INTERIM TECHNICAL GUIDANCE
ASSESSMENT OF RESULTS
AND COMPETENCIES FOR
RESIDENT COORDINATORS
AND UN COUNTRY
INTERIM*
TECHNICAL GUIDANCE

THE ASSESSMENT OF RESULTS AND COMPETENCIES FOR RESIDENT COORDINATORS AND UN COUNTRY TEAMS

*This Guidance is considered ‘interim’ to support the ARC transition phase from the paper-based process to online platform.
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**PURPOSE**

The purpose of this “Interim Technical Guidance” is to provide Resident Coordinators\(^1\) and UN Country Teams with updated information on the Assessment of Results and Competencies (ARC) performance management process, including eligibility criteria for participation; developing ARC Goals and Indicators; the peer-feedback process; the roles of those engaging in the ARC and establishing functions required for the ARC platform. This Guidance is considered ‘interim’ to support the ARC transition phase from the paper-based process to online platform. The Guidance will be updated once the ARC platform is launched to include further aspects of peer-feedback and reporting.

**INTRODUCTION**

The UN Resident Coordinator System, which encompasses all entities of the United Nations development system at the country level dealing with operational activities for development, is expected to function in a participatory, collegial and mutually accountable manner\(^2\). This is further emphasized in the Management and Accountability System\(^3\) (MAS) of the United Nations Development and Resident Coordinator System, particularly the action points related to the principle of mutual accountability for results.

To ensure that UN Development Group (UNDG) agencies are working together in a cohesive and transparent manner, the leadership contributions to achieving results as well as competencies of UN Resident Coordinators (RC)/Humanitarian Coordinators (HC)/Designated Officials (DO)/Deputy Special Representative of the Secretary-General (DSRSG) and UN Country Teams (UNCTs) need to be more effectively assessed as part of the formal performance appraisal process. This appraisal process is conducted annually by the Regional UNDG Performance Management Teams, and it aims to enhance achievement of concrete UN country-level leadership results, and contribute to the implementation of the MAS. As part of the MAS commitments, Resident Coordinators are requested to provide formal input to the performance appraisal process of all UN representatives who are members of the UNCT participating in the process. In response to these commitments, the UNDG developed a new performance appraisal process and methodology for Resident Coordinators and UNCTs called the “Assessment of Results and Competencies” – the ARC.

The ARC is the very first UN system-wide platform for performance assessment. It captures both results and competencies into a single platform, and aims to ensure a more results-based, and efficient gathering and processing of the appraisal inputs. This methodology allows for Resident Coordinators and UNCT

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\(^1\) In the context of this guidance document the term “Resident Coordinator” refers as well to all the additional hats (namely: Humanitarian Coordinator, Designated Official, UNDP Resident Representative and Special Representative of the Secretary-General) the Resident Coordinator wears depending on each country context.


members to clearly indicate their contribution to combined UNCT Goals, and will allow for mutual accountability to be addressed through a feedback mechanism between them.

A) THE ASSESSMENT OF RESULTS COMPETENCIES (ARC) 4

The Assessment of Results and Competencies (ARC) is the new performance appraisal process for RCs and UNCTs, approved by the UNDG in 25 November 2015 which will be supported by an online platform to be available end of 2017. The ARC was conceptualized in response to the UNDG’s review of the Management and Accountability System for RCs to strengthen mutual accountability at the country and regional levels. The UNDG decided to improve the previous performance appraisal system, by combining both results assessment and competency assessment in one platform combined with a conceptual framework that supports mutual accountability. The ARC process and platform will now provide the following:

- Competency assessment of RC and team attribute of UNCT
- Results assessment of both RC and UNCT separately
- Peer feedback between RCs and UNCT Members, and between UNCT members
- Mid-term review
- Developmental plan for both RC and UNCT separately

The main components of the Performance Appraisal process are:

RC/HC/DO/DSRSG Appraisal: the appraisal will be based on the RC/HC/DO/DSRSG’s self-assessment of results against the ARC methodology, as well as structured performance feedback from all UN System stakeholders. For those RCs who also perform integrated mission leadership functions (i.e. DSRSG/DSC), DPA or DPKO provide inputs to their performance appraisal. The inputs are incorporated into one reporting instrument which is then used by the Regional UNDG Team to appraise the RC/HC/DO/DSRSG across all job functions and to provide concrete feedback on 2017 performance.

UNCT Appraisal: the UNCT will be appraised by using the ARC methodology. The ARC methodology allows for RCs and UNCT members to clearly indicate their contribution to combined UNCT goals, and will allow for mutual accountability to be addressed through a peer feedback mechanism.

Peer Feedback: A RC/UNCT peer feedback process will be used to collect narrative feedback from RC and UNCT members on the achievement of joint UNCT goals and demonstration of team attributes, as well as feedback to the RC on the demonstration of results competencies. Additionally, the process requests feedback from the RC to individual UNCT members participating in the ARC.

B) ARC ELIGIBILITY CRITERIA FOR UNCT MEMBER PARTICIPATION IN THE ARC

What this section contains:
- The current eligibility criteria for UNCT members to participate in the ARC.

Background:
The ARC is the performance management system for the RC and UNCT as well as input to the UNCT member’s performance appraisals, and is based on the principle of mutual accountability for results by the UN leadership team in a country. Consequently, defining clearly who is eligible to participate in the ARC at the country level, and who is not, is key to the effectiveness and credibility of this system. This is also important to ensure that performance feedback is directed to the staff member who is actually accountable for leadership of their agency in country.

As defined in the Guidance Note on UNCT conduct and working arrangements of February 2014, “the UNCT is composed of representatives of the UN funds and programs, specialized agencies, and other UN entities in a given country, including non-resident agencies (NRAs) and representatives of the Bretton Woods Institutions. These representatives must be a UN staff member, be nominated by their agency to represent, and be empowered with sufficient decision making authority on programmatic and financial matters related to the programming activities, as called by member states in the QCPR”. The UNCT member eligibility in the ARC is a subset of this UNCT membership composition. However, as the ARC is in a transition phase with the ARC platform to be rolled out at the end of 2017, at this stage participation in the ARC is determined by specific eligibility criteria.

Eligibility in the ARC follows the principle of UN leadership and comparable accountability. Participation is mandatory for the Resident Coordinator. For UNCT member participation in the ARC, the UNCT member must meet specific eligibility criteria.

i. ARC Eligibility Criteria for Resident Agencies

- **Criteria 1**: Must be a UN Staff member
- **Criteria 2**: The agency of the staff member must be an agency of the UNDG
- **Criteria 3**: Has been in their current role for a minimum of 6 months during the calendar year being appraised

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5 List of UNDG agencies is as follows: FAO, IFAD, ILO, IOM, ITU, OHCHR, UNAIDS, UNCTAD, UNDESA, UNDP, UNECA, UNECE, UNECLAC, UNEP, UNESCAP, UNESCO, UNESCWA, UNICEF, UNIDO, UNFPA, UNHABITAT, UNHCR, UNODC, UN OHCHR, UNOPS, UNOSAA, SRSG/CAC, UN Women, UNWTO, WFP, WHO and WMO
ii. ARC Eligibility Criteria for Non-Resident Agencies

- **Criteria 1:** Must be a UN Staff member
- **Criteria 2:** Staff member must be accredited to the country
- **Criteria 3:** Staff member agency must be a member of the UNDG
- **Criteria 4:** Has been in their current role for a minimum of 6 months during the calendar year being appraised
- **Criteria 5:** Has full delegated authority from their agency on both the financial and programmatic decision making for their respective agency

UNCT member participation in the ARC in adherence with the eligibility criteria must be confirmed in writing to the Resident Coordinator by the UNCT member.

Those UNCT members that are also performing the Resident Coordinator ad interim role (RC a.i.) are not assessed as part of the ARC performance appraisal process in their role as RC a.i. However, their individual contributions to the UNCT Goals should be included and shared with their agency as a UNCT member participating in the ARC.

**Important note:** It is the UN Resident Coordinator function that is assessed in the ARC, and not the UNDP Resident Representative function. The UNDP Country Director (CD) or UNDP Deputy Resident Representative (DRR) represent UNDP on the UNCT Country Team, and would participate in the ARC.

iii. ARC Eligibility Criteria for Regional Directors

Only one role per staff member in the ARC process is permissible. If a Regional Director participates in the Regional UNDG Performance Management Team (at the D2 level and above) and also meets the eligibility criteria as UNCT member participating in the ARC and decides to participate in the ARC, then the Regional Director must recuse themselves from the Regional UNDG PMT discussion for the specific country.

C) RC AND UNCT MEMBER PARTICIPATION ACROSS ARC GOAL CATEGORIES

**What this section contains:**
- Explanation on RC and UNCT member participation in the ARC Goals
RC participation:

- The RC is obligated to provide indicators against all 5 ARC Goal categories. This is not optional. These indicators would identify the RC’s specific leadership contributions towards achieving the Goals.
- The RCs’ indicators should be shared with UNCT members participating in the ARC to enable the ARC peer feedback process at the end of the year. The RCs’ indicators will also be visible to UNCT members on the ARC platform.

UNCT member participation:

- UNCT members eligible to participate in the ARC will have the choice to define their own indicators for a minimum of two (and up to all five) UNCT Goals categories.
- For UNCT members, the decision on what indicators to include would not be arbitrary, but be used to demonstrate specific individual leadership contributions towards achieving the UNCT Goals, and reflect the specific role that a given UNCT member plays. For example, some agencies will not have a role to play in the Humanitarian work in the country therefore their inclusion of an indicator in this regard would not apply.
- The UNCT members’ indicators in the ARC should be shared between the UNCT members participating in the ARC to enable the ARC peer feedback process. The indicators of each UNCT member will also be visible on the ARC platform. Every UNCT member participating in the ARC should know what commitments the RC and other UNCT members have indicated towards achieving the UNCT Goals.

D) MUTUAL ACCOUNTABILITY – PEER FEEDBACK PROCESS

What this section contains:
- Mutual accountability for results and key aspects of the ARC Peer feedback

Mutual accountability for results:
The ARC methodology captures results and competencies and aims to ensure a more results-based, and efficient gathering and processing of the appraisal inputs.

This methodology allows for the RC/HC/DO and UNCT members to clearly indicate their contribution to combined UNCT goals, and will allow for mutual accountability to be addressed through a peer feedback mechanism.
**Peer feedback approach:**
- Only UNCT members eligible to participate in the ARC will have access to the ARC platform and participate in peer feedback on results and competencies.
- The peer feedback process is not anonymous. Individual reports for the RC and UNCT members will contain feedback attribution.
- The DO role does not receive feedback from the UNCT.
- The Peer feedback reports of UNCT members will be provided to their respective agencies to be considered as part of their agency performance appraisal process.

**Peer feedback process:**
- UNCT members will provide feedback to the RC and their peer UNCT members.
- RC will provide feedback to all UNCT members participating in the ARC.
E) RESULTS - DEVELOPING ARC GOALS AND INDICATORS

*What this section contains:*
- Clarification of results framework in the ARC

**Definition of a GOAL**
The UNCT Goals in the ARC will frame the focus in each Goal category for which the RC and UNCT members will demonstrate their individual strategic level engagement, leadership roles and contributions to achieving them.

- A GOAL is an aim, an intention, a desired end or target, an achievement toward which effort is directed.
- UNCT Goals are statements describing what we want to achieve toward the UN priorities in a country.
- UNCT Goals are written in the SMART model (Specific, Measurable, Attainable, Realistic and Time Bound so results are tangible.
- Definition of UNCT success criteria is the result and outcome of the potentially realized Goal. Success criteria helps a UNCT to determine whether they have achieved the Goal.
- Individual Indicators describe the evidence of the staff member’s contribution that will ensure achievement of the UNCT Goal.
- The role of the Regional UNDG Performance Management Team is to approve the UNCT Goals and UNCT Success Criteria as well as to approve RC indicators against the UNCT Goals.
- UNCT member indicators against the UNCT Goals will need to be shared and agreed the UNCT member supervisor.

**Developing UNCT Goals and Success Criteria, and Individual Indicators**

To prepare themselves to identify the 5 Goals for the ARC, UNCTs are encouraged to review priorities of the UN in the country as reflected in the UNDAF/One Programme, UNCT work plan (Annual coordination framework), humanitarian plans, security plans and other planning instruments.

- The UNCT to agree on 5 measurable Goals, one in each of the 5 Categories (Development, Political, Human Rights, Security and Humanitarian). If necessary, there is the flexibility to add one more Goal in any of the categories (i.e. Development Goal category, Humanitarian Goal category, etc.).
- The UNCT to agree on 2-3 UNCT Success Criteria for each UNCT Goal that as a UNCT will describe the evidence that will ensure achievement of the Goal.
- The RC and the UNCT members provide 1-3 indicators each separately, for each of the 5-6 Goals corresponding to their individual contribution towards the UNCT Goals.
- Goals and Indicators will be uploaded into the ARC online platform; in the meantime, they should be developed offline in a template\(^6\). The 5 categories of measurable Goals are described as follows:

**Humanitarian Goal:**
RC/HC with HCT – when developing the Humanitarian Goal, the UNCT will draw on humanitarian plans with focused contributions from relevant UNCT members that are members of a Humanitarian Country Team (HCT). The RC/HC will have indicators in line with HC Compact with the UN Emergency Relief

\(^6\) See Annex 1 - Template for Goals & Indicators
Coordinator (ERC), who is supported by OCHA, for the HC function. Individual UNCT members who participate in the HCT, will identify indicators that demonstrate their respective contributions to the Humanitarian Goal.

Security Goal:
RC/DO with UNCT – when developing the Security Goal, the UNCT will draw on the security plan, with focused contributions from UNCT members that are also members of the Security Management Team (SMT). The Designated Official (DO) will have indicators from DSS for the DO role, and individual SMT members will develop specific indicators on their respective contribution to the Security Goal.

Development Goal:
RC with UNCT – when developing the Development Goal, the UNCT will draw on the strategic positioning of the UN in the country, linking UNDAF/One Programme outcomes with national priorities and ensuring national capacity development and inclusion of the key principles in the country analysis/UNDAF of gender equality, human rights based approaches, environmental sustainability, results based management and capacity development\(^7\); ensuring effective resource mobilization, including non-core, in support of the UNDAF/One Programme; ensuring that the interests of non-resident agencies are adequately represented, etc. The RC will have indicators from the UNCT for the RC role, and individual UNCT members will develop specific indicators on their respective contribution to the Development Goal.

Political Goal:
RC with UNCT – when developing the Political Goal the UNCT will address political obstacles in relation to the rule of law; engage with the Department of Political Affairs in the event of deterioration or evolution of the political situation in the country, develop relations with key national and local political actors; support the Government in engaging, and mobilizing a network of strategic partnerships around national priorities, policymaking and aid coordination mechanisms. The RC will have indicators from the UNCT for the RC role, and individual UNCT members will develop specific indicators on their respective contribution to the Development Goal.

Human Rights Goal:
RC with UNCT – when developing the Human Rights goal the UNCT will advocate for fundamental UN values under its Charter, including respect for and protection of human rights; mainstreaming human rights norms and standards into programmatic and operational activities for development; facilitating engagement with UN human rights mechanisms and access to knowledge and expertise on international human rights norms and principles; ensuring a coordinated approach to building national capacity to implement human rights; upholding UN’s responsibilities with regard to preventing and responding to serious violations of human rights and humanitarian law, etc. The RC will have indicators from the UNCT for the RC role, and individual UNCT members will develop specific indicators on their respective contribution to the Development Goal.

\(^7\) Any update on programming principles based on the revision of the UNDAF Guidelines will be incorporated into the ARC Guidance.
What this section contains:
- Participation in Regional UNDG Performance Management Team
- Background on goals and competencies to be assessed
- What the Regional UNDG Performance Management Team will receive and what is expected from them to complete the performance appraisal process in the ARC platform

ARC Eligibility Criteria for Regional UNDG Performance Management Team
The participation in the Regional UNDG Performance Management Team and their appraisal meetings is intended to be inclusive of the UN system and may include senior officials from across the Funds, Programmes and Specialized Agencies. When considering participation at the performance appraisal meeting, the following three criteria should be taken into consideration:

1. A direct country presence and budget.
2. Direct oversight responsibility for the respective UNCT member.
3. Serving at D2 level or above.

What information will the Regional UNDG Performance Management Team receive?

Self-Assessment
- RCs and UNCTs will have defined 5 Goals and will provide a self-assessment narrative based on the defined RC Indicators, and respective UNCT Success Criteria for each Goal.

Peer Feedback
- Feedback from the UNCT members eligible to participate in the ARC will be provided as follows:
  o to the RC on his/her contributions to the UNCT Goals
  o to the RC on the four competency domain areas
  o feedback will be provided against each individual goal and competency with the option for overall narrative feedback. There is no provision for providing overall ratings – the UNCT members do not assess the RC but provide feedback for consideration by the Regional Performance Management Team.
- The RC will be able to provide feedback to each UNCT member on their contributions to the UNCT Goals, as well as on their competencies.
- The UNCT members will also be able to provide feedback to one another. Peer feedback to individual UNCT members (as part of individual UNCT member feedback reports) will not be shared with the Regional UNDG Performance Management Team (PMT) – the PMT does not assess individual UNCT members.
- The feedback from the RC and other UNCT members will be provided to agencies, and can be taken into consideration in the respective UNCT member’s agency performance appraisal.
What is expected from the Regional UNDG Performance Management Team?

The Regional UNDG Performance Management Team will provide an overall performance assessment narrative and a rating for each RC and UNCT, respectively. There will be one overall narrative and rating for the RC, and another overall narrative and rating for the UNCT. This overall narrative and rating will include consideration of all inputs received (both on the results vis-a-vis the roles of RC, HC, DSRSG, as applicable, and for the related competencies and team attributes). The rating will be on the Results, and feedback on competencies will be captured in the narrative.

- Agreement would need to be reached by the Regional UNDG Performance Management Team on these two narratives and two ratings for each country – one set for the RC and one set for the UNCT.
- **Note:** Feedback from UNCT members will not be provided to the DO role. This is the sole prerogative of the USG UNDSS, as per the formal delegated authority to oversee the DO function, as assigned by the Secretary-General.

The key changes from the previous process are that:

(a) The Regional UNDG Performance Management Team will have common data and tangible evidence on which to base their overall performance assessment, and
(b) A team performance assessment will be conducted also for the UNCT, including providing a rating, which was not done in previous years.

**G) UNDG PARTICIPATION IN THE ARC**

*What this section contains:*
- Explanation of UNDG engagement in the ARC process (i.e. those agencies that are not members of the Regional UNDG Performance Management Team)

**UNDG participation beyond the Regional UNDG Performance Management Team:**

Agencies participating through the UNDG mechanism can provide overall feedback on the performance of the RC. Agencies will only provide comment input for RCs.

Inputs will only be collected for UNDG member Agencies. Agencies participating through the UNDG mechanism do not assess the RC nor the UNCT, but provide input for consideration of the Regional UNDG Performance Management Team. Agencies submitting feedback through UNDG mechanism do not provide ratings nor review final assessment report content.

**For 2017 performance appraisal cycle,** the UNDG Agencies that want to provide input to the performance assessment of the RC, for consideration of the Regional UNDG Performance Management Team, will continue to provide this feedback through a template provided by UN DOCO at year-end. Input to be signed by Agency representative at the D2 level or above.
Background information on goal categories and competencies to be assessed:
The ARC Goal categories are as follows: i) Development, ii) Political, iii) Human Rights, iv) Security and v) Humanitarian.

For the final rating the ARC uses four rating categories to provide feedback on results: Exceptional Achievement; Fully Accomplished; Partially Accomplished; Not Accomplished. A Self-assessment and peer feedback from eligible UNCT members will be available as an input to the Appraisal process.

The self-assessment and peer feedback are based on RC competency domains and UNCT attributes that are described in Section E.

The ARC uses four rating categories to provide feedback on competencies and attributes: Exceptionally Demonstrated; Fully Demonstrated; Partially Demonstrated; Not Demonstrated. The self-assessment will include feedback on competencies and peer feedback will be per competency area. See Annex 2 and 3 for more detailed descriptions.

H) ROLES IN SETTING UP THE ARC PERFORMANCE MANAGEMENT CYCLE

What this section contains:
- The roles to be carried out at the country level to set-up the performance management cycle for the year

Roles and responsibilities in setting up the ARC for the performance management cycle:

RC and eligible UNCT members, together
- agree on common goals under the ARC goal categories, including the respective UNCT Success Criteria under each goal.
- appoint a specific staff member to be the UNCT ARC Administrator (see Table 1).

RC and eligible UNCT members, individually
- will have secured access to the ARC platform, and are responsible for entering their own indicators and self-assessment into the ARC platform.
- each individual is responsible for providing feedback to his/her UNCT peers and the RC as appropriate, and to input this feedback directly into the ARC system. This is applicable only to UNCT members eligible to participate in the ARC as per the eligibility criteria.

UNCT ARC Administrator
- a designated UN staff member (one person per country only) at appropriate level who is responsible for managing the ARC at the country level, under the oversight of the RC. the UNCT ARC Administrator should be personnel from the RC Office and must have a UN email address and UN Index Number.
- the RC, in consultation with the UNCT, would agree on the designated RC Office staff member.
- the designated RC Office staff member is then officially communicated to UNDOCO by the RC, and the associated access rights in the ARC platform is provided by UNDOCO to the designated staff member.
Table 1 captures the information required for set-up in the ARC platform.

Responsibilities: The UNCT ARC Administrator will be responsible for:

a. Entering the names, contact information, and other required data for the eligible UNCT members who will be participating in the ARC each year. Any changes to the ARC information at the country level will be administered directly by the UNCT ARC Administrator, in consultation with the RC. The RC is accountable for validating and clearing the ARC UNCT participant list as per the eligibility criteria.

b. Entering the UNCT Goals and associated Success Criteria into the ARC platform, and managing any changes required. Upon completion of this step, the UNCT Goals will be made available to all the UNCT members eligible to participate in the ARC via the ARC platform, which then allows them to complete the next steps in the process. At year end, UNCT ARC Administrator will enter the UNCT’s group self-assessment in the ARC platform.

c. UNCT ARC administrator is an administrative role and any actions taken in the ARC platform will be done on behalf of the RC or UNCT as applicable.

The UNCT ARC Administrator is a new and key function as part of the performance appraisal process. The staff member designated in this role should be acknowledged, and this role included in his/her own performance assessment for the year. Training and guidance will be provided to those undertaking the role of UNCT ARC Administrator.

Below is a template for submitting the information of UNCT ARC Administrator, which will need to be submitted to UNDOCO (arc@undg.org).

**Table 1: Year 2017 – [Enter Country Name]**

<table>
<thead>
<tr>
<th>Name of UNCT ARC Administrator – [Enter Name of person identified by the RC in agreement with UNCT]</th>
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<table>
<thead>
<tr>
<th>Index Number</th>
<th>First Name</th>
<th>Middle Name</th>
<th>Last Name</th>
<th>UN Email ID</th>
<th>Sex</th>
<th>Job Title</th>
<th>Grade</th>
<th>Entry on Duty (EOD)</th>
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<td></td>
<td></td>
<td></td>
<td><strong>Official UN email address</strong></td>
<td><strong>Male</strong></td>
<td><strong>Official UN Job Title</strong></td>
<td><strong>Grade</strong></td>
<td><strong>EOD in this role in country</strong></td>
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ANNEX 1

ARC TEMPLATES FOR
THE UN RESIDENT COORDINATOR/ HUMANITARIAN COORDINATOR/ DESIGNATED OFFICIAL,
UN COUNTRY TEAM, AND UNCT MEMBERS

Instructions:
The templates to capture UNCT Goals, UNCT Success Criteria, RC individual indicators, and individual UNCT member indicators are to be completed offline.

For the UN Resident Coordinator / Humanitarian Coordinator / Designated Official (RC/HC/DO) and UNCT (as entity), please send to your Regional Coordination Specialist. The information will be reviewed by the Regional UNDG Team who will provide feedback on the UNCT Goals and RC Indicators taking into account the priorities of the UN in the country.

For the UNCT members, please send to your respective supervisor to include these inputs into your agency performance appraisal process. The review of the ARC UNCT member Indicators, as contribution to the joint UNCT Goals, is to be done by respective Regional Directors of UNCT member’s organization, in accordance with the Management and Accountability System of the UN Development and Resident Coordinator System including the “functional firewall: of the RC System".

For RCs who also serve as HC, the indicators should be consistent with ERC/HC compact, as applicable.

For RCs who also serve as DO, the indicators should be consistent with UNDSS DO defined functions.

For those RCs who also perform integrated mission leadership functions (i.e. DSRSG/ERSG/DSC), the lead department (DPA or DPKO) will provide additional inputs for their performance appraisal.

Annex 2 includes descriptions of the rating system for the results as well as the competencies which are to be used in the self-rating in the reporting template (through a drop-down menu).

Annex 3 includes the description of the competency domains and team attributes with their indicators for the RC and UNCT Members, and UNCT Team.

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8 This is in line with one of the four action points for mutual accountability related to: UNCT results included in agency performance appraisal systems: Implementation of agencies agreement to include procedures for assessment of UNCT results in their own agency assessment systems monitored and reported.
A. UNCT MEMBERS PARTICIPATING IN THE 2017 PERFORMANCE YEAR

<table>
<thead>
<tr>
<th>DSRSG/RC/HC/DO</th>
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<tr>
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<table>
<thead>
<tr>
<th>Last Name of UNCT ARC Participants</th>
<th>First Name of UNCT ARC Participants</th>
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<td>Resident Coordinator</td>
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<td>Agency Representative 1...</td>
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<td>Agency Representative 2...</td>
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</table>
The UN RC will submit, on behalf of the UNCT, the UNCT ARC Goals and Success Criteria to be completed together based on their consultations.

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<th>DSRSG/RC/HC/DO (Name (LAST, First))</th>
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C. DSRSG/RC/HC/DO | ARC GOALS AND INDIVIDUAL INDICATORS TEMPLATE

The DSRSG/RC/HC/DO will complete this template to include his/her key planned indicators towards achieving each UNCT ARC Goal. The RC will submit this to their Regional UNDG Performance Management Team through their respective Regional UNDG Coordination Specialist.

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<thead>
<tr>
<th>DSRSG/RC/HC/DO (Name LAST, First)</th>
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<tbody>
<tr>
<td>Country</td>
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### UNCT ARC GOALS FOR 2017

<table>
<thead>
<tr>
<th>UNCT ARC GOALS FOR 2017</th>
<th>RC/HC/DO KEY PLANNED INDICATORS</th>
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<tbody>
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<td>1 Development</td>
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### D. UNCT MEMBER | ARC GOALS AND INDIVIDUAL INDICATORS

Each participating ARC UNCT member identify their individual indicators towards achieving UNCT ARC Goals and forward to their direct supervisor for feedback and consideration for inclusion as part of their agency performance management process. (This is the only section that does not get forwarded to the Regional Coordination Specialist for your region.)

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<thead>
<tr>
<th>Name (LAST, First)</th>
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ANNEX 2

DESCRIPTION OF RATING SYSTEM FOR GOALS AND FOR COMPETENCIES/TEAM ATTRIBUTES

Rating Definitions for Goals

• **Exceptional Achievement:** Delivered qualitative and quantitative planned results that demonstrably and fully met all and exceeded one or more indicators. Took actions that led to positive recognition of the UN inside and/or outside the country.

• **Fully Accomplished:** Delivered qualitative and quantitative planned results that demonstrably and fully met all indicators. Demonstrated competencies that enable this [RC/ UNCT Member/ UNCT as entity] to fully contribute to all aspects of effective UNCT functioning.

• **Partially Accomplished:** Delivered qualitative and quantitative planned results that demonstrably met parts of all or some indicators. Demonstrated that [RC/ UNCT Member/ UNCT as entity] requires development to achieve planned results.

• **Not Accomplished:** Did not deliver planned results qualitatively and/or quantitatively to fully or partially meet indicators. Before the next performance cycle the [RC/ UNCT Member/ UNCT as entity] needs to engage in a structured plan that includes learning activities, coaching and/or mentoring to address current shortfall with respect to qualitative and/or quantitative achievement for this goal.

Rating Definitions for Competencies/Team Attributes

• **Exceptionally Demonstrated:** Demonstrated competency that make this [RC/ UNCT Member/ UNCT as entity] a resource and a role model. Took actions that led to positive recognition of the UN inside and/or outside the country. Fully met all indicators and exceptionally demonstrated one or more.

• **Fully Demonstrated:** Demonstrated competency that enables this [RC/ UNCT Member/ UNCT as entity] to fully contribute to all aspects of UNCT functioning. Fully met all indicators both qualitatively and quantitatively.

• **Partially Demonstrated:** Displayed specific competency and/or behavioural indicators that require development for overall effectiveness as an [RC/ UNCT Member/ UNCT as entity]. Demonstrated parts of some or parts of all indicators.

• **Not Demonstrated:** Before the next performance cycle the [RC/ UNCT Member/ UNCT as entity] needs to engage in a structured plan that includes learning activities, coaching and/or mentoring to address current shortfall in the competency or behavioural indicator. Did not demonstrate competency full or partially.
DESCRIPTION OF COMPETENCY DOMAINS AND TEAM ATTRIBUTES

1. **RC/HC/DO – Competency Domains and rating definitions**

**Competency Domain 1–Impact and Drive: Advocacy and Influence; Resilience; Values and Ethics**

The RC effectively uses a range of advocacy/influencing strategies suited to varied audiences to promote ideas and achieve results. The RC is a skilled negotiator who seeks win-win solutions through conveying an understanding of the needs and interests of others. S/he is resilient and works well under high pressure, promotes a spirit of optimism and maintains emotional control in the face of difficult situations. The RC leads by example, sets the highest ethics, values and work standards, and continually lives them both personally and professionally. This is demonstrated in the RC’s principled and transparent decision making impartiality, respect for diversity and human rights, and intolerance of inappropriate behaviour.

**Behavioural Indicators:**
- Effectively promotes ideas and achieves results through employing effective advocacy/influencing strategies intentionally suited to varied audiences.
- Works well under high pressure demonstrating emotional control and promoting a spirit of optimism.
- Is a role model for the highest UN ethics, values, and work standards both personally and professionally.

**Competency Domain 2-Delivering Results: Planning and Organizing; Drive for Results and Accountability**

The RC identifies and communicates effective plans, fosters a sense of urgency on the team to drive for planned results, identifies and mobilizes resources for the whole team, manages timelines and coordinates activities to achieve defined goals. S/he monitors and evaluates progress based on pre-determined benchmarks and implements contingency plans when circumstances require. The RC is responsive to the need to change from long to short-term planning in chaotic circumstances. S/he promotes mutual accountability for outcomes.

**Behavioural Indicators:**
- Identifies and communicates defined goals, and manages timelines, mobilizes resources and coordinates activities to achieve those goals.
- Fosters a sense of urgency and mutual accountability to drive for planned results and monitors and evaluates progress based on pre-determined benchmarks.
- Is flexible in the face of chaotic circumstances and can implement short term and contingency plans when long term plans lose feasibility.

**Competency Domain 3-Leading and Engaging: Leading and Managing People; Engaging and Nurturing Partners/Stakeholders**

The RC actively leads the team to develop shared purpose, involves people in decisions and promotes ownership of shared goals. S/he facilitates a group process on the team that is mutually supportive, builds collaboration and actively seeks to resolve conflict. The RC is creative in fostering partnerships, identifying common interests and seeks to broaden avenues of cooperation to achieve mutual goals. The RC provides on-going feedback to ensure stakeholders deliver on commitments and regularly informs team members of developments affecting country context.
Behavioural Indicators:
- Promotes shared ownership through involving the team in decision making and keeping the team informed of developments affecting the country context.
- Facilitates a mutually supportive group process, takes quick action to resolve conflict and builds collaboration on the team.
- Creatively fosters partnerships and provides on-going feedback to ensure stakeholders deliver on commitments.

**Competency Domain 4-Managing Complexity: Analysis & Decision Making; Strategic and Political Thinking**

The RC formulates, communicates and operates with a coherent vision and a strategic perspective in collaboration with the UNCT. S/he makes well informed and timely decisions that demonstrate effective analysis of complex information, and identification of key issues, options and consequences. S/he addresses the integrated and changing needs of the host country based on knowledge of its political, economic and social issues and collaborates with the UNCT to pursue this vision through jointly held team goals. S/he is able to take considered risks as required and identify ways to mitigate these risks. S/he has the flexibility to modify decisions as important and/or more complete information becomes available.

Behavioural Indicators:
- Formulates, communicates and operates with a coherent vision and a strategic perspective in collaboration with the UNCT.
- Makes well informed and timely decisions that demonstrate effective analysis of complex information, identification of key issues, options and consequences, and flexibility to adapt to changing circumstances.
- Demonstrates capacity to take considered risk to address the integrated and changing needs of the host country based on knowledge of its political, economic and social issues.

**2. UNCT Member – Competency Domains and rating definitions**

**Competency Domain 1-Impact and Drive: Advocacy and Influence; Resilience; Principles, Values and Ethics**

The UNCT member actively participates in formulating a clear vision and plan for addressing the integrated and changing needs of the host country or countries. The team member advocates with, inspires and influences agency heads to pursue the plan as well as initiates and promotes action throughout the team to achieve Country Team goals. The team member is resilient and optimistic in the face of changing circumstances and setbacks. The team member demonstrates commitment to the ethics, principles and values of the UN and models, promotes and defends these values.

Behavioural Indicators
- Effectively participates in formulating a clear vision and plan for addressing the integrated and changing needs of the host country or countries.
- Works to inspire and influence agency head to pursue the plan as well as initiates and promotes action throughout the team to achieve UNCT goals.
- Is a role model of resilience in the face of changing circumstances and works with the highest UN ethics, values, and work standards both personally and professionally.
**Competency Domain 2-Delivering Results: Planning and Organizing; Drive for Results and Accountability**

The UNCT member takes personal responsibility for making things happen and seeks to increase team performance by agreeing to measurable team and individual goals, and monitoring progress and identifying actions to improve on-going performance. The team member balances his or her own agency priorities with the UNCT’s priorities. S/he demonstrates a sense of urgency and an energetic focus on vision and results. The team member contributes to resource mobilization both for the UNDAF and One UN Fund as applicable. The team member delivers on commitments.

**Behavioural Indicators:**
- Takes personal responsibility for making things happen and seeks to increase team performance by agreeing to measurable team and individual goals, and monitoring progress and identifying actions to improve on-going performance.
- Balances his or her own agency priorities with the UNCT’s priorities. Demonstrates a sense of urgency and an energetic focus on vision and results.
- Contributes to resource mobilization both for the UNDAF and One UN Fund as applicable. The team member delivers on commitments.

**Competency Domain 3-Communicating and Engaging: Openness and Conflict Resolution; Engaging and Nurturing Partners/Stakeholders**

The team member actively models and promotes a culture of regular, open and honest intra and interagency communication. Specifically, he or she shares information with other UNCT members and demonstrates sensitivity to all aspects of diversity. The team member manages conflict effectively by working to integrate and/or resolve differences with other team members. S/he balances collaborative approaches with assertion as the situation requires. The team member contributes to building positive and supportive team group dynamics.

**Behavioural Indicators:**
- Promotes a culture of regular, open and honest intra and interagency communication.
- Facilitates a mutually supportive group process, takes quick action to resolve conflict and builds collaboration on the team.
- Creatively fosters partnerships and provides on-going feedback to ensure stakeholders stay engaged and deliver on commitments.

**Competency Domain 4-Managing Complexity: Analysis and Decision Making; Strategic and Political Thinking**

The team member works with others to process and integrate information that clarifies challenges and opportunities in the host country and enables realistic adjustments to plans; effectively challenges and supports colleagues to generate cross agency opportunities which leverage UNCT impact; demonstrates sensitivity and responsibility in incorporating into plans the concerns, strategies and political influences among the team and among external stakeholders. The team member brings her/his agency expertise to UNCT analysis and strategic development.

**Behavioural Indicators:**
- Formulates, communicates and operates with a coherent vision and a strategic perspective in collaboration with the UNCT.
- Makes well informed and timely decisions that demonstrate effective analysis of complex information, identification of key issues, options and consequences, and flexibility to adapt to changing circumstances.
• Demonstrates capacity to take considered risk to address the integrated and changing needs of the host country based on knowledge of its political, economic and social issues.

3. **UNCT (as an entity) – Team Attributes and definitions**

**Team Attribute 1: Clear Common Goals**
The team identifies and endorses a set of common strategic goals, commits the resources to deliver on them, and enthusiastically communicates them to stakeholders.

**Behavioural Indicators**
- The team agrees on and endorses a set of common strategic goals with meaningful targets, actions and time frames to achieve and measure the goals.
- The team commits and delivers resources to achieve team goals.
- The team actively and enthusiastically communicates team goals to stakeholders.

**Team Attribute 2: Transparent, Positive and Supportive Group Dynamics**
The team honors varied points of view and makes decisions through consensus; team members actively support one another by recognizing individual member contributions; the team actively celebrates its successes and models pride in team accomplishments.

**Behavioural Indicators**
- The team arrives at decisions transparently through consensus; tolerates disagreement, but actively resolves team conflict.
- The team demonstrates team solidarity through active support and recognition of fellow team members’ contributions.
- The team promotes positive working relationships by celebrating team successes and modeling pride in team accomplishments.

**Team Attribute 3: Commitment, Accountability and Drive for Results**
The team acts as one in word and deed. Team members are each empowered by the team to carry out assigned tasks. The team continually updates its members so they are apprised of progress toward plans and goals, challenges and course corrections.

**Behavioural Indicators**
- The team acts as one in word and deed.
- The team empowers team members to carry out their assigned tasks.
- The team continually seeks to update all team members so they are fully apprised of progress toward plans and goals, challenges and course corrections.

**Team Attribute 4: Effective Use of Team Member Talent**
The team identifies and employs the unique abilities of each team member, actively involves each team member in progress toward goals, and fosters the trust and flexibility to alter individual team member roles as goals require.

**Behavioural Indicators**
- The team identifies and beneficially uses the unique abilities of each team member.
- The team actively involves each team member in achieving or tracking progress toward team goals.
- The team fosters the trust and flexibility to alter individual team member roles as goals require.