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# Criteria for Measuring Advances in the Implementation of the SOPs

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**UNITED NATIONS  
DEVELOPMENT GROUP**  
LATIN AMERICA AND THE CARIBBEAN

## Standard Operating Procedures

### Criteria for Measuring Advances in the Implementation

Updated September 2016

#### OVERARCHING PILLAR

Core Element	Fully Achieved	Partially Achieved	No Progress
<b>Core Element 1</b> Joint oversight and ownership agreed between Government and the UN	Terms of reference for a <a href="#">Joint National/UN Steering Committee</a> <sup>1</sup> are endorsed by the government and the SC is meeting on a regular basis to provide strategic oversight.	Terms of Reference are drafted but have not been endorsed by the UNCT and government OR the SC is in place with ToRs but is not meeting on a regular basis.	No Joint/National Steering Committee is in place.
<b>Core Element 2</b> Annual reporting on joint UN results in the UN Country Results Report <sup>2</sup>	The UN Country Results report, covering programmes, finance, operations and communications, was developed by the UNCT and endorsed by the Joint National/UN Steering Committee	A UN Country Results Report was developed but does not cover all pillars of the SOPs (or only an UNDAF annual review was done) OR the report is pending endorsement by some members of the UNCT.	No UN Country Results Report is developed
<b>Examples:</b> UN Country Results Report: <a href="#">Albania</a> , <a href="#">Bangladesh</a> , <a href="#">Papua New Guinea</a> , <a href="#">Tanzania</a> , <a href="#">Vietnam</a>			

<sup>1</sup> Guidance on the One Programme as well as tools and materials, including generic terms of reference of a Joint Steering Committee can be found at: <https://undg.org/home/guidance-policies/delivering-as-one/standard-operating-procedures-non-pilots/one-programme/>

<sup>2</sup> A template and country examples of the UN Results Report can be found at: <https://undg.org/home/guidance-policies/delivering-as-one/standard-operating-procedures-non-pilots/one-programme/>



**ONE PROGRAMME**

Core Element	Fully Achieved	Partially Achieved	No Progress
<p><b>Core Element 3</b> Signed UNDAF at the outcome level with legal text<sup>3</sup> as appropriate</p>	<p>The UNDAF has been signed by the UNCT and Government at the outcome level and includes the necessary legal annexes</p>	<p>The UNDAF is formulated at the outcome level, but does not include the legal annexes</p>	<p>The UNDAF is not designed at the outcome level</p>
<p><b>Core Element 4</b> <a href="#">Joint Annual Work Plans (of Results Groups)</a>, aligned with the UNDAF and signed by involved UN entities (this does not preclude agency specific work plans where required)</p>	<p>JWPs are aligned with the UNDAF Outcomes, signed by the UNCT members involved and the Government and used to coordinate the implementation of the UNDAF. The JWP includes all the activities of the UNCT under that result</p>	<p>JWPs are approved by the UNCT, but are not signed/agreed with the Government.</p>	<p>No JWPs are developed</p>
<p><b>Core Element 5</b> Results Groups (chaired by Heads of Agencies) focused on strategic policy and programme content established and aligned with national coordination mechanisms</p>	<p>Results Groups are established, meet regularly and are chaired by Heads of Agencies</p>	<p>Results Groups have been established but all of them are not chaired by Heads of Agencies OR they do not meet on a regular basis</p>	<p>Results Groups are not established</p>
<p><b>Examples:</b> One Programme Framework: <a href="#">Albania</a>, <a href="#">Bosnia and Herzegovina</a>, <a href="#">Rwanda</a>, <a href="#">Vietnam</a> Joint Work Plans: Bosnia and Herzegovina (<a href="#">Pillar 1</a>, <a href="#">Pillar 2</a>, <a href="#">Pillar 3</a>, <a href="#">Pillar 4</a>), <a href="#">Mauritania</a></p>			

<sup>3</sup> The Legal Annex to the UNDAF as well as [FAQ](#) can be found at: <https://undg.org/home/guidance-policies/delivering-as-one/standard-operating-procedures-non-pilots/one-programme>



**COMMON BUDGETARY FRAMEWORK & ONE FUND PILLAR**

Core Element	Fully Achieved	Partially Achieved	No Progress
<p><b>Core Element 6</b> Medium-term Common Budgetary Framework<sup>4</sup> (as part of UNDAF/One Programme results matrix) reflecting financial resources required, available and to be mobilized.<sup>5</sup></p>	<p>The results matrix is costed at the outcome level, with financial data broken: 1) total estimated budget of the UNDAF/One Programme 2) Funded budget 3) Unfunded budget. Ideally, it will contain a breakdown per agency).</p>	<p>The UNDAF/One Programme is costed, but it does not reflect all four pieces of financial data required or it is not costed at the outcome level</p>	<p>The UNDAF/One Programme results matrix is not costed</p>
<p><b>Core Element 7</b> Annual Common Budgetary Framework<sup>6</sup> (as a part of the Joint Work Plans) updated annually with data on financial resources required, available, and to be mobilized</p>	<p>The JWPs are costed at the outcome level and output level, per agency, with financial data broken down by: 1) JWP total estimated budget 2) Funded budget 3) Unfunded budget. The various JWPs are consolidated into a chart</p>	<p>The JWPs are costed, but not consolidated into an overview chart or they are not disaggregate to the outcome and output level or not all four pieces of financial data required are included in the chart</p>	<p>The JWPs are not costed</p>
<p><b>Core Element 8</b> A <a href="#">Joint Resource Mobilization</a><sup>7</sup> strategy approved by the UNCT and is being used to mobilize resources for implementation of the UNDAF/One Programme</p>	<p>Joint Resource Mobilization Strategy is approved by the UNCT and is being used to mobilize resources for the implementation of the UNDAF/One UN Programme.</p>	<p>A Joint Resource Mobilization Strategy is drafted but needs to be approved by the UNCT or a JRMS is approved, but is not consistently being implemented by UNCT members.</p>	<p>There is no joint resource mobilization strategy available</p>
<p><b>Examples:</b> One Fund TOR: <a href="#">Bhutan</a>, <a href="#">Rwanda</a> Joint Resource Mobilization: <a href="#">Montenegro</a>, <a href="#">Guinea Bissau</a>, <a href="#">Albania</a>, <a href="#">Zimbabwe</a>, <a href="#">Cape Verde</a>, <a href="#">Ethiopia</a>, <a href="#">Tanzania</a>, <a href="#">Vietnam</a></p>			

<sup>4</sup> The medium-term CBF is the financial estimate of the cost of implementing the UNDAF/One Programme results matrix. The CBF is to be consolidated into an overview of financial resources containing the: 1) total cost of the UNDAF/One Programme 2) core resources available 3) non-core resources available and 4) resources to be mobilized. It is disaggregated at the outcome level, and, where possible, per agency.

<sup>5</sup> Policy and guidance and country examples of the CBF can be downloaded at: <https://undg.org/home/guidance-policies/delivering-as-one/standard-operating-procedures-non-pilots/common-budgetary-framework-one-fund>.

<sup>6</sup> The annual CBF is the annual financial estimate of the cost of implementing annual joint workplans (AJWPs). This costing is contained in the AJWPs of each results group. The annual CBF is to be consolidated and presented as an overview of financial resources and is disaggregate at the outcome and output level and per agency.

<sup>7</sup> A joint Resource Mobilization strategy is based on the CBF which provides a holistic overview of required, available and expected funding sources and funding gaps to deliver the UN common programming commitments. Policies, guidance and country examples of JRM can be found at: <https://undg.org/home/guidance-policies/joint-funding-approaches/joint-resource-mobilization>.



**ONE LEADER<sup>8</sup>**

Core Element	Fully Achieved	Partially Achieved	No Progress
<p><b>Core Element 9</b> Strong commitment and incentives of the UNCT to work towards common results and accountability through full implementation of the <a href="#">M&amp;A system</a> and the <a href="#">UNCT Conduct and Working Arrangements</a></p>	<p>The UNCT is fully compliant with the <a href="#">Guidance Note on UN Country Team Conduct and Working Arrangement</a> and has endorsed the <a href="#">Management and Accountability System of the UN Development and RC System</a></p> <ul style="list-style-type: none"> <li>- UNCT has a Code of Conduct</li> <li>- UNCT has a Dispute Resolution Mechanism</li> <li>- UNCT has agreement on NRA Engagement</li> </ul>	<p>The UNCT has drafted a Code of Conduct or Terms of Reference, but is not fully implementing the Guidance Note and has not endorsed the M&amp;A System</p>	<p>The UNCT does not have a Code of Conduct nor ToR drafted.</p>
<p><b>Core Element 10</b> Empowered UNCT to make joint decisions relating to programming activities and financial matters</p>	<p>UNCTs have developed protocols/agreements for joint decision making and accountability on issues related to: UNCT Work plans, Joint Policy Work, leveraging regional-global technical capacity and change management</p>	<p>UNCTs make joint decisions on issues related to the UNCT Work plans, Joint Policy Work, leveraging regional-global technical capacity, change management but do not have decision-making protocols/agreements established</p>	<p>There is no joint decision making in the UNCT</p>

**Examples:**

UNCT Code of Conduct: [Jordan](#), [Peru](#), [Armenia](#), [Ghana](#), [Guyana](#)

<sup>8</sup> Agreed by the UN Development Group on 27 August 2008, the Management and Accountability System of the UN Development and Resident Coordinator System including the “functional firewall” for the RC System (M&A) provides a clear framework in which both accountability and management can be exercised effectively by the different actors and levels of the UN development and Resident Coordinator System.

Understanding by strong commitment and incentives of the UNCT the following:

1. All UNCT members are inform the RC on resource mobilization and programme implementation performance of any UNDAF/One Programme elements
2. The UN Resident Coordinator provides formal input to the regular performance appraisal of all UNCT members
3. All UNCT members include contribution towards UNCT results in their individual agency performance evaluations

The UNCT has an approved Code of Conduct and Working Arrangements according to the UNDG Guidance Note

## OPERATING AS ONE<sup>9</sup>

Core Element	Fully Achieved	Partially Achieved	No Progress
<p><b>Core Element 11</b> <a href="#">Business Operations Strategy</a><sup>10</sup> endorsed by UNCT is highly recommended, adapted to local needs and capacities, to enhance operational oneness processes through eliminating duplication of common processes to leverage efficiencies and maximize economies of scale</p>	<p>A Business Operation Strategy is developed by the OMT, is endorsed by the UNCT and is being implemented. The BOS implementation is being monitored and is reporting on the cost savings.</p>	<p>The Business Operation Strategy has been developed but has not been signed by all UNCT Members OR has not been implemented yet OR is not being monitored. At a minimum, the BOS Roadmap, approved by the UNCT, is submitted to DOCO formally.</p>	<p>No BOS has been developed</p>
<p><b>Core Element 12</b> <a href="#">Empowered Operations Management Team</a> (chaired by a Head of Agency)</p>	<p>At least 7 out of the 10 practices in the document entitled "<a href="#">Empowered OMT</a>" are implemented. OMT must be chaired by HOA</p>	<p>The OMT implements at least 3 of the 10 practices in the document entitled "<a href="#">Empowered OMT</a>", but is not chaired by a Head of Agency.</p>	<p>There is no OMT in place, or OMT does not meet any of the criteria</p>
<p><b>Core Element 13</b> Operations costs and budgets integrated in the overall medium-term Common Budgetary Framework</p>	<p>The medium-term CBF includes operations costs and budgets</p>	<p>Not applicable for this question</p>	<p>Operational costs are not included in the medium-term CBF</p>

### Examples:

Business Operations Strategy: [Benin](#), [Bosnia and Herzegovina](#), [Brazil](#), [Brazil Good Practices](#), [Brazil UNDG-HCLM Advisory Report JOF](#), [Copenhagen](#), [Ethiopia BOS Roadmap](#), [Ethiopia BOS](#), [Lesotho](#), [Malawi](#), [Moldova](#), [Rwanda](#), [Tanzania](#), [Uganda](#), [Zambia](#)

<sup>9</sup> Guidance documents on Operating as One can be found at: <https://undg.org/home/guidance-policies/delivering-as-one/standard-operating-procedures-non-pilots/common-services-harmonized-business-practices>

<sup>10</sup> Guidance and Business Operations documents, including country examples, can be found at: <https://undg.org/home/guidance-policies/business-operations>



**COMMUNICATING AS ONE<sup>11</sup>**

Core Element	Fully Achieved	Partially Achieved	No Progress
<b>Core Element 14</b> Joint communication strategy appropriate to the country context approved by the UNCT and monitored and reported against in the UN Country Results Report	Joint Communication Strategy has been developed to support the implementation of the UNDAF and endorsed by the UNCT. A work plan has been developed and is being monitored	Joint Communication Strategy has been developed but has yet to be approved by the UNCT, OR a Joint Communication Strategy has been developed and was approved but is not being implemented or monitored	A Joint Communication Strategy was not developed
<b>Core Element 15</b> Country Communications Group (chaired by a Head of Agency) and supported by regional and HQ levels, as necessary	A Country Communications Group is established with clear ToR, meets, regularly and is chaired by a Head of Agency	A Country Communications Group is established without clear ToR, OR does not meet regularly, OR is not chaired by a Head of Agency	No CCG is in place
<b>Examples:</b> Communications Strategy: <a href="#">Kenya</a> , <a href="#">Lesotho</a> , <a href="#">Malawi</a> , <a href="#">Tanzania</a> , <a href="#">Zimbabwe</a> , <a href="#">Liberia</a> , <a href="#">Moldova</a> , <a href="#">Montenegro</a> , <a href="#">Uzbekistan</a> , <a href="#">Congo</a> , <a href="#">Rwanda</a>			

<sup>11</sup> Guidance documents on Communicating as One can be found at: <https://undg.org/home/guidance-policies/delivering-as-one/standard-operating-procedures-non-pilots/joint-communication>; country examples of UNCT communications strategies can be found at: <https://undg.org/home/guidance-policies/communications-and-advocacy>