



UNITED
NATIONS
DEVELOPMENT
GROUP

**REVISED PERFORMANCE
APPRAISAL TOOL FOR
RESIDENT COORDINATORS
AND UN COUNTRY TEAMS:
ASSESSMENT OF RESULTS
AND COMPETENCIES**



Conceptual Design

Revised Performance Appraisal Tool for Resident Coordinators and UN Country Teams: Assessment of Results and Competencies (ARC)

I. From One80 to the ARC: Background and Key Changes

The UNDG Task Team on Performance Appraisal System has drafted the Assessment of Results and Competencies (ARC) to replace the separate reporting on results through the UNDG Resident Coordinator Annual Report (RCAR) and the assessment of competencies through the One80. The ARC reflects recommendations made by a Reference Group composed of RCs, UNCT members and members of Regional UNDG Teams.

The features of the ARC on-line appraisal tool for Resident Coordinators (RCs), UN Country Teams (as an entity) and UNCT members are:

- Brings together into one online performance management tool the separate paper-based appraisals/inputs on the RC by Chief Executive Board members, including inputs on human rights responsibilities; on Humanitarian Coordinator (HC) by the Emergency Relief Coordinator; on Designated Official (DO) by the Department of Safety and Security; and on the Deputy Special Representative of the Secretary General (DSRSG) by the Department of Political Affairs or the Department of Peace Keeping Operations for those RCs having performed integrated mission leadership functions. All these inputs will be incorporated into the ARC, to be used by the Regional UNDG Team to appraise the RC across all job functions and the UNCT.
- Ensures mutual accountability of RC, UNCT and team members for agreed on measurable goals and mobilizing the resources to achieve them
- Focuses on RC's leadership to achieve the 5 mutually agreed team goals and individual UNCT member's contribution to those goals
- Offers the possibility to adjust goals and indicators during the year if country and operational context changes, explaining and documenting the cause for the adjustment and any additional resources that will be supplied to achieve goals under changed circumstances
- Incorporates the political and human rights pillars as Goal Categories as per the responsibilities of both the RC (included in the updated RC job description) and the UNCT members (included in the Guidance Note on UNCT Conduct and Working Arrangements)
- Employs uniform RC competencies across the RCAC, RC Induction, and RC Appraisal
- Differentiates the assessment of competencies based on distinct roles of the RC and UNCT members
- Includes qualitative feedback for RC and each UNCT member
- Provides input from the RC and UNCT peers for agency appraisals of UNCT team members
- Includes a development plan for the RC, UNCT and individual UNCT members; the latter linked to and considered by their respective agencies. The RC and UNCT development plan would require input and engagement of Regional UNDG Teams

The ARC will generate three types of reports: for the RC, for the UNCT (as an entity) and for individual UNCT members. The ARC generated reports for the RC and UNCT (as an entity) will be an input to the formal appraisal of the RC/HC/DO and UNCT conducted annually by the UNDG Regional Teams, in line with the 'Management and Accountability System of the UN Development and Resident Coordinator System including the "functional firewall" for the RC System'¹. Also in line with the Management and Accountability System and its principles of mutual accountability, the ARC generated reports for individual UNCT members are an input to the UNCT member appraisal conducted by his/her agency Regional Director/supervisor.

¹ Management and Accountability System of the UN Development and Resident Coordinator System including the "functional firewall" for the RC System, approved by UNDG on 27 August 2008. Hereafter referred as 'Management and Accountability System'.

II. Mutual accountability for results

In line with the Management and Accountability System, and the principle of mutual accountability, the UNCT and RC jointly agree on five SMART² Goals for mutual accountability for results to be achieved by the UNCT, and 2-3 indicators for each Goal. The UNCT goals are directly connected to the UNCT Workplan. Generic indicators will be provided, but RC and UNCT may also agree on 1 or 2 indicators that reflect the context in which they are working. UNCT performance will be measured against those Goals. UNCT would develop 5 Goal Statements, one against each of the following Goal categories:

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 development³; 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;*

² SMART: Specific, Measurable, Attainable, Realistic, and Timed-bounded.

³ Any update on programming principles based on the revision of the UNDAF Guidelines will be incorporated into the ARC Guidance.

RATING CATEGORIES

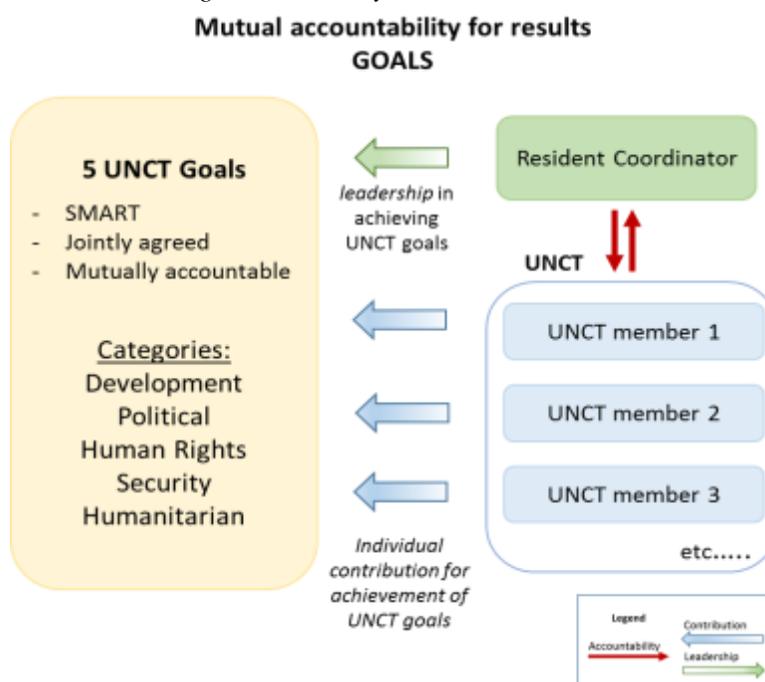
The ARC uses four rating categories to provide feedback on results: **Exceptional Achievement; Fully Accomplished; Partially Accomplished; Not Accomplished.**

The ARC uses four rating categories to provide feedback on competencies and attributes: **Exceptionally Demonstrated; Fully Demonstrated; Partially Demonstrated; Not Demonstrated.**

This language emphasizes the visible results sought rather than providing focus on activity. Reducing the number of choices to four from five has been demonstrated to render fairer and more differentiated use of the feedback system.

The ARC system considers the RC's leadership and the individual UNCT member's contribution including agency expertise and resource mobilization to achieve the 5 mutually agreed goals per their roles, competencies and contributions towards these team goals. The specific competencies and the 2-3 generic and developed indicators that each would provide enables this differentiation (see figure 1).

Figure 1. Mutually accountable results



III. Main Components of ARC for UNCTs

GOALS: The ARC for UNCTs provides the consolidated view of team members and the RC on how well the team as a whole accomplished the goals as measured by the jointly agreed 2-3 indicators. Goals could be adjusted as necessary given extraordinary circumstances (i.e. to reflect changed country or operational context) with a documented explanation of the change.

INDICATORS: 2-3 jointly agreed by the UNCT. Indicators will be determined by a combination of the following: selection by the UNCT and guidance from Regional groups as well as a menu of generic samples of key indicators.

- ❖ UNCT members and the RC provide ***feedback on the accomplishment of each UNCT goal***. Feedback will be provided according to pre-defined categories⁴, and will include a narrative statement.

ATTRIBUTES: The ARC provides feedback on the UNCTs demonstration of the following attributes of high functioning teams. For each attribute there are 3 pre-described behavioral indicators.

⁴ Categories for feedback on results: More than Accomplished; Accomplished; Partially Accomplished; and Not Accomplished

OVERALL UN COUNTRY TEAM ATTRIBUTES

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.*
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.*

- ❖ Individual UNCT members and the RC provide **feedback on demonstration of the 4 UNCT attributes**. Feedback will be provided according to pre-defined categories⁵, and will include a narrative statement.

DEVELOPMENT PLAN: UNCT commits to a development plan that leverages one strength or addresses a development area in one goal and/or team attribute. The plan is meant to be specific and focused so accomplishing it within the coming year is realistic. It includes support needed from the Regional UNDG and HQ.

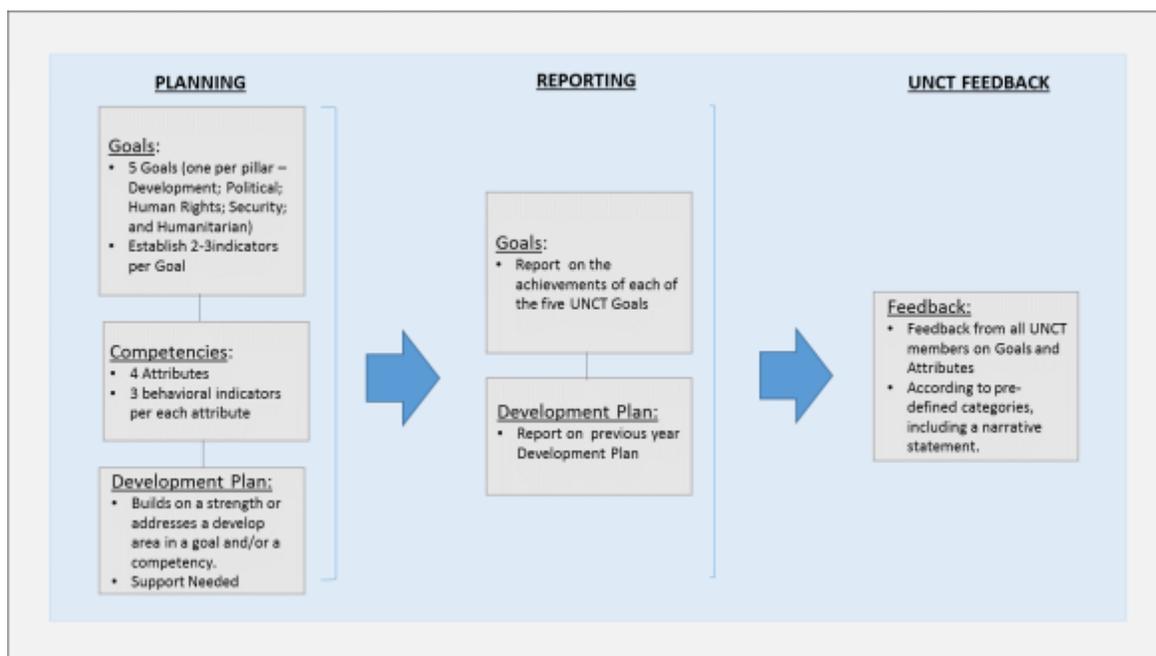


Figure 2. UN Country Team ARC

⁵ Categories for feedback on competencies and attributes: Exceptionally Demonstrated; Demonstrated; Partially Demonstrated; and Not Demonstrated.

IV. Main Components of ARC for RCs

GOALS: The ARC for RCs provides feedback from UNCT members and from the RC (self-assessment) on the RC's leadership to accomplish the 5 UNCT Goals. Goals could be adjusted as necessary given extraordinary circumstances (i.e. to reflect changed country or operational context), with a documented explanation of the change.

- ❖ The RC receives peer-feedback from the UNCT on leadership of the team to accomplish the 5 UNCT goals for which the team and RC are mutually accountable. Feedback will be provided according to pre-defined categories, and will include a narrative statement⁶.

INDICATORS: The RC defines 2-3 indicators for each UNCT goal to measure his/her leadership to accomplish each of the 5 UNCT Goals. Guidance and generic examples for establishing the indicators will be provided in the form of a pre-set menu of 2-3 key indicators to choose from; the team will also have the flexibility to identify some indicators of their own.

COMPETENCIES: The ARC provides feedback on the RC's demonstration of the following competencies, which are also reflected in the RCAC. For each competency there are 3 pre-described behavioural indicators.

OVERALL RC 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 team⁷ 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*

⁶ The ARC will calculate averages and standard deviation of quantitative ratings, but will also allow for UNCT members to provide qualitative feedback on the results and competencies of the RC. This will require from UNCT members to provide full sentence comment. All comments will be seen by the Regional Directors appraising the RCs and UNCTs.

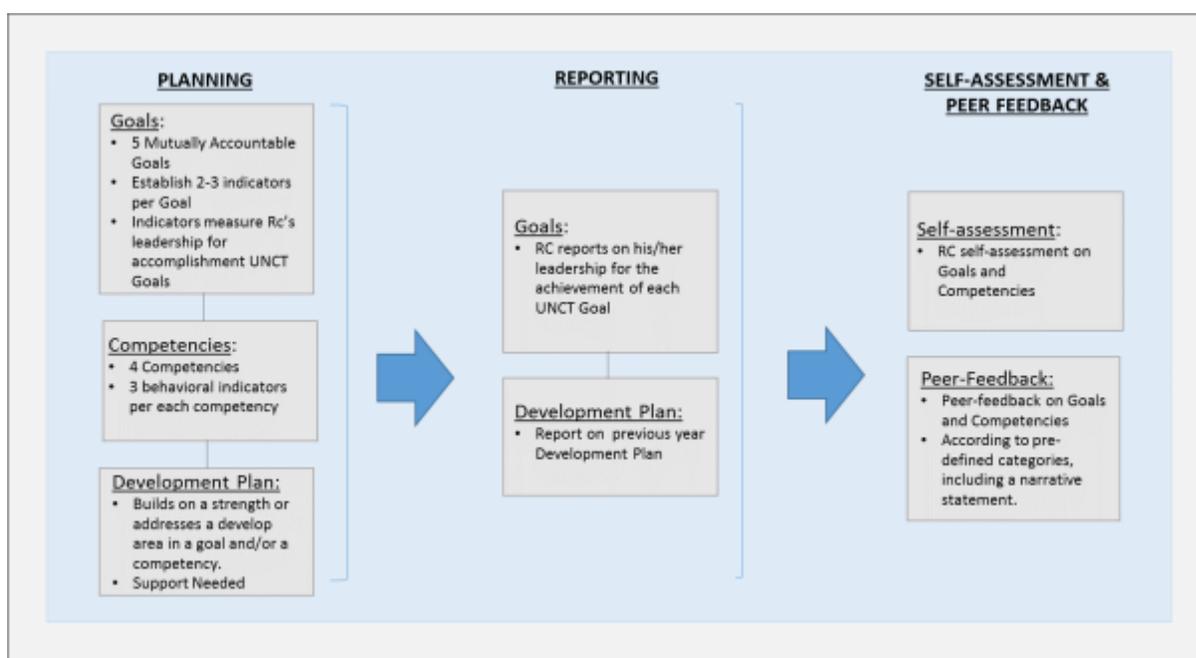
⁷ The RC leads the UNCT in adherence to the undg 'Management and Accountability System, including the functional firewall'

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.

- ❖ The RC receives peer-feedback on demonstration of 4 RC competencies. Feedback will be provided according to pre-defined categories, and will include a narrative statement.

DEVELOPMENT PLAN: The RC commits to a development plan to build on a strength or address a development area in a goal and/or a competency. The plan is specific and focused so accomplishing it within the coming year is realistic. It includes support needed from the Regional UNDG and HQ. The RC will benefit from a guide to on-line courses that will support her/him in fulfilling the development plan. Well performing RCs (Exceptionally or Fully Demonstrated) will receive peer supervision on their development plans. RCs with strong developmental needs (Partially or Not Demonstrated), as determined by the ARC, will receive supervision on their development plans by their Regional Director.

Figure 3. Resident Coordinator ARC



V. Main Components of ARC for UNCT Members

GOALS: On small and moderate sized UNCT's each UNCT member will receive feedback from the RC and all other team members as well as provide their own self assessment. On large teams the ARC for UNCT members will provide feedback from a select group⁸ of 5 to 7 members who work closely with him/her as well as the RC's feedback and the team member's self-assessment. Getting feedback reports only from the select group when the team is very large makes the reports relevant and reduces the burden of having to provide feedback to all members

⁸ UNCT members will select up to 5 team members they wish to provide feedback for and 5 they wish to receive feedback from indicating team members who they work with most closely in each case, allowing for meaningful and focused feedback and discussion. The system will randomly select who provides feedback to them from the identified group of 10.

of a large UNCT, even members we don't work closely with. UNCT members will receive feedback on their contribution to the 5 UNCT goals as described by 2-3 indicators the team member sets in advance.

- ❖ The RC and UNCT members provide **feedback on the contribution of the team member** to each UNCT goal. The feedback will be provided according to pre-defined categories, and will include a narrative statement.

INDICATORS: Each UNCT member will define 2-3 individual indicators for each UNCT Goal to measure his/her contribution for the achievement of each of the 5 UNCT Goals. Guidance and a menu of generic indicators for establishing the indicators are provided.

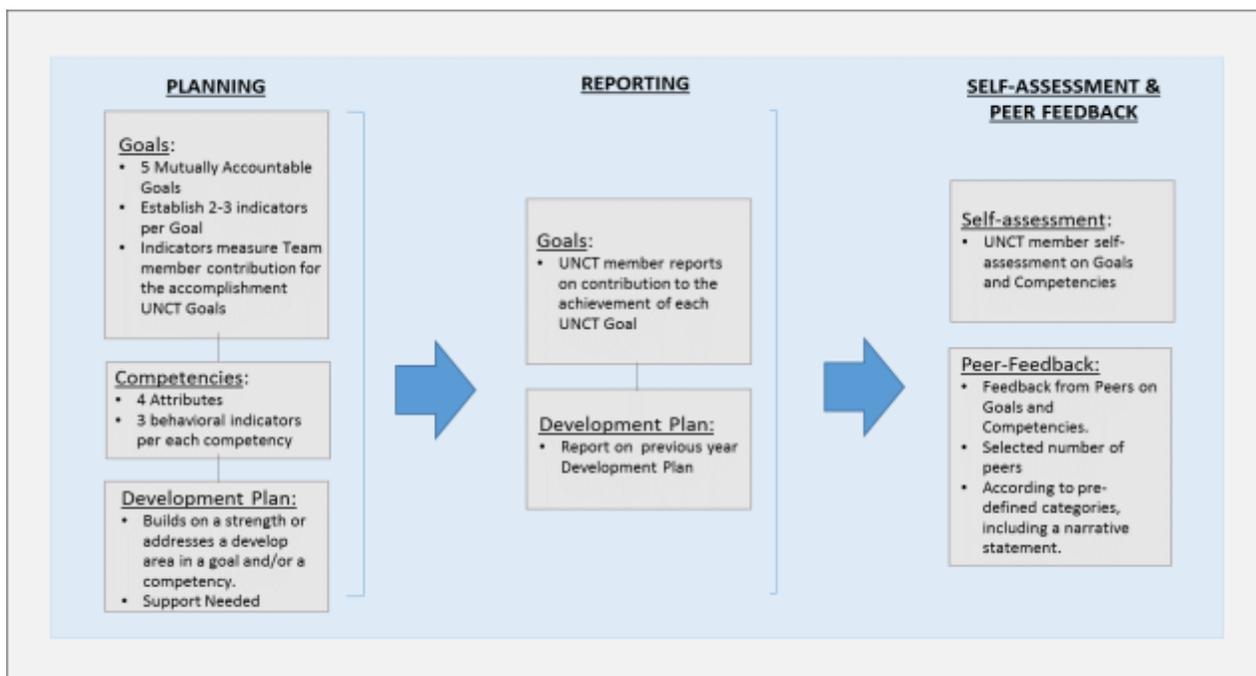
COMPETENCIES: The ARC provides feedback on the UNCT member's demonstration of the following competencies of high functioning team members. For each competency there are 3 pre-described behavioural indicators.

UNCT MEMBER COMPETENCY DOMAINS

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 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.*
- ❖ The RC and relevant UNCT members provide **feedback on the team member's demonstration of the 4 Team Member competencies**. Feedback will be provided according to pre-defined categories, and will include a narrative statement.

DEVELOPMENT PLAN: UNCT member commits to a development plan to build on a strength or address development in a goal and/or a competency. The plan is specific and focused so accomplishing it within the coming year is realistic. It includes support needed from their individual Agency, the Regional UNDG and HQ.

Figure 4. UNCT Member ARC



On the Mid-year review

The RC and the UNCT have the option to engage in an informal review process of progress toward achieving goals for the year. If, as assessed by agreed on indicators, progress is adequate or better, no documentation will be required. If at mid-year goals need to be altered, the RC and UNCT will need to document the reason for the alteration.

The Regional UNDG Team has the option to provide at mid-year feedback to those RCs and UNCTs experiencing challenges to achieve UNCT goals given country context or UNCT dynamics. The RC and her/his Regional Director will engage in an informal review process of progress toward achieving goals for the year. If, as assessed by agreed on indicators, progress is adequate or better, no documentation will be required. If at mid-year goals need to be altered, or there is danger of not being able to achieve them, the RD and the RC will document what changes are made and why and/or what additional resources the RD may be able to supply to the RC to ensure achievement of the goals.