal instrument (MoU) are adhered to.  
  
Each PUNO prepares: (1) annual and final **narrative progress report** for each twelve-month period for which the PUNO uses the [standard reporting template](#); (2) annual and final **financial reports**, using the UNSDG approved harmonized budget categories<sup>46</sup>.  
  
The lead PUNO prepares a single consolidated narrative and financial report for submission to the SC. These are clearly identified as a joint effort of all PUNOs.  
  
All reports are endorsed by the SC and shared with all stakeholders.
9. **Evaluation:** See JP cycle, Stage C: Learn, transition and close, 15. Evaluation
10. **Audit and investigations:** See Annex E. Audit and investigation guidelines

### Closing the parallel FMM

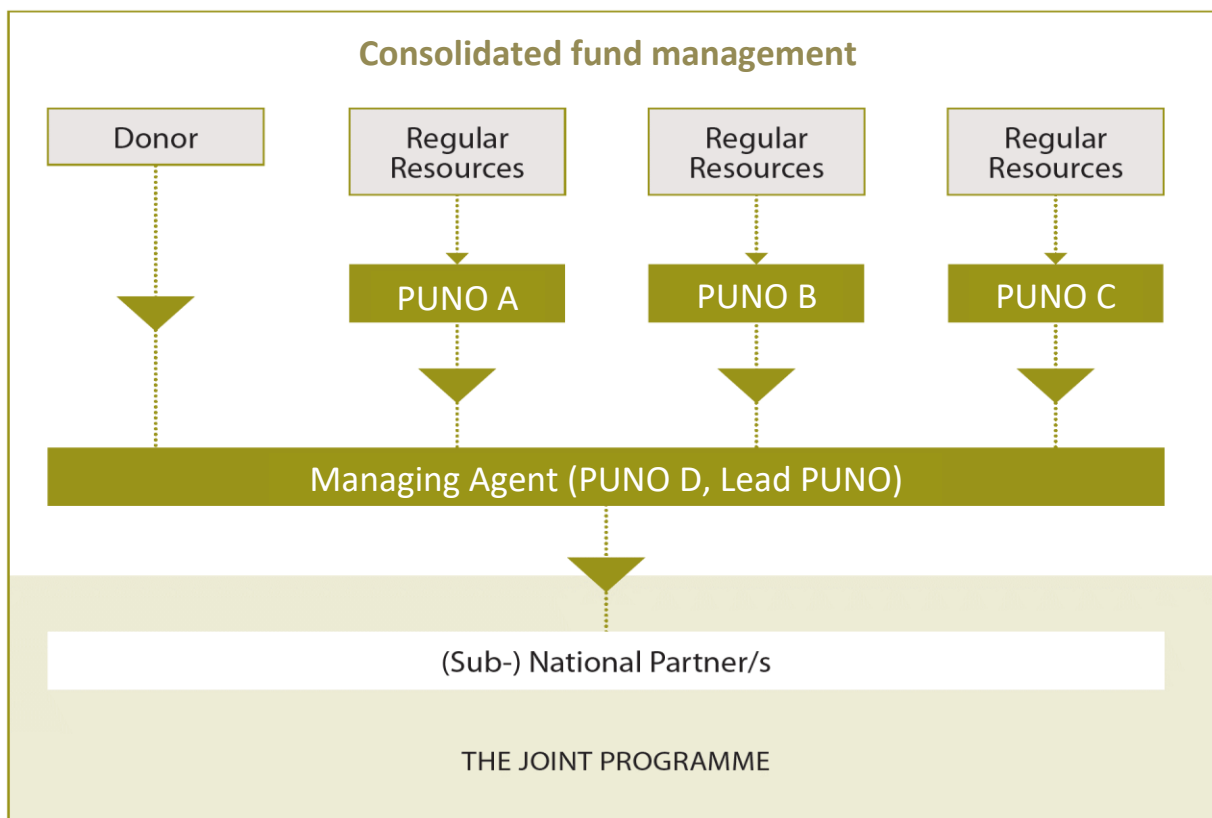
11. **Operational:** Each PUNO informs the lead PUNO in writing when all activities in the JP work plan are completed. This is communicated in writing to the SC. The operational end date is the date on which the last PUNO and its IPs complete their activities. The JP is not closed until this is done. If one PUNO and its IPs have not finished their activities by the end date shown in the JP document, then a no-cost extension is requested. Each PUNO prepares a final narrative report after the completion of the activities for consolidated by the lead PUNO.
12. **Financial:** No expenses should be charged after operational closure. Between operational and financial closure, IPs are required to identify and settle all financial obligations and to return any unutilized funds to the PUNOs. The disposition of any balance of funds remaining at the end of programme implementation is in accordance with the agreements signed between the PUNOs, IPs, and donor(s). The financial closure of accounts of each PUNO and non-UN partner is done in accordance with their respective rules and procedures. Normally, this takes place 12 months after operational closure. Each PUNO issues a final certified financial report after all legal obligations are settled or terminated.

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<sup>46</sup> <https://mptf.undp.org/document/download/15822>

## D2. Consolidated<sup>47</sup> Fund Management Modality

1. This modality is effective and efficient when PUNOs work to achieve JP results with one or more common national or sub-national partners and/or in a common geographical area. PUNOs transfer and *consolidate* funds together with one PUNO, called the **Managing Agent (MA)**. PUNOs select the MA and inform the UNRC. Normally the lead PUNO is the MA. The diagram illustrates financial flows.



2. **Budget threshold** (indicative): Expected contributions from PUNOs of at least USD \$200,000.
3. **Governance**

Steering Committee	» See TOR
Managing Agent (MA)	<ul style="list-style-type: none"> <li>» Is the lead PUNO with in-country presence</li> <li>» Provides coordination and programmatic leadership of JP team</li> <li>» Accountable programmatically and financially for the JP and for narrative and financial reporting</li> </ul>
PUNOs	<ul style="list-style-type: none"> <li>» Members of JP team</li> <li>» Operate in accordance with their own programming policies and procedures and financial regulations and rules to pool resources for the JP with the MA</li> </ul>
JP team	» See TOR

<sup>47</sup> Formerly, this modality was called 'Pooled'. The name was changed to prevent confusion between **pooled funds** and the pooled fund management modality and to improve the accuracy of data collection.

4. **Selection of the Managing Agent (MA):** PUNOs select the MA, and inform the UNRC. Normally the lead PUNO is the MA. Considerations: (1) A PUNO with in-country presence, (2) Expertise and comparative advantage in the area covered by the JP, (3) Existing, strong partnerships with government, IPs and non-UN partners, and (4) In-country financial and administrative management capacity.

### Managing the consolidated FMM

5. **Finance:** During the design stage each PUNO contributed to prepare the integrated results framework, work plan and budget. The MA, as lead PUNO, will review the budget to ensure consistency with its procedures. The MA establishes and manages a separate ledger account for the receipt and administration of funds received, and will account for the income received to fund the Joint Programme in accordance with its financial regulations and rules
6. **Indirect Costs:** The MA will recover indirect costs in accordance with its financial regulations and rules. This is documented in the MOU signed with the PUNOs and in any funding agreement signed with the donor(s).
7. **Monitoring:** See JP cycle, Stage B: Implement & adjust, 9. Monitor, learn and document performance. The MA provides coordination and programmatic leadership of JP team.
8. **Adjustments:** See JP cycle, Stage B: Implement & adjust, 10. Make adjustments. *Substantive changes* that affect expected JP results and the theory of change or that **exceed 25 percent** of the annual budget require review and approval by the JP SC. They *may* also require discussion with the donors and amendment of the MOU.
9. **Reporting:** See JP cycle, Stage B: 11. Report and communicate; Stage C: 15. Prepare final report. Reporting deadlines stated in the legal instrument (MoU) are adhered to. All reports are endorsed by the SC and shared with all stakeholders.

**Managing Agent:** Provides the SC with the following statements and reports, prepared in accordance with the JP document and its programming policies and procedures and financial regulations and rules: (1) annual and final **narrative progress report** for each twelve-month period for which the MA uses the standard report template; (2) annual and final **financial reports**, using the UNSDG approved harmonized budget categories<sup>48</sup>.

10. **Evaluation:** See JP cycle, Stage C: Learn, transition and close, 15. Evaluation
11. **Audit and investigations:** See Annex E. Audit and investigation guidelines

### Closing the consolidated FMM

12. **Operational:** The MA informs the SC in writing when all activities in the JP work plan are completed. The operational end date is the date on which the MA and its IPs complete their activities. The JP is not closed until this is done. If the MA and its IPs have not finished their activities by the end date shown in the JP document, then a no-cost extension is requested. The MA prepares a final narrative report after the completion of the activities.
13. **Financial:** No expenses should be charged after operational closure. Between operational and financial closure, IPs are required to identify and settle all financial obligations and to return any unutilized funds to the MA. The disposition of any balance of funds remaining at the end of programme implementation is in accordance with the MOU signed with the PUNOs and non-UN partners and in any funding agreement signed with the donor(s). The financial closure of accounts of each PUNO and non-UN partner is done in accordance with their respective rules and

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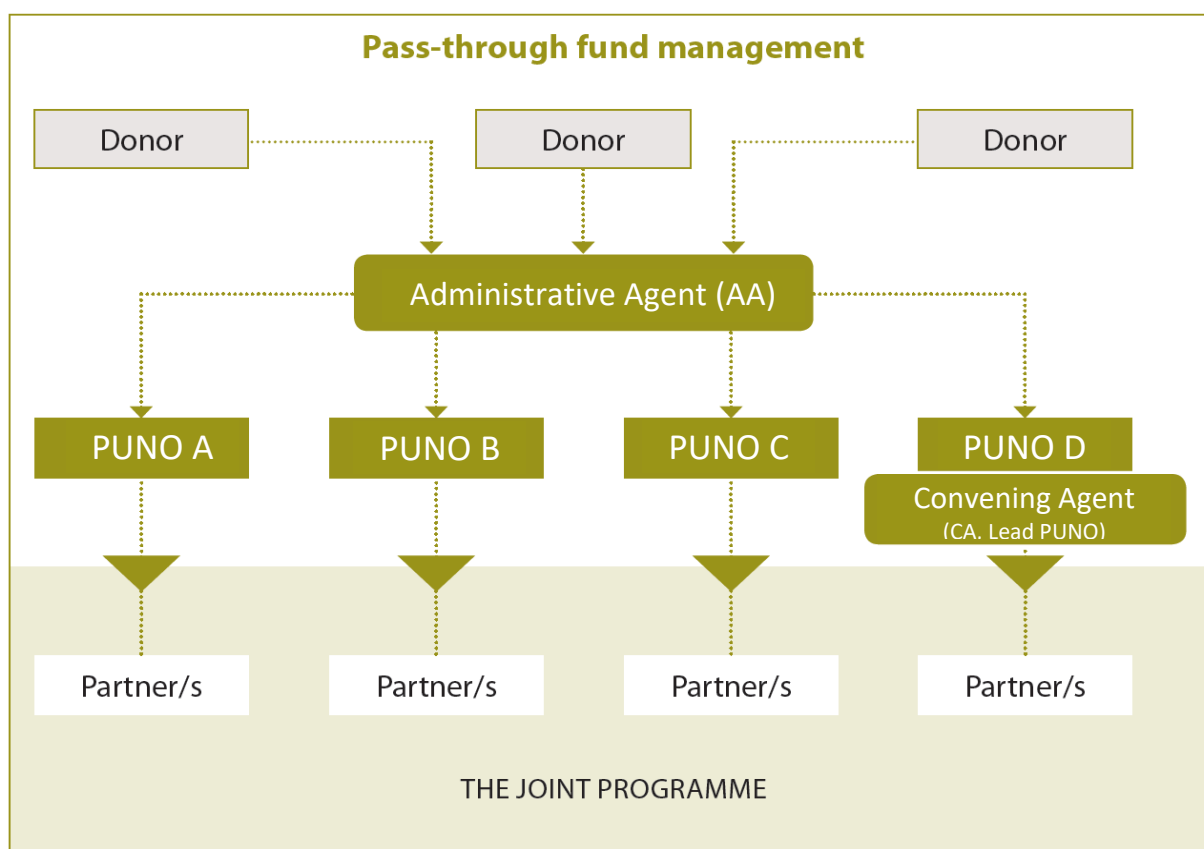
<sup>48</sup> <https://mptf.undp.org/document/download/15822>



procedures. Normally, this takes place 12 months after operational closure. The MA issues the final certified financial report after all legal obligations are settled or terminated.

### D3. Pass-Through Fund Management Modality

1. This modality is effective and efficient when PUNOs work to achieve JP results with **different partners** (national, sub-national and/or international) and where donor(s) prefer to channel the funds through one UN agency acting as the **Administrative Agent (AA)**. The AA passes funds through to PUNOs for implementation and is accountable for effective and impartial fiduciary management on behalf of PUNOs and in accordance decisions of the JP SC and JP document. A **Convening Agent (CA)** provides coordination and programmatic leadership of the JP team. PUNOs select the CA and inform the UNRC. Normally the lead PUNO is the CA. Implementation occurs in parallel; each PUNO is accountable to the JP SC, the AA and CA for its programmatic and financial responsibilities under the JP.
2. The diagram illustrates financial flows and shows the Convening Agent. Depending on the circumstances, the same UN organization can be the AA and the CA and a PUNO, providing that there is a 'firewall' in place in accordance with the agreed Protocol on the Administrative Agent for Multi-Donor Trust Funds and Joint Programmes, and One UN Funds.



3. **Budget threshold** (indicative): Expected contributions equal to at least USD \$1 million times the number of PUNOs, with each PUNO expected to receive at least USD 100,000. *(Example: If three organizations participate, the budget of the Joint Programme needs to be at least USD \$3 million, while one PUNO can receive as little at USD 100,000, if the other two receive a total of at least USD 2.9 million together.)*

4. **Duration:** An expected duration between signature of the MOU and operational end date of the JP of three to five years, with exceptions for shorter duration made for JPs in a transition context, provided the budget threshold is met.
5. Special consideration should be given to the cases when the European Union (EU) is one of the donors. Separate UNSDG Guidelines for the European Union Special Conditions Agreement should be consulted in conjunction with this Guidance Note.

## Governance

Steering Committee	» See TOR
Administrative Agent (AA)	<ul style="list-style-type: none"> <li>» Accountable for effective and impartial fiduciary management and financial reporting: Receives donor contributions, disburses funds to PUNOs based on instructions of SC, and consolidates periodic financial reports and final financial report; involved in day-to-day administration</li> <li>» May be a PUNO or other qualified UNO;</li> <li>» When a JP responds to a country, regional or global pooled fund, the AA is already indicated by the pooled fund TOR and governance arrangements</li> </ul>
Convening Agent (CA)	<ul style="list-style-type: none"> <li>» Is the lead PUNO with in-country presence</li> <li>» Provides coordination and programmatic leadership of JP team</li> <li>» Accountable for consolidated narrative reporting; has no financial or programmatic accountability</li> </ul>
PUNOs	<ul style="list-style-type: none"> <li>» Members of JP team</li> <li>» Assume full programmatic and financial accountability for funds disbursed by AA</li> </ul>
JP Team	» See TOR

6. **Selection of the Administrative Agent (AA):** PUNOs select the AA and inform the UNRC. Considerations: (1) A UNO; (2) Financial and administrative capacity to interface between donor(s) and PUNOs and perform the financial and administrative functions outlined in the Protocol on the Administrative Agent for Multi Donor Trust Funds and Joint Programmes and One UN Funds.

**! Important:** When a JP responds to a country, regional or global pooled fund, the AA is already indicated by the pooled fund TOR and governance arrangements

7. **Selection of the Convening Agent (CA):** PUNOs select the CA and inform the UNRC. Normally the lead PUNO is the CA. Considerations are: (1) A UN organization with country presence; (2) Thematic, functional and geographical area of expertise in the area covered by the JP; (3) Convening capacity to interface between Steering Committee and PUNOs. Please note the optional role for UNRCO to support the JP team for coordination purposes. See JP guidance, section 2.3 on the role of the UNRC and UNRCO.

## Managing the pass-through FMM

8. **Finance:** During the design stage each PUNO contributed to prepare the integrated results framework, work plan and budget. The Administrative Agent will set up separate ledger accounts for the JP and will review the work plan and budget.
9. Each PUNO will set up a separate ledger account for the JP Joint Programme and will prepare a separate budget in its ERP financial systems for the JP, consistent with its procedures. Since reporting needs to be by UNSDG approved harmonized budget categories<sup>49</sup>, it is preferable that

<sup>49</sup> <https://mptf.undp.org/document/download/15822>

the budget be set up in these categories. Each PUNO will account for the funds distributed by the AA in respect of its components in the Joint Programme in accordance with its financial rules and regulations.

10. **Fees:** The Administrative Agent is entitled to allocate one percent (1%) of the amount contributed by donor(s), for its costs to perform the AA's functions. In cases where the Joint Programme does not meet the thresholds for establishment or the Joint Programme is subject to a non-cost extension, the Steering Committee will review and consider the inclusion of the remainder of the fee as direct costs.
11. The CA is entitled to recover its direct costs related to its convening role, which should be included in the Joint Programme budgetary framework. Each PUNO will recover indirect costs at the established rate of 7%.
12. **Transfer of funds:** The allocation of funds is done in accordance with the approved JP work plan and budget, based upon the approval of the JP SC and its instructions. Transfers are made by the AA to each PUNO within 3 to 5 days, providing that the balance of donor contributions is sufficient. Direct transfer between PUNOs of funds received from the AA in a pass-through modality is not allowed to avoid multiple cost recovery charges by UN organizations.
13. During implementation, there is no limit on the size of individual transfers from the AA to the PUNOs. PUNOs are encouraged to limit transfers to 2 per year of at least USD \$100,000 per transfer. Transfers can be smaller during the last year of implementation for the final round of allocations.
14. **Monitoring:** See JP cycle, Stage B: Implement & adjust, 9. Monitor, learn and document performance. The CA provides coordination and programmatic leadership of JP team.
15. **Adjustments:** See JP cycle, Stage B: Implement & adjust, 10. Make adjustments. *Substantive changes* that affect expected JP results and the theory of change or that **exceed 25 percent** of the annual budget require review and approval by the JP SC. They *may* also require discussion with the donors, the AA, and amendments of the MOU and SAA.
16. **Reporting:** See JP cycle, Stage B: 11. Report and communicate; Stage C: 15. Prepare final report. Reporting deadlines stated in the legal instruments (MoU, SAA) are adhered to. All reports are endorsed by the SC and shared with all stakeholders.

**Administrative Agent:** Prepares annual and final **financial reports** consisting of the reports submitted by each PUNO and a certified financial statement on the 'Source and Use of Funds'. The AA provides consolidated reports to each donor that has contributed to the JP account, in accordance with the timetable in the SAA. The reports use UNSDG approved harmonized budget categories: (1) Staff and other personnel costs, (2) Supplies, commodities, materials, (3) Equipment, vehicles and furniture, including depreciation, (4) Contractual services, (5) Travel, (6) Transfers and grants counterparts, (7) General operating and other direct costs, (8) Indirect support costs. The standard report template is used.

**Convening Agent (lead PUNO):** Prepares annual and final consolidated **narrative progress reports** based on the reports submitted by each PUNO; it provides consolidated reports to the AA for further submission to each donor that has contributed to the JP, in accordance with the timetable.

**PUNOs:** Prepare annual and final narrative reports and financial reports in accordance with their financial regulations, rules and operational policy guidance, using the UNSDG approved

harmonized budget categories<sup>50</sup>. The narrative report is shared with the CA, and the financial report is shared with the AA.

17. **Evaluation:** See JP cycle, Stage C: Learn, transition and close, 15. Evaluation

18. Audit and investigations: See Annex E. Audit and investigation guidelines

### **Closing the pass-through FMM**

19. **Operational:** As outlined in the MOU, each PUNO informs the AA in writing when all activities in the JP work plan are completed. The operational end date is the date on which the last PUNO or non-UN partner(s) complete their activities and inform both the CA and the AA. The JP is not closed until this is done. If the PUNOs, their IPs, or non-UN partners have not finished their activities, and informed the AA, by the end date shown in the JP document, then a no-cost extension is requested. As outlined in the MOU, after the completion of the final year of the activities, a final narrative report is prepared by each PUNO and non-UN partner and submitted to the CA. The report is issued no later than four months (30 April) of the year following the operational closing of the programme.

20. **Financial:** As part of the financial closure, each PUNO and non-UN partner (1) returns any unspent balance to the AA; (2) transfers any interest for the current and prior year to the AA, unless their rules and regulations do not require them to do so; and (3) reports no expenditure in excess of funds transferred. After this, the AA confirms the completion to the PUNOs and non-UN partners and closes the programme allocation within its internal system. The AA will return any unspent funds remaining in the JP account after the financial closure of the JP to the donor(s) or utilize them in a manner agreed upon between the AA and the donor(s), and approved by the SC. The financial closure process begins only after all PUNOs and non-UN partners have satisfactorily closed all of their respective programmatic allocations. It generally takes 12 months following the AA's confirmation that all programmatic allocations have been financially closed. See Fact Sheet: [How to Close a Joint Programme](#).

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<sup>50</sup> <https://mptf.undp.org/document/download/15822>

### Defining features of fund management modalities (FMM)

Features	Parallel	Consolidated	Pass-through
<b>JP Cycle A. Design</b>	Under all FMM: (1) The UNRC and UNCT are accountable for a relevant, high-quality JP; resource mobilization is led by PUNOs in coordination with the UNRC; (2) The design is done by a lead agency with programme staff of PUNOs from the relevant CF results group		
Legal documents	» JP document [no additional legal instruments]	» JP document » MOU between PUNOs and the Managing Agent	» JP document » MOU between PUNOs and the AA and CA » SAA between the Donor and the AA
Budget thresholds (indicative)	» None*	» USD \$200,00 per PUNO	» USD \$1 million per PUNO; and » Each PUNO expected to receive at least USD \$100,000
Plan for results	» Anchored in CF » Different implementing partners	» Anchored in CF » One or more common national or sub-national partners <i>and/or</i> in a common geographical area	» Anchored in CF » Different implementing partners
Mobilize financial resources	Under all FMM, resource mobilization is led by PUNOs in coordination with the UNRC and consistent with CF Funding Framework and resource mobilization strategy <sup>51</sup>		
	» Each PUNO mobilizes own resources	» Each PUNO mobilizes own resources for consolidation with MA » Donors encouraged to provide additional funds to MA	» Joint resource mobilization: this may involve a country, regional or global pooled fund <sup>52</sup>
Manage financial resources	» Each PUNO manages resources according to its financial regulations and rules	» MA manages consolidated resources according to its financial regulations and rules	» Resources are co-mingled in a country, regional or global pooled fund » AA manages the fund; transfers resources to PUNOs » Each PUNO manages resources according to its financial regulations and rules
Cost recovery	» PUNOs apply indirect cost-recovery rate	» MA applies indirect cost-recovery rate	» AA administrative fee of 1%

<sup>51</sup> Done with 'adequate coordination with the UNRC, to avoid (perceived or real) competition for funds and to maximize opportunities for joint programmes'. UNSDG MAF, section 3.5, 19. See [Chapter 6 Funding the Cooperation Framework, in the Cooperation Framework Companion Package](#); (2) [Companion Piece: SDG Financing and Funding the Cooperation Framework](#).

<sup>52</sup> See UNSDG, [UN Country-level Pooled Funds](#), 2020

Features	Parallel	Consolidated	Pass-through
			<ul style="list-style-type: none"> <li>» PUNOs apply indirect cost-recovery rate of 7%</li> <li>» CA costs budgeted directly</li> </ul>
<b>JP Cycle B. Implement &amp; adjust</b>	<i>Under all FMM:</i> (1) The JP Steering Committee (SC) is accountable for results and provides strategic oversight and guidance. (2) The JP team, guided by a lead PUNO, is responsible to manage for results		
Implement, monitor, and adjust for results	<p>Accountability:</p> <ul style="list-style-type: none"> <li>» JP Steering Committee (SC)</li> </ul> <p>Responsibility:</p> <ul style="list-style-type: none"> <li>» JP Team, carried out by each PUNO according to its programming policies and procedures and financial regulations and rules</li> <li>» Coordination and programmatic leadership: Lead PUNO</li> </ul>	<p>Accountability:</p> <ul style="list-style-type: none"> <li>» JP SC</li> </ul> <p>Responsibility:</p> <ul style="list-style-type: none"> <li>» JP Team, carried out by the MA according to its programming policies and procedures and financial regulations and rules</li> <li>» Coordination and programmatic leadership: <u>Lead PUNO is MA</u></li> </ul>	<p>Accountability:</p> <ul style="list-style-type: none"> <li>» JP SC</li> <li>» AA is accountable for effective and impartial fiduciary management</li> </ul> <p>Responsibility:</p> <ul style="list-style-type: none"> <li>» JP Team, carried out by each PUNO according to its programming policies and procedures and financial regulations and rules</li> <li>» Coordination and programmatic leadership: <u>Lead PUNO is CA.</u><sup>53</sup></li> </ul>
Reporting	<i>Under all FMM:</i> (1) The JP team produces one consolidated, results-based annual report using the <a href="#">standard reporting template</a> ; (2) Reports are reviewed and endorsed by the JP SC and shared with relevant stakeholders.		
	<ul style="list-style-type: none"> <li>» PUNOs prepare: (1) annual and final <b>narrative progress report</b>; (2) annual and final <b>financial reports</b>, using UNSDG approved harmonized budget categories.<sup>54</sup></li> <li>» Lead PUNO prepares <b>consolidated narrative and financial reports</b> (annual and final)</li> </ul>	<ul style="list-style-type: none"> <li>» Lead PUNO/MA prepares: (1) annual and final <b>narrative progress report</b>; (2) annual and final <b>financial reports</b>, using UNSDG approved harmonized budget categories.</li> </ul>	<ul style="list-style-type: none"> <li>» PUNOs: Prepare annual and final narrative reports and financial reports according to its their programming policies and procedures and financial regulations and rules and using UNSDG approved harmonized budget categories.</li> <li>» AA prepares certified annual and final <b>financial statements and consolidated financial reports</b> (based on PUNO reports)</li> <li>» Lead PUNO/CA prepares annual and final consolidated <b>narrative progress reports</b> (based on PUNO reports)</li> </ul>

<sup>53</sup> When requested by all PUNOs, the pooled fund mechanism, or by individual donors UNRCO may support the JP team for coordination purposes. When the UNRCO provides coordination support, the lead PUNO continues as the Convening Agent (CA) and to provide programmatic leadership. See JP guidance, section 2.3 on the role of the UNRC and UNRCO.

<sup>54</sup> <https://mptf.undp.org/document/download/15822>

Features	Parallel	Consolidated	Pass-through
<b>JP Cycle C. Learn, transition and close</b>	<i>Under all FMM: (1) The JP SC is accountable for results and provides strategic oversight and guidance; (2) The JP team, guided by a lead PUNO, is responsible to manage for results</i>		
Evaluation	Under all FMM: A mandatory <a href="#">joint evaluation</a> <sup>55</sup> is conducted when: The JP has a total budget of ≥ USD \$5 million; and/or the JP is expected to continue into a subsequent CF cycle or to be scaled-up. <u>Below</u> these thresholds, the JP strategy and results are assessed as part of the evaluation of the UNSDCF.		
Internal Audit	<i>Under all FMM: Audit coverage of JP decided by the Internal Audit Services (IAS) of PUNOs</i>		
	<ul style="list-style-type: none"> <li>» Each PUNO IAS audits its contribution to JP and reports according to its internal audit report disclosure policy</li> <li>» Lead PUNO IAS prepares one joint public audit report, agreed by all participating IAS</li> <li>» Recommendations undertaken according to PUNO procedures</li> </ul>	<ul style="list-style-type: none"> <li>» MA IAS audits JP and reports according to its internal audit report disclosure policy</li> <li>» MA IAS prepares public audit report and shares with all contributing PUNOs and other stakeholders</li> <li>» Recommendations undertaken according to MA procedures</li> </ul>	<ul style="list-style-type: none"> <li>» Options for joint audit, coordinated by Lead PUNO/CA: (1) IAS of lead PUNO/CA on behalf of all; (2) Group of PUNO IAS; or (3) Outside auditor on behalf of all</li> <li>» One joint public audit report prepared, agreed by all participating IAS</li> <li>» May be complemented by PUNO internal audit reports according to their internal audit report disclosure policy</li> <li>» Recommendations of the joint audit undertaken according to PUNO procedures</li> </ul>
External audit	<i>Under all FMM: The matter of external audit is referred to the External Auditors of all PUNOs</i>		
Investigation	<i>Under all FMM: Depending on the alleged subject(s), an investigation may be conducted by one or more PUNOs' investigation services. Final report(s) are provided to the decision-making body of the PUNO(s) involved. Disciplinary and/or administrative actions, if any, are undertaken according to the disciplinary framework of each PUNO</i>		
Closure	<ul style="list-style-type: none"> <li>» PUNOs are responsible for operational and financial closure of their part of the JP</li> </ul>	<ul style="list-style-type: none"> <li>» Lead PUNO/MA is responsible for operational and financial closure of JP</li> </ul>	<ul style="list-style-type: none"> <li>» PUNOs responsible for operational and financial closure of their part of the JP</li> <li>» AA responsible for financial closure of JP in consultation with PUNO's HQ finance departments</li> </ul>

<sup>55</sup> UNEG, [Resource Pack on Joint Evaluations](#), 2014.

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## **Annex E. Audit and investigation guidelines**

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→ Policy recommendation: This annex is to be reviewed and updated to reflect the current UN systemwide audit guidance and to ensure consistency with the UNSDG legal instruments for JPs. Until the annex is updated, please refer to the audit and investigation guidelines of the PUNOs.





The United Nations Sustainable Development Group (UNSDG) unites the 37 UN funds, programmes, specialized agencies, departments and offices that play a role in development.

At the country level, 132 UN Country Teams serving 162 countries and territories work together to increase the synergies and joint impact of the UN system.

The UN Development Coordination Office (DCO) serves as the secretariat for the UN Sustainable Development Group (UNSDG) at the regional and global levels. DCO provides managerial and oversight functions for resident coordinators. Its activities are advanced through collective ownership by the UNSDG.

The Office acts as a key conduit for supporting the UN's activities for sustainable development, which inform policy, programme and operations on the ground.

For more information or queries, please contact:  
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