

## FAQs

### The ARC: Assessment of Results and Competencies of RCs and UNCTs

#### What is the ARC?

The Assessment of Results and Competencies (ARC) is the new online performance appraisal tool for RCs and UNCTs, approved by the UNDG in December 2015, which will be used for the 2016 performance appraisal of RCs and UNCTs.

The previous performance appraisal system for RCs and UNCTs was paper-based and used two separate instruments to appraise performance: (i) the RC/UNCT Annual Report, and (ii) the competencies designated in the 180 tool.

The ARC was conceptualized in response to the UNDG's review of the Management and Accountability System for RCs. The UNDG decided to improve the former performance appraisal system, combining both results assessment and competency assessment in one platform.

The ARC platform will now provide the following:

- Competency assessment
- Results assessment
- Input into UNCT members' performance assessments
- Focused peer feedback
- Mid-term review
- Developmental plan

#### How will the ARC work?

The ARC provides consolidated feedback from the RC and UNCT members on how well the UNCT performed, as well as how the RC and each UNCT member contributed towards the achievement of agreed UNCT goals for the performance period. The ARC will produce reports for the RC, the UNCT and each UNCT member. ARC reports will be a key input to the formal appraisals of the RC/HC/DO and UNCT, conducted annually by the Regional UNDG Teams. Individual team member ARC reports will also be provided to the respective agencies for the performance reviews conducted by the Regional Director.

The ARC integrates the appraisals of RCs who are also: (a) Humanitarian Coordinators; (b) Designated Officials for Security; and (c) Deputy Special Representatives of the Secretary-General (DSRSG). All these inputs are incorporated online into the ARC, to be used by the Regional UNDG Team to appraise the RC across all job functions.

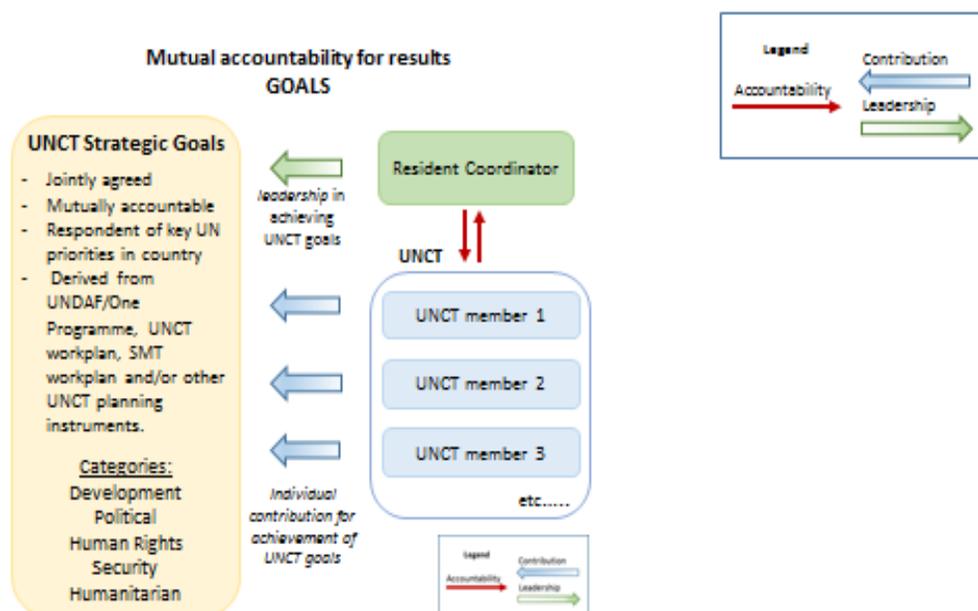
## 1. Assessment of Results in the ARC

The ARC fosters mutual accountability for jointly agreed UNCT goals. The ARC requires a minimum of one goal in each of the following goal categories: Development, Humanitarian, Human Rights, Political, and Security. In the beginning of the year, the UNCT identifies the common goals the UNCT will be assessed against at the end of the year.

The RC establishes indicators that reflect his/her leadership of the UNCT in achieving the UNCT goals. Likewise, each UNCT member also identifies indicators for what his/her specific contribution will be towards each of the UNCT goals, per their different roles. Since the UNCT is also assessed as an entity, the UNCT would identify indicators for which they are collectively accountable. To ensure a robust assessment and clarity of the goals, it is highly recommended that at least 2 to 3 indicators be established per goal area.

The ARC is flexible. Goals and indicators can be adjusted at mid-year if necessary i.e. if the country context changes. The UNCT should conduct a mid-year informal review of progress towards UNCT goals, at which time they may document any adjustments, if required.

Figure 1: ARC mutual accountability for results



## 2. Assessment of Competencies in the ARC

The ARC assesses competencies of RCs and UNCT members, and attributes of the UNCT as a collective entity. Competencies are those stipulated in the RC Competency Framework as well as in the Guidance Note on UNCT Conduct and Working Arrangements. Behavioral indicators will be provided in the ARC tool for the following areas:

### a. [UNCT](#)

The ARC provides feedback on the **UNCT's demonstration** of the following **four attributes of high functioning teams**:

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.
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; inform team members in a timely manner; the team actively celebrates its successes and models pride in team accomplishments.
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; and
4. **Effective use of team member capacities:** 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.

### b. [Resident Coordinator](#)

The ARC provides feedback on the **RC's demonstration** of the following **four competency domains**.

1. **Impact and Drive (Advocacy and Influence; Resilience; Principles, 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.
2. **Delivering Results (Planning and Organizing; Drive for Results and Accountability):**  
The RC creates and communicates effective plans, fosters a sense of urgency on the team to

drive for planned results, identifies and mobilizes resources, 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. Regularly checks assumptions. 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.

3. **Leading and Engaging (Leading and Managing People; Engaging and Nurturing Partners/Stakeholders):** The RC actively leads the team<sup>1</sup> 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.
4. **Managing Complexity (Analysis and 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, transparent 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 more complete information becomes available.

c. [UNCT member](#)

The ARC also provides feedback on a **UNCT member's demonstration** of the following competency domains of **high functioning team members**:

1. **Impact and Drive (Advocacy and Influence; Resilience; Principles, Values and Ethics):** The team 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.
2. **Delivering Results (Planning and Organizing; Drive for Results and Accountability):** The team member takes personal responsibility for making things happen and seeks to

---

<sup>1</sup> The RC leads the UNCT in adherence to the UNDG 'Management and Accountability System, including the functional firewall'.

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 and checks assumptions. He or she 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.

3. **Communicating and Engaging (Proactive Communication; 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. He or she balances collaborative approaches with assertion as the situation requires. The team member contributes to building collegial, positive and supportive team group dynamics.
4. **Managing Complexity (Analysis and Decision Making; Strategic and Political Thinking):** The team member works with others on the Country Team 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 Country Team 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.

### 3. Self-assessment of Results and Peer feedback

At the end of the year, the UNCT as an entity, plus the RC and the UNCT members individually will complete a self-assessment of results against the goals and indicators they committed to at the beginning of the year, while also reflecting any adjustments made during the UNCT mid-year check in.

Each UNCT member will select a minimum of five other UNCT members with whom they work closely, to provide inputs/feedback on his/her contributions to the UNCT goals. Each UNCT member will also select a minimum of five UNCT members for whom they wish to provide feedback. The greater the number of members who provide feedback on his/her contribution to the UNCT goals, the more robust the report would be. For UNCTs with less than 5 members, all UNCT members will provide feedback to one another.

The RC will provide feedback to all UNCT members and, likewise, all UNCT members will provide feedback to the RC regardless of the size of the UNCT.

Additionally, each UNCT member will provide feedback on the overall performance of the UNCT towards achievement of its common goals.

#### 4. Rating Categories in the ARC

The ARC uses four rating categories to provide feedback on achievement of results: Exceptional Achievement; Fully Accomplished; Partially Accomplished; Not Accomplished. Ratings are intended to highlight observable achievement of goals and indicators.

The ARC uses four rating categories to provide feedback on demonstration of **competencies** or, in the case of the UNCT as an entity, **attributes**: Exceptionally Demonstrated; Fully Demonstrated; Partially Demonstrated; Not Demonstrated. Ratings are intended to highlight demonstration of competencies or attributes as evidenced by observable indicators.

##### [How does the ARC relate to the UNCT work plan?](#)

An integral part of the ARC is the identification of the strategic UNCT goals within the five identified goal categories (Development, Human Rights, Political, Humanitarian, and Security), for which the UNCT will be assessed by the Regional undg Team. Strategic UNCT goals identified in the ARC could be operationalized, as appropriate, through UNCT annual work plans, which are uploaded annually to the undg Information Management System (IMS), as well as other instruments and plans such as the SMT work plan.

##### [What is the performance reporting process for the upcoming Regional undg Performance Appraisal meetings for RCs and UNCTs \(2015 performance cycle\)?](#)

For the 2015 Performance Appraisal cycle, the existing process will be used. RCs will continue to report on their 2015 results using the offline “Reporting Format for the RC/HC/DO and UNCT Performance Appraisal Process”, and the undg IMS.

## **Annex 1: ARC Goal Categories and descriptions**

### **GOAL CATEGORIES**

1. **Development.** 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<sup>2</sup>; 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.
2. **Political.** Guiding and overseeing the UNCT in addressing political obstacles in relation to the rule of law, Engaging with the Department of Political Affairs in the event of deterioration or evolution of the political situation in the country, developing relations with key national and local political actors; supports the Government in engaging, and mobilising a network of strategic partnerships around national priorities, policymaking and aid coordination mechanisms.
3. **Human Rights.** Advocating 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.
4. **Security.** Ensuring effective coordination of country-level security and the safety of all UN staff and dependants, and engaging in the inter-agency Security Management Team; collaborating on safety and security matters with intergovernmental and nongovernmental organizations working as operational partners of the UN system in accordance with established guidelines; etc.
5. **Humanitarian.** Encouraging and supporting national efforts in disaster risk reduction; leading inclusive response preparedness efforts; leading and coordinating the development of a response plan for humanitarian action in-country, coordinating its implementation by the broader humanitarian community, and raising funds for it; advocating with all relevant parties (including non-state actors) for access to and protection of affected populations.