



QCPR Monitoring Survey of Resident Coordinators 2014

Report

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UNDESA - Survey of UN Resident Coordinators, 2014 – Draft Report

Introduction

The 2014 survey of UN resident coordinators is the second survey to be conducted in the framework of monitoring the implementation of GA resolution 67/226 on the QCPR. In that resolution, the General Assembly called on the Secretary-General to regularly assess and report on a comprehensive and quantitative basis on progress in furthering programme and operational coordination at the country level; and in particular to carry out, in cooperation with United Nations resident coordinators, a survey of programme country governments once every two years, on the effectiveness, efficiency and relevance of the United Nations system. In pursuit of these mandates, the Secretary-General has instituted an annual survey of the Headquarters of UN agencies and UN resident coordinators, and a biennial survey of governments.

The 2014 survey of UN resident coordinators was carried out from 7 August to 31 October 2014. The survey was initiated through a message from DESA to all resident coordinators. The results are presented below, question by question.

The respondents were UN resident coordinators or resident coordinators a.i. A total of 78 responses were received resulting in an overall response rate to the survey of 60%. Six of the original pilot Delivering as One countries were among the respondents, along with another 11 non-pilot countries that are implementing all elements of Delivering as One. There were 21 responses from countries with a UN Humanitarian Coordinator. See pages 4 and 5 of this report for more information on the demographics of the respondents.

This response rate proved sufficient to provide a clear picture of the views of RCs in respect of most of the questions in the survey, particularly as many responses could be triangulated with the responses from RCs, UNCTs and governments in previous surveys. Instances where data must be treated with caution are noted in the text.

Demographics

1. Please select your location: a. Regional distribution of resident coordinators who responded

The regional distribution of the RCs who responded, and the respective response rates are shown in the table below

Region	Number of responses	Number of RCs in the region	Response rate %
Africa	20	48	42
Arab States	8	16	50
Asia + Pacific	16	23	70
ECIS	15	18	83
LAC	19	24	79
All regions	78	129	60

The above table shows a variable response rate from one region to another; a high response rate of 70% or more from RCs in three regions, and a significantly lower response rate from the other two: Africa and Arab States.

b. Income group

Using the most recent World Bank classification, it was found that 15 low-income countries, 28 lower middle-income countries, 31 upper middle-income countries and 4 higher income countries were represented in the responses. The figures are shown in the table below.

Income grouping	Responses in 2014	Number of countries in category	Number of countries in category where an RC is located	Response rate (%)
Low income	15	34	34	44
Lower middle income	28	51	46	61
Upper middle income	31	55	40	78
High income	4	NA	9	44
Total	78	140	129	60

It is apparent that countries with the lowest and the highest incomes are under-represented in the responses. The response rate from low income countries would be consistent with the relatively low response rate in the Africa region, noted above.

c. Is the country classed as a Least-Developed Country (LDC)?

Responses from resident coordinators in 22 least-developed countries (LDCs) were received, representing a response rate of 50%, somewhat below the overall response rate.

c. Is the country classed among the Small Island Developing Countries (SIDS)?

Responses from resident coordinators in 13 Small Island Developing Countries (SIDS) were received, which is a response rate of 72% of all SIDS (18) where an RC is located.

d. Does the country have an Integrated UN Mission (IM)?

11 responses to the questionnaire came from resident coordinators in countries with Integrated UN Missions, which is a response rate of 79% of the 14 Integrated UN Missions worldwide.

e. DaO status

Responses were received from 6 of the 8 DaO pilot countries, and 18 of the 26 countries that were stated to be DaO self-starter countries by the RCs in the 2013 survey. For the purpose of analysing the responses to this survey, as in the case of the survey of programme country governments, these two groups of countries were deemed to have been implementing DaO. Thus, the response rate among countries implementing DaO according to this definition was 71%. As will be seen in this report, the RCs in these countries have provided significantly different responses to some of the questions.

f. UN Humanitarian Coordinators

As seen under Q6 below, 21 responses were received from UN Resident Coordinators (or Resident Coordinator ai) who also serve as the UN Humanitarian Coordinator (or HC ai). This represents 75% of all countries with a UN Humanitarian Coordinator, a high response rate. As will be seen in this report, the HC/RCs in these countries have provided significantly different responses to some of the questions.

It may also be noted that countries with a HC accounted for 27% of all responses; in the 2013 survey of RCs, 27 UN Humanitarian Coordinators responded to that survey, and they accounted for 25% of all responses.

Questions in the online survey as viewed by the respondents

2. Do you currently serve as Resident Coordinator or Resident Coordinator a.i. for more than one country/territory?

Cover more than one country or territory?	Number of respondents
Yes	21
No	57
Total	78

3. Please indicate the number of UNCTs in which you currently serve, and for the remaining questions in the survey, please respond with reference to your country of residence:

The 21 RCs who answered Yes to the preceding question were asked how many UN country teams they were a member of. In most cases, the answer was one: that is, the UNCT in the country where they were posted. In three instances they were a member also of one or more additional UNCTs, as the table below shows:

Number of UNCTs	Number of RCs
1	18
2	1
3	0
4 or more	2
Total	21

4. How many agencies are currently represented in the UN country team?

Number of agencies in the country team	Number of respondents
5 or less	3
6 to 10	15
11 to 15	23
16 and above	37

In their comments, several RCs provided a breakdown between resident and non-resident members of the UN country team. In any future survey, it may be considered to ask all respondents about the breakdown. However, providing that breakdown does not solve all classification issues. One RC pointed out that "representation" takes very different forms, from a single, junior Programme Officer for one Agency to a superannuated "honorary representative" for another, to a visiting colleague for another.... In addition, three Agency representations actually cover more than one country."

5. *What is the approximate number of UN agency core professional staff currently in post in the country?*

Number of UN core professional staff in the country	Number of respondents
10 or less	7
11-20	4
21-30	7
31-40	13
41-50	6
51 and above	41

Some resident coordinators noted that this is also a tricky question to answer, because agencies have different definitions of core staff or they do not use that term. Some agencies include project staff, occasionally funded by donors. A few respondents provided a breakdown between international and national professionals.

6. *What are your functions? Please select all that apply.*

Function	Number
Resident Coordinator or RC ai	78
Designated Official	65
Humanitarian Coordinator or HC ai	21
Deputy Special Representative	5
Director of UN Information Centre	13
Other (Please specify)	15

Under 'Other', some RCs mentioned that they are also the UNDP Resident Representative, and some represent other agencies also, such as UNFPA. In the question, it could have been made clearer that the question was about coordination functions, not functions exercised on behalf of a single agency.

7. *Please indicate the status of the country in regard to Delivering as One (DaO):*

The same question was asked of the resident coordinators in 2013; the responses to both surveys are shown below:

Status of the country in regard to Delivering as One (DaO)	2014 - Number of respondents	2013 - Number of respondents
Original DaO pilot country	6	8
Not a pilot, but implementing all elements of DaO	11	26
Implementing some elements of DaO	39	38
Government has requested or is actively considering DaO	7	9
Not implementing any elements of DaO	15	28
Total number of respondents	78	109

The table reconfirms that a large number of countries wish to apply some or all of the elements of DaO. The proportion of countries implementing or planning to implement all or some aspects of DaO (the first four rows in the table) has grown from 74 to 81 per cent in the past year. Due to the smaller number of respondents in 2014, the trend may not be precisely as those figures suggest; an increase would however be consistent with the evident interest in DaO expressed by programme country governments in their survey.

A curiosity is the large drop in the number of RCs who chose the second option: 'Not a pilot but implementing all elements of DaO.' The 26 RCs who chose this option in 2013 were in countries that considered themselves to be DaO 'self-starters' in 2013. As noted in regard to question 1(e) above, these countries along with the DaO pilot countries were deemed to be 'implementing DaO' for the purpose of analysing the results of the survey, and even though these countries may not have been implementing all aspects of DaO, they already have different experiences on a number of issues, as compared with non-DaO countries, as this report and the report on programme country survey reveal.

In their comments, a number of RCs mentioned steps towards implementing more elements of DaO. One mentioned, for example, that "the UNDAF is transitioning into a United Nations Assistance Framework that would bring together humanitarian, resilience and development to ensure coherence in the UN response in the country. This will be followed by annual work planning."

8. Please specify the elements of DaO that are being implemented. Please select all that apply.

This question was addressed only to the 39 resident coordinators in countries that selected 'Implementing some elements of DaO' in responding to the preceding question. All other respondents skipped the question. Responses to this question and to the same question in 2013 are shown in the table:

Element of Delivering as One (DaO)	2014 - Number of respondents	2013 - Number of respondents
One Leader	23	20
One Programme	13	7
One Budgetary Framework ¹	3	1
Operating as One	17	10
Communicating as One	25	34
Other (please specify)	5	17
Total number of RCs who answered the question	39	37

The above data certainly suggest that the number of countries where DaO is being applied to one extent or another is growing. The only element that does not follow this trend is 'Communicating as One'. It is not clear why this should be so, unless the definition of 'Communicating as One' has become more demanding. Under 'Other' some RCs mentioned that one or more of the above Ones were being partly applied; for example, some components of Operating as One were being applied.

¹ Among all respondents, including those that are fully implementing Delivering as One, who were not asked this question, 16 countries have a Common Budgetary Framework (see question 41).

The present survey includes many questions that explore in more detail the extent to which DaO is being applied, in respect of each of the above ‘Ones’. As will be seen below, they reveal that significant progress is being made in many areas.

9. *Please indicate which UN country analysis processes are used in the country. Please select all that apply.*

UN Country Analysis Processes	Number of respondents
Common Country Assessment (CCA)	38
Selective country analyses in support of developing the UNDAF or equivalent framework	38
The UNCT has not undertaken any joint or common country analysis	2
Other (please specify)	18

Since there was no restriction on selecting more than one item, the total number of responses exceeds the number of respondents (78). Under ‘Other’, RCs gave some details about the sources of analytic data used by the UNCT; two mentioned UNDAF evaluations. The principal aim of this question however, was to lead up to the following question, regarding the adequacy of data in areas that were relevant for monitoring progress in relation to the QCPR mandates.

10. *Please rate the adequacy of the data the UNCT had access to for each of the following types of demographic information:* (At the country analysis stage, the UNCT needs data that is disaggregated by various demographic groups as a basis for UNDAF (or equivalent instrument) strategies that properly address their specific situations and needs.)

In operative paragraph 22, the QCPR resolution highlighted “the importance of improving strategic planning at the United Nations agency and national levels, as well as of consistent, reliable and comprehensive statistical data and analysis about United Nations operational activities supporting national efforts in order to provide an understanding of evolution and trends contributing to sound policy decisions and to effectively implement the present resolution.” The resolution further identified certain demographic groups as in need of particular attention on the part of the UN system. Notably, it highlighted disability (operative paragraph 23), poverty eradication (operative paragraphs 69 to 73), and gender (operative paragraphs 80 to 92); in operative paragraph 59, the Assembly called for particular efforts to be made by the UN system to “target and empower the poor and people in vulnerable situations.”

Programming in areas such as poverty eradication, gender equality and women’s empowerment calls for disaggregated data at the earliest stages of programme planning. The resident coordinators were therefore asked about the availability of disaggregated data on incomes, gender and other key demographic factors. As Table 1 shows, the majority of the resident coordinators considered the availability of gender disaggregated data to be at least somewhat adequate, but there is scope for improvement in that area. In particular, data disaggregated by gender tends to be less adequate than data disaggregated by income or age, although more adequate than data about disability, minorities, or indigenous peoples.

Table 1 - Extent to which the UNCT had access to adequate data according to various break-downs (percentage of responses in 2014):

Demographic Topic	Very adequate data	Somewhat adequate data	Somewhat inadequate data	Very inadequate data	Not applicable in this country
Income level	38	49	10	3	0
Gender	32	47	18	3	0
Age	40	43	14	3	0
Disability	14	37	32	17	0
Minorities ²	15	32	31	12	10
Indigenous peoples	9	15	19	9	48

When the above data is compared with the corresponding responses to this question in 2013 (see table 2 below), one can see that on all demographic topics, a somewhat greater percentage of RCs indicated that there was ‘very adequate’ data available. The seemingly more encouraging data for 2014 may be related less to any real improvement in data availability than to the fact that fewer low-income countries were represented in the responses to the survey (15 in 2014, compared with 28 in 2013).

Thus the 2013 data may be considered a more accurate reflection of the world-wide realities, considering also the much higher response rate in 2013.

Table 2 - Extent to which the UNCT had access to adequate data according to various break-downs (percentage of responses in 2013):

Demographic Topic	Very adequate data	Somewhat adequate data	Somewhat inadequate data	Very inadequate data	Not applicable in this country
Income level	33	47	12	6	2
Gender	24	60	14	3	0
Age	33	55	8	4	0
Disability	2	37	36	25	1
Minorities ³	6	41	20	26	6

² Ethnic, religious, language, other

Indigenous peoples	3	28	17	13	40
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11. Please indicate which UN programming frameworks are currently used in the country. Please select all that apply.

UN Programming Frameworks	Number of responses
UNDAF	63
UNDAF Action Plan (UNDAP)	12
UN Integrated Strategic Framework or similar framework in a country in transition from crisis to development	8
Common country programme document (CCPD)	13
One Programme	12
Other (Please specify)	6
None of the above	3

Since there was no restriction on selecting more than one item, the total number of responses exceeds the number of respondents (78). For example, of the thirteen countries with a common country programme document, seven indicated that they also have an UNDAF.

20 RCs provided optional comments. Nine of these came from UN Humanitarian Coordinators who explained the programming frameworks being used in the particular circumstances of their country of assignment. Examples were ‘Humanitarian Response Action Plan’, and ‘Strategic Response Plan.’ Other RCs reflected the impact of DaO, one mentioning that: “A programming framework is being developed based on the SOPs but does not neatly fall into any of the above categories.”

12. Is the period of the UNDAF (or equivalent instrument) aligned with the Government’s planning cycle (where applicable)?

Is the UNDAF aligned with the Government’s planning cycle?	2014 - Number of respondents	2013 - Number of respondents
Yes	51	58
No	24	24
Not applicable, the UNDAF or equivalent framework is not being used in the country	3	27
Total	78	109

Alignment with national planning processes is a significant element of ensuring the relevance and effectiveness of UN development cooperation, and the 2010 UNDAF guidelines (Part I) advocate synchronization with the government cycle. Nonetheless, as the above table shows, around one-

³ Ethnic, religious, language, other

third of resident coordinators continue to report that the UNDAF is not aligned with the Government’s planning cycle. Over the past two years, the resident coordinators concerned have provided reasons for this situation. A key reason as reported by the RCs appears to be: the government cycle is three or four years, or a period longer than five years, whereas the UNDAF duration is believed to be fixed at five years. In this regard, the 2010 UNDAF guidelines (Part I) say nothing about fixing the UNDAF duration at five years, yet a ‘tradition’ of five-year planning periods in key parts of the UN system seems to persist. The discrepancy in planning periods may help explain why only 23% of governments in the programme country survey considered the UN to be “very closely aligned” with the country’s needs and priorities. (See question 14 below.)

On the positive side, several resident coordinators commented in the 2014 survey that efforts were being made to ensure that the next UNDAF would be aligned with government planning cycles.

83% of the countries implementing DaO have UNDAFs that are aligned with the government planning cycle, while only 61% of the remaining countries have UNDAFs that are aligned with the government planning cycle.

13. *Regarding the preparation of the UNDAF (or equivalent instrument) please check one of the following:*

Timing and duration of the UNDAF preparation process	Percentage of responses	
	2014	2013
The UNDAF was prepared during the penultimate year of the previous UNDAF	56	50
The UNDAF was prepared in the first half of the final year of the previous UNDAF (as provided for in the DaO Standard Operating Procedures - SOPs)	22	23
Other (please explain in the comment box below)	19	27
Not applicable, the UNDAF or equivalent framework is not being used in the country	3	
Total	100	100
Number of responses to each survey	78	109

Over time, it is possible that there will be significant changes in this area, since the SOPs envisage less efforts being devoted to UNDAF preparation and more to ensuring coherence at the implementation stage. However, it is probably too soon to see their impact. With regard to the above data, the differences between the two years should not be considered significant, considering the smaller number of responses in 2014. Also, there was little difference between the responses from RCs in countries implementing DaO and those in non-DaO countries.

14. *The activities of the UN and the country’s development needs and priorities are:*

This question was addressed to both governments and RCs in 2014, and also in the previous survey. The results are shown below:

Closeness of alignment	UN Resident	UN Resident	Governments	Governments
------------------------	-------------	-------------	-------------	-------------

with the country's needs and priorities	Coordinators 2014: %	Coordinators 2013: %	2014 %	2012 %
Very closely aligned	49	58	23	23
Closely aligned	45	34	70	60
Somewhat aligned	5	8	7	16
Not aligned at all	1	0	0	1

The table suggests that the extent of UN alignment with national needs and priorities would seem in most countries to be satisfactory, given that a large majority of governments and RCs alike chose 'very closely' or 'closely' aligned, yet there is obviously room for improvement. The table also highlights the different perceptions of RCs and governments on the subject, relatively few governments being convinced that the UN is 'very closely aligned'. Overall, and keeping in mind the variability in response rates to the surveys, there does not seem to have been a significant change from one year to another, nor would one expect it over the space of one or two years.

The situation in DaO countries is noticeably more satisfactory. In the 2014 survey, 67% of RCs in countries implementing DaO stated that the UN's activities were 'very closely' aligned with national needs and priorities, compared with 41% of RCs in all other countries. Similarly, in the survey of programme countries, while 23% of governments overall chose 'very closely aligned', 42% of governments in DaO countries made the same choice, further indicating that DaO may promote better alignment. A similar result was observed in 2012 survey of programme country governments, reinforcing this picture.

Conversely, among the 21 countries with a UN Humanitarian Coordinator from which responses were received, only 33% of RCs selected 'very closely aligned'. The 2014 survey of programme country governments also showed less close alignment in transition countries. It is not evident why alignment is judged to be weaker in these countries.

On the other hand, 53% of RCs in low income and lower middle income countries expressed the view that the UN's activities were 'very closely aligned' with national needs and priorities, compared with 43% of RCs in all other countries. A similar difference in responses according to country income levels was seen in the 2013 RC survey, where the corresponding figures were 62% and 53% respectively. The overall drop in the percentages stating 'very closely aligned' may be due to the lower response rate in 2014 rather than to any real change.

15. *Are there country-led and inclusive mechanisms to coordinate support to national priorities? and:*

16. *Is there a joint Government or national UN Steering Committee (or similar body) on the UNDAF (or equivalent instrument)?*

A similar question was asked in 2013; on that occasion it read as follows: Is there a joint Government-UN Steering Committee (or similar body) on the UNDAF (or equivalent instrument)? These topics are viewed as indicative of national ownership, and the questions support two indicators in the monitoring and reporting framework, as explained below. As can be seen in the table, country-led coordination mechanisms do exist in a majority of countries; at the same time, it should be a matter of some concern that they do not seem to exist in about 25 per cent of countries.

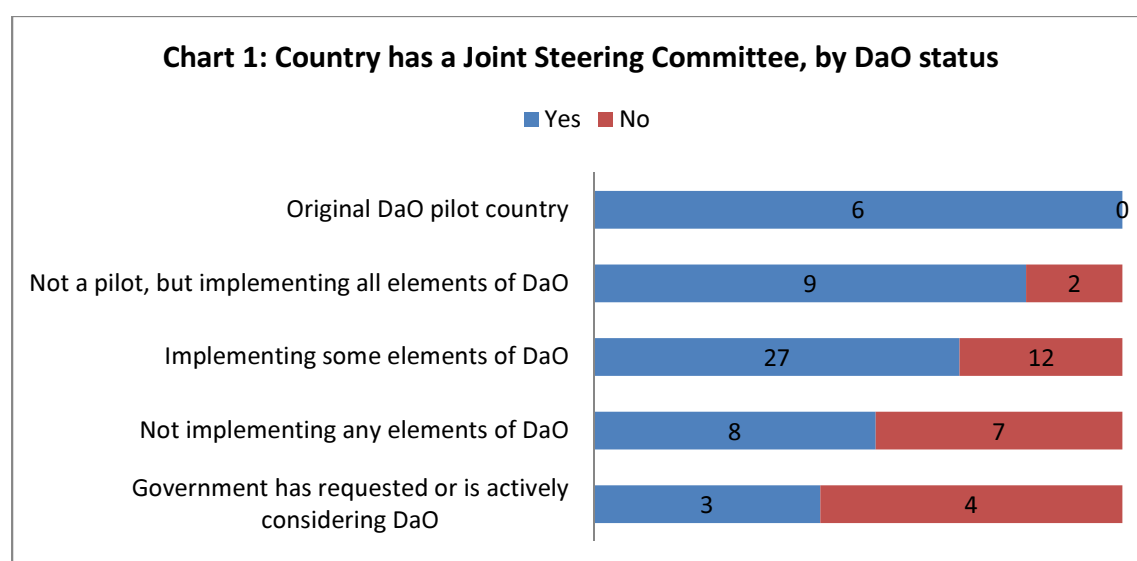
Moreover, several RCs commented that, even where they exist on paper, they do not always function well in practice. As one RC said: “In theory there are good mechanisms for coordination. The practice however lags far behind.” Others mentioned that such bodies existed, but were not inclusive of stakeholders outside the UN and government.

Coordination and steering mechanisms	Number of responses							
	2014				2013			
	Yes	No	Total	% Yes	Yes	No	Total	% Yes
Are there country-led and inclusive mechanisms to coordinate support?	59	19	78	76	-	-	-	-
Is there a joint national Steering Committee (or similar body) on the UNDAF?	53	25	78	68	76	33	109	70

The first question is designed to support an indicator in the monitoring and reporting framework, as follows: “# of countries with country-led and inclusive mechanisms to coordinate support to national priorities for *transition*” (italics added). The value for this indicator is obtained from the breakdown of the responses according to whether or not the country is in transition. Among the 21 RCs in countries in transition, 17 responded Yes, meaning that such mechanisms are reported to exist in 81% of transition countries, a slightly higher percentage than the figure for all countries.

The findings in respect of the second question (about an UNDAF steering committee) is very similar to the other findings, and it is not possible to detect a trend towards more joint steering committees. In this regard, one year is a very short period for such a trend to become apparent, and moreover a small shift in the percentages could be due to the lower response rate in 2014.

Since joint steering committees are a significant element of DaO, the breakdown by DaO status is instructive, as shown in the chart below.



This question is preliminary question to a further question that is designed to support another indicator in the monitoring and reporting framework, as follows: “% of programme countries

where a joint national Steering Committee (or similar group) conducted a joint UNDAF (or equivalent) review in the past 12 months.”

17. *Did the joint Steering Committee (or similar body) conduct an annual review of the UNDAF (or equivalent instrument) in the past 12 months?*

The 53 countries that answered Yes to the preceding question were asked this further question. The responses are as follows:

Did the joint Steering Committee conduct an annual review of the UNDAF in last 12 months?	Number of responses	
	2014	2013
Yes	34	40
No	19	29
Other	-	7
Total	53	76
Yes, as % of Total	64%	53%

The responses for the two consecutive years confirm the validity of some RC comments quoted earlier: coordination mechanisms may exist but may not always function regularly. Nonetheless, the above table does seem to suggest an improvement in this regard, although the lower response rate in 2014 might just account for the differences; another year’s data should show if there is indeed a trend towards holding annual reviews more regularly. Somewhat surprisingly, the breakdown by DaO status does not reveal a pattern along the lines seen in the responses to the previous question.

18. *Have results groups as defined in the Standard Operating Procedures (SOPs) for DaO been established in your country?*

Have results groups been established?	Responses 2014
Yes	42
No	16
Not applicable	20
Total	78
Yes, as % of Total	54%

Results groups are another significant feature of DaO. The Standard Operating Procedures (SOPs) for DaO envisage that results groups would ensure the necessary inter-agency cooperation at the UNDAF implementation stage. With these groups in place, it is thought that the UNDAF can become more of a strategic document, pitched at the outcome level, rather than an operational document. Through questions 7 and 8 above, 59 RCs indicated that their country was fully or partially implementing DaO, but only 29 indicated that they were implementing One Programme. The responses to this question suggest that the formation of results groups as defined in the SOPs is actually running ahead of some other aspects of the One Programme. Nearly all countries

implementing DaO indicated that they have results groups, while 37% of the remaining countries gave this response.

19. *To what extent do the results groups or theme groups or programme coordination groups form part of a national coordination mechanism?*

To what extent do the results groups (or other coordination groups) form part of a national coordination mechanism?	Responses 2014	As %
All these groups are part of a national coordination mechanism	5	6
Some of these groups are part of a national coordination mechanism	30	39
None of these groups are part of a national coordination mechanism	24	31
Not applicable	19	24
Total	78	100

In some contexts, results groups may play a useful role as an *internal* UN mechanism for ensuring coordination. This appears to be the case in the 24 countries that responded 'None'. At the same time, the sustainability of UN-supported activities in all countries depends on strong national ownership and thus on sufficient participation by key stakeholders in the work of coordination groups. In the programme country survey, some governments called on the UN to do more to keep stakeholders properly informed about its activities. The linking of the work of the results groups to broader national mechanisms seems to merit more attention in many countries.

20 to 23. *In regard to chairing, participating in, and work planning of the results groups or other coordination groups:*

Chairing, participation and work planning in results groups (or other coordination groups) (2014 survey – 78 responses)	Responses % - 2014				
	All	Some	None	NA	Total
Government co-chairs	17	19	41	23	100
A UNCT member (agency head) chairs or co-chairs	60	24	4	12	100
Groups have non-governmental partners as members	9	37	35	19	100
Groups have joint annual work plans	27	38	13	22	100
For comparison: Groups have joint annual work plans (2013 survey – 109 responses)	61		26	14	100

Government co-chairing of a results group and non-governmental participation are undoubtedly important in assuring national ownership of UN-supported activities, and on this score the picture seems mixed. Government co-chairing is more common in countries implementing DaO: Governments co-chair at least some results groups in over half of the countries implementing DaO, compared with only about a quarter of other countries. The regional breakdown shows that co-chairing by government is common in Africa, but much less common in other regions, and hardly happens at all in Latin America and the Caribbean.

Regarding the second line, the large extent to which agency heads are assuming leadership roles in results groups is a promising sign of closer collaboration within country teams. (Having a UNCT

member chair each results group is another significant element of the One Programme in the SOPs for DaO, as it tends to enhance the effectiveness of the group.) Chairing of results groups by UNCT members is occurring in both DaO and non-DaO countries, although it is more common in DaO countries.

The above table also shows that non-governmental partners participate in at least some results groups (or other coordination groups) in a majority of the countries where such groups exist. The participation of non-governmental stakeholders in results groups is, again, more common in DaO countries: RCs in two-thirds of countries implementing DaO reported non-governmental participation in a least some results groups. The regional breakdown shows that participation by non-Governmental partners is common in Africa, but is much less common in other regions.

On joint work planning, a comparison between 2014 and 2013 may be made, although it is complicated by the fact that in 2013 there was only a Yes/No answer option. It seems nonetheless that there may have been a modest increase in the proportion of countries where at least some groups have a joint work plan. Joint annual work planning is already the norm in DaO countries, where 50% of RCs report that *all* results groups have joint annual work plans. The fact that not all groups have joint annual work plans, even though a head of agency may be chairing it, could be a reminder that DaO, and especially the SOPs, are still in their early stages of implementation in many countries.

24. The UNDG envisages that the UNCT would provide the Government with a report on progress with the UNDAF (or equivalent instrument) at least once in its lifetime, and annually in DaO countries. Did the UNCT provide the Government with such a report in the last 4 years? and

25. Did the UNCT provide the government with such a report in the last year?

A significant concern of governments, as reported in the surveys in 2012 and 2014, is around the topic of transparency, and in particular around the reporting received from the UN system at country level. In this regard, current UNDG guidelines call for a report on results achieved by the UN system to be provided to governments at least once in four years, and the One Programme in the SOPs for DaO require such a report to be provided annually.

The responses from resident coordinators to this question are shown in the table. The second question was answered only by the 56 RCs who answered Yes to the first question. The other respondents skipped over to the following question.

UN system reporting to government - 2014	In the last four years				In the last year			
	Yes	No	Don't know	Total	Yes	No	N/A	Total
Has a report on results achieved by the UN been provided to the Government?	56	17	5	78	40	16	22	78
Responses as a percentage of all RCs (78) who answered the first question :	72	22	6	100	51	21	28	100

On both questions 24 and 25, this type or frequency of reporting to the government was somewhat more common in countries implementing DaO: 80% of UNCTs in these countries having provided such a report to the government in the last year.

While the above question was directed at resident coordinators, Governments were asked, in 2014: Does your Government receive a report from the UN Resident Coordinator on the results being achieved by the UN system in your country? The responses are as shown below:

UN performance report provided to Government	Number of governments	%
Yes	34	49
No	23	33
Don't know	13	18

The responses on the question to governments indicate that about half of the governments were aware that they had received a report on UN performance. This figure seems consistent with the figure of 51% of RCs who stated that they had provided a report to the government in the last year.

The matter of the *quality* of the reporting was examined through a follow-up question:

26. *Regardless of when the last report was provided to the Government, please indicate the extent to which the report:*

Extent to which the UN system report:	Year of survey	Total Responses	Fully	Partially	Not at all	Fully, as % of total
...was structured around the UNDAF outcomes	2014	78	59	8	11	76
	2013	108	66	28	14	61
...was linked to national development results	2014	78	38	27	13	49
	2013	107	56	39	12	52
...informed government on the results of the UNCT as a whole	2014	78	45	20	13	58
	2013	108	55	26	27	51

From the above data, it seems probable that the quality of reporting to governments has been improving, particularly as regards UN reports being structured around the UNDAF outcomes. At the same time, the challenges of linking the reporting to national development results and of including the work of the UN system as a whole evidently remain considerable. On the matter of linking the reporting to national development results, some agencies face the complication of having to report to their own governing bodies according to agency-specific requirements. Agencies were asked about the challenges in this regard, and the findings are reported in the RBM section of the report on the survey of UN agency headquarters.

In the 2014 survey, some governments were asked a similar question, phrased in terms of the extent to which they agreed that UN reporting met the given criteria. There were a relatively small number of responses, since the question was addressed only to those countries that stated they had

received a report from the UN Resident Coordinator on the results being achieved by the UN system in the country. The results are shown below:

Extent to which the UN system report:	Total responses	Strongly agree	Somewhat agree	Somewhat disagree	Strongly disagree	Strongly agree as % of total
...was structured around the UNDAF outcomes	34	19	14	1	0	56
...was linked to national development results	35	10	23	1	1	29
...informed government on the results of the UNCT as a whole	35	8	15	9	3	23

The above responses from governments confirm in some respects the responses from resident coordinators. In particular, they confirm that the UN country teams face the greatest challenges in linking UN system reporting to national development results and of including the work of the UN system as a whole in their reports to the government. It is also notable that governments tend to be less convinced than the resident coordinators about the extent to which reports satisfy these two criteria. It remains clear that governments and resident coordinators agree that much remains to be done to bring the quality of UN reporting up to a good standard in many if not most countries. On all three criteria, the responses from RCs in DaO countries was significantly more positive than for all countries: the expectation that DaO will be implemented more widely in future augurs well for progress to be made in the general area of accountability to national authorities.

The UNDG CSS survey in 2014 asked UNCT members to agree or disagree that “The UN's contribution to national priorities is comprehensively reported in the single annual UN Country Results Report”. 40% of respondents did not answer the question, which can be attributed to the fact that around half of all UNCTs do not provide a results report annually to the government. Among the remainder, 11% stated strongly agree, 63% stated agree and 16% were neutral. These responses seem broadly consistent with the views of the governments, except perhaps in regard to including the ‘results of the whole UN system’ on which a significant percentage of governments did not agree.

27. *Was there a formal evaluation of the UNDAF (or equivalent instrument) during the last five years?* and:

28. *Was a formal management response prepared on the evaluation of the UNDAF (or equivalent instrument)?*

The same questions were asked of the RCs in both 2013 and 2014. The data in respect of both years is shown below:

Status of evaluation of UNDAF or equivalent instrument	Year of survey	Total Responses	Yes	No	NA ⁴	Yes, as % of Yes+No
UNDAF evaluation carried out in last 5 years	2014	78	39	33	6	54
	2013	109	57	52	-	52
Management response prepared	2014	78	23	25	30	48
	2013	109	31	40	38	44

UNDAF evaluations are critical to assess the effectiveness and efficiency by which the United Nations development system has contributed to national development priorities and capacity building, and to learn lessons to inform future activities of the UN system in the country. The responses on the prevalence of UNDAF evaluations in 2014 are very similar to the responses in 2013. Both surveys suggest that the UNCTs in only just over half of all countries with an UNDAF (or equivalent) have arranged for its evaluation. This warrants attention, given that an evaluation has been a mandatory UNDG requirement since 2009. The compliance rate was no higher in countries implementing DaO than in other countries.

The regional breakdown indicates that compliance is highest in Latin America and the Caribbean (two-thirds of countries in that region evaluated their UNDAF) while under one-third of countries in Asia and the Pacific did so. The remaining regions were close to the average of 50% compliance. In terms of completing management responses, compliance was again noticeably higher in Latin America and the Caribbean than in other regions. In general, it would seem that the UNDG regional teams need to pay more attention to UNDAF evaluation.

29. Please indicate the extent to which you agree that the UN has used each of the following [national capacities] as much as possible:

With a view to exploring the effectiveness of the UN system in regard to national capacity development, this question was asked of governments in 2012 and 2014, and of resident coordinators in 2013 and 2014. The responses from resident coordinators are given below:

Capacity used "as much as possible"	Year	Total responses	Strongly agree	Some-what agree	Some-what disagree	Strongly disagree	Don't know	Strongly agree, as % of Total
National experts, at design stage	2014	78	51	22	5	0	0	65
	2013	109	73	32	3	1	-	67
National institutions, at design stage	2014	78	48	26	4	0	0	62
	2013	109	59	46	3	1	-	54
National institutions, at implementation stage ⁵	2014	78	55	21	2	0	0	71
	2013	-	-	-	-	-	-	-
National procurement systems	2014	78	6	31	15	22	4	8
	2013	109	8	42	33	26	-	7
National financial systems	2014	78	12	26	21	16	3	15
	2013	109	10	41	34	24	-	9

⁴ NA generally means that the country did not have an UNDAF or equivalent instrument, and in the case of the management response, NA was checked by the respondents in all countries where the UNDAF was not evaluated.

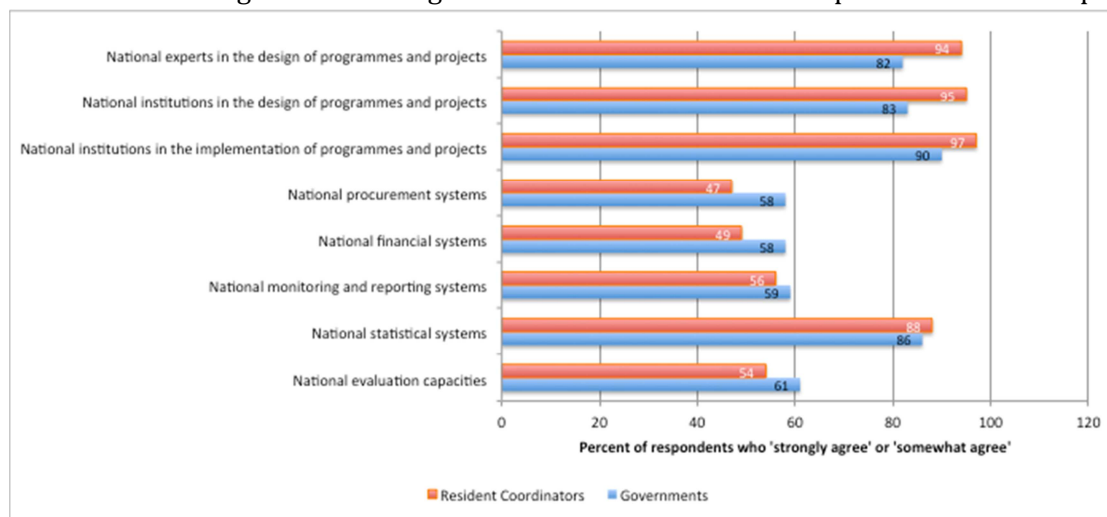
⁵ New question in 2014

National monitoring and reporting systems	2014	78	14	30	20	11	3	18
	2013	109	17	47	32	13	-	16
National statistical systems ⁶	2014	78	34	35	7	1	1	44
	2013	-	-	-	-	-	-	-
National evaluation capacities	2014	78	9	33	19	14	3	14
	2013	109	18	38	39	14	-	17

Although the number of RCs who responded was less in 2014 than in 2013, the pattern of responses has stayed the same. Overall, the data suggest that the measures taken by the UN system to strengthen and make use of national systems and capacities continue to fall short of achieving the desired results. The limited extent to which national capacities are being used in the areas of procurement, financial management, monitoring, reporting and evaluation is especially evident.

These findings are reinforced by the results from the surveys of governments, as can be seen in Chart 2 below, depicting the responses respectively from RCs and governments:

Chart 2 – Percentage of RCs that agree the UN has used national capacities as much as possible



The lowest ratings, by both governments and RCs, were in the areas of procurement, financial management, monitoring, reporting and evaluation.

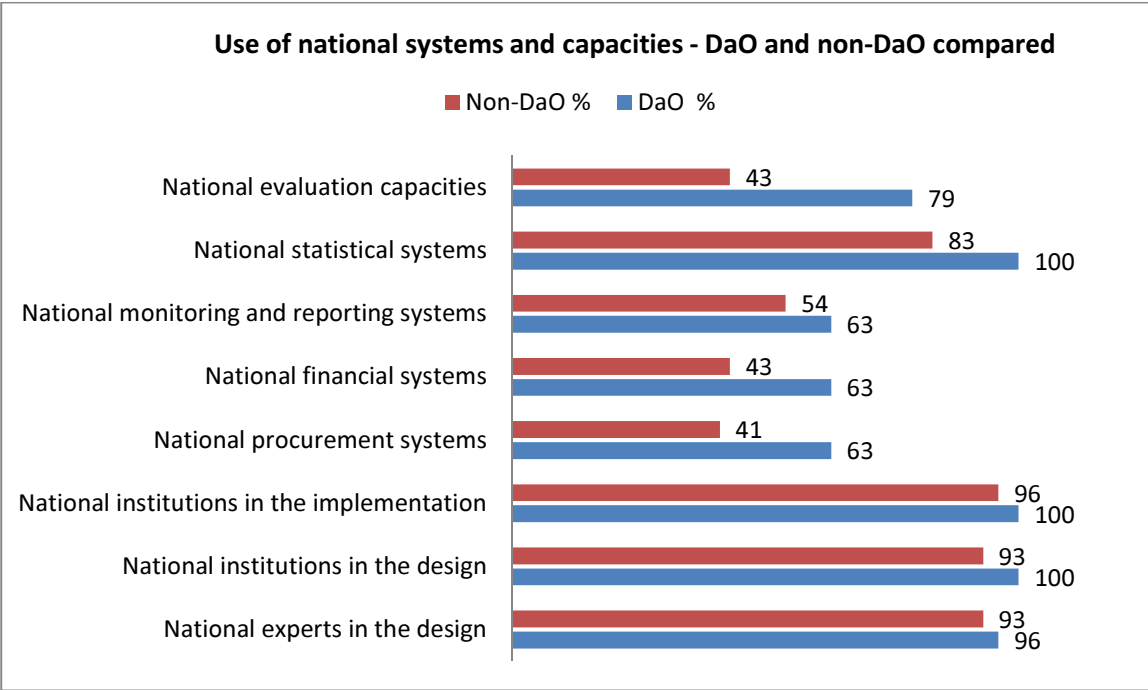
The pattern of responses was similar also at each level of country income, although the low-income countries and lower middle income countries were somewhat more likely than higher income countries to say that their monitoring, reporting and evaluation capacities were being under-used by the UN. There was little difference in regard to procurement or financial management.

The RCs in countries implementing DaO were noticeably more likely to agree that the UN was using national capacities and systems as much as possible; this applies to all the above areas except the first three. For example, in regard to procurement, 63% of RCs in DaO countries agreed that the UN

⁶ New question in 2014

was using national capacities as much as possible, while the corresponding figure for non-DaO countries was 41%. , 79% of RCs in DaO countries agreed that the UN was using national evaluation capacities as much as possible, while the corresponding figure for non-DaO countries was 43%. The chart below shows the responses from both DaO and non-DaO countries on all of the topics.

Chart 3 – UN uses national systems and capacities as much as possible: Responses from resident coordinators in DaO and non-DaO countries



Since the interests of strengthening national capacities clearly lie in *using* national institutions and systems to the greatest extent possible, the limited use of available national capacities demands some explanation, particularly as governments and resident coordinators are essentially in agreement about the current reality. The following question aimed to achieve a better understanding on this topic.

30. *Please mention briefly any obstacles in terms of UN agency policies, procedures or practices that in your experience have prevented the UN system from being fully effective in strengthening national capacities or from making more use of national capacities in your country of assignment.*

In view of the persistent demand from programme countries for the UN to do more in terms of strengthening national capacities, resident coordinators were asked to share their experiences about the challenges that the UN system faces in this regard.

Some resident coordinators mentioned the limited capacity of national institutions, and steps being taken to strengthen national capacities, including through the Harmonized Approach to Cash

Transfers (HACT) process. Others mentioned limited national ownership of UN programmes, the lack of a national strategy for capacity development, general lack of transparency and accountability, frequent changes in government institutions and staffing, donor requirements, UN agency focus on ‘fund-raising at the expense of programme coherence’, UN fiscal/financial year differs from the government annual budget cycle, UN agencies have different policies, procedures and practices, as well as different approaches and understanding of capacity development that prevent effective action, lack of incentive for agencies to work together on these matters, some agencies ‘still believing their value added lies in duplicating or bypassing national systems’, UN procedures being perceived as quite complex and not fully oriented towards accomplishment of counterparts’ goals, lack of funds to carry out training on, for example, results-based management, monitoring and evaluation with a view to strengthening national capacities; also lack of specific dedicated expertise in the UNCT on these areas.

From the above comments, it is clear that there are currently constraints on the side of both the programme countries and the UN agencies. However, while surveys can point to the existence of problems, a proper understanding of the factors at play and identification of appropriate actions to improve the situation would require a more in-depth study of the incentives and disincentives to using national capacities.

31. Considering the financial management and other capacities available in the country, to what extent do you agree that the UN system is using parallel implementation units (PIUs) as little as possible:

This question is closely related to the previous question, and aims to develop data to satisfy one of the QCPR indicators (#26). Essentially the same question was asked in 2013; however, it was phrased the other way around: respondents were asked in 2013 to agree or disagree that “the UN system is using PIUs more than necessary”. The results in both years are shown below:

2014 survey		2013 survey	
UN system using PIUs “as little as possible”	%	%	UN system using PIUs “more than necessary”
Strongly agree	16	2	Strongly disagree
Somewhat agree	49	27	Somewhat disagree
Somewhat disagree	23	43	Somewhat agree
Strongly disagree	8	28	Strongly agree
Don’t know	4	-	Don’t know

It is commonly observed in surveys that, other things being equal, respondents are more inclined to agree to a proposition than to disagree to it. By reversing the question, the bias towards acquiescence now operates in the reverse direction. In other words, whereas the 43% who said ‘somewhat agree’ in 2013 may not all have been very sure they agreed, the same can be said about the 49% who said ‘somewhat agree’ in 2014. An average of the two columns might give a more balanced picture. In that case, it may be concluded that roughly half the resident coordinators see PIUs as an issue while the other half do not. RCs in countries implementing DaO were more likely to agree that PIUs were being used as little as possible (75% of RCs in DaO countries as against 61%

in non-DaO countries strongly or somewhat agreed.) This again reinforces the finding about DaO countries seen in the answers to the preceding questions. There was no significant differences in the responses from RCs in countries where they also serve as UN Humanitarian Coordinators.

Whichever way one looks at the data, there are clearly considerable differences from one country to another, and the continued prevalence of PIUs is certainly an issue in some countries.

South-south and triangular cooperation

32. *To what extent does the current UNDAF or equivalent framework include programming of support to south-south and triangular cooperation?*

To what extent does UNDAF support south-south and triangular cooperation? Number of responses = 78	% of responses
To a great extent	14
To some extent	67
Not at all	19
Total	100

26% of the RCs in upper middle income countries stated ‘to a great extent’ while only 6% of the remaining respondents selected ‘to a great extent’.

33. *As far as you know, has the government requested the UN system to support its cooperation with other developing countries?*

Has government requested the UN system to support its cooperation with other developing countries? Number of responses = 78	% of responses
Yes	78
No	18
Don't know	4
Total	100

Two-thirds of RCs in low-income countries answered this question affirmatively, and an even higher percentage said Yes in countries at the middle and high income levels.

34. *What have been the main challenges for the UNCT in providing the requested support for south-south and triangular cooperation?*

The 61 resident coordinators who answered Yes to the previous question were then asked this question. The table shows the number of resident coordinators that selected each type of challenge. There was no restriction on the number of challenges that each respondent could select.

Type of challenge	Number of times
--------------------------	------------------------

Number of RCs who responded = 78	response chosen
Lack of dedicated resources and capacity	39
Business rules and procedures	10
Nature of the request	10
Need for corporate strategy and policy	15
Other (Please specify)	14

Many thoughtful responses were received under 'Other', so they are reproduced in full below:

Description of the challenge
Lack of the Government focal point for South-South and Triangular cooperation
A South-South Cooperation national strategy is being developed as part of the 'Support to SSC' project.
Topic: establishment of an international Think Tank for LLDCs. Problem: not enough in house capacity to deal with request and little resources to bring in non-resident UN agency support.
Movement restrictions make it difficult to bring in experts or to send experts abroad to provide support.
Strategic positioning by UNCT of south-south cooperation needs stronger focus on innovation potential for all countries involved at equal level in the exchange rather than one giver one taker.
While several agencies talk about it, words have not been adequately translated into actions; UNCT led by UNDP is working on developing a much needed Development Effectiveness Framework for the country.
The UNCT is largely composed of NRA members. Coordination remains a significant challenge when requests come in. Request may also go bilaterally to agencies from line ministries to there is no visibility at an RCO level of what support is being given.
We are still in the process of agreeing with the Government how to support SSC. In addition, we have limited staff and many different demands on their time which makes attending to a new area somewhat challenging.
The support for triangular or South-South cooperation has been provided quite extensively by some individual agencies. However not necessarily part of the UNDAF framework.
Nearly all UN agencies now recognize the importance of south-south and to some extent or another have south-south as a priority. At the same time, the definition of south-south is not the same for all agencies and for different government agencies. Medium sized and smaller agencies do not have the technical, personnel and / or financial resources to do work on south-south making it difficult to speak of a UNCT approach to south-south, let alone for the UNCT to provide support for the same.
Horizontal cooperation although not involving the same levels of financing as traditional development cooperation, it does require seed money and dedicated human resources. As the concepts and approaches are fairly new, such dedicated resource does not exist. In this country, a development partners group is being established and which will be able to structure and promote both SSC and triangular cooperation.
This has not been a feature of the UNCT Workplan or agenda in the last 5 years. The new UN framework will feature this component under one of its key results areas.
A group of major donors is currently being created chaired under the leadership of the Government. This structure is expected to foster and frame the south-south cooperation with the country.
Need to identify countries with linguistic needs, excellent institutions and approval of both

countries.
Availability of funding.
UNDP has done better in this respect than most other agencies.
It was largely provided as requested (transfer of knowledge and expertise on EU accession).
Question has been about finding the right partners for the governments (From an office covering small island countries).
When the Government requests the UN agencies support for South-South or triangular cooperation it usually expects the UN to cover costs involved in this type of cooperation. Some agencies have done it in some occasions but this is not possible all the time. The Government has communicated its intention to establish a Fund for South-South Cooperation.
The UN has provided support to the country in adopting EU norms and standards and in supporting preparations for EU membership, which is the country's priority development goal.
The Government that requested the UN support fell after a motion of confidence in the parliament and the new one did not follow it actively.
Government talks of S-S and triangular cooperation but in practice takes a limited interest: it sees itself almost exclusively as provider, not receiver; the political angle takes precedence over the operational interest, often leading to the marginalization of UN agencies as soon as the contact has been established, and gutting the agreement of substance.
Lack of definition of cooperation desired on government side.

35. *Based on what you know, what type of support has been requested?*

The responses to this question are shown below. Although there was no restriction on who could answer, it was very largely the RCs who answered Yes to question 33 who answered this question. Most of the others stated 'Not applicable'. The percentages reflect the number of times the answer option was chosen divided by the total number of RCs who answered the question, excluding those 15 RCs who stated that the question was not applicable to them.

Based on what you know, what type of support has been requested? Please select all that apply.		
Answer Options	Response Percent	Response Count
Provision of access to knowledge and expertise of other developing countries	84	53
Identification of cooperation partners	56	35
Support towards regional integration	38	24
Financial support	38	24
Delivery of cross-border or inter-regional projects or programmes	35	22
Capacity building on management of south-south cooperation	30	19
Support for negotiation capacity development	25	16
Serving as an administrative agent to manage cooperation projects	21	13
Others (please specify in the comment box below)	6	4

There were several additional comments made in the comments box. They are shown below:

Other types of support sought by the government from the UN in regard to south-south cooperation:
Implementation of recommendations from stock-taking study conducted jointly by UN and government
The most solicited support looked for is access to knowledge and experience sharing. This takes place in areas of social technology, social inclusion, social protection and public administration.
Sharing of best practices and models of development.
Technical support and capacity building for key institutions.
There has been interest shown in using the networking for South-South Cooperation.
Secondments to UNDP COs, support for pilot country strategies of national S-S cooperation programme, support for international development conference on development cooperation and the role of emerging countries.
Facilitating incoming missions for exchange of experiences and knowledge.

Gender

36. *Has the UNCT completed the gender scorecard in your country in the last three years?*

A similar question was asked in 2013, focusing on whether the gender scorecard had *ever* been completed in the country. In view of the importance the UN system attaches to the implementation of the gender scorecard, it was decided to focus in 2014 on whether the UNCT had prepared or updated the scorecard within the last three years. The responses are shown below.

Completed the gender scorecard? Number of responses = 109 in 2013 and 78 in 2014.	In last 3 years (2014 survey) %	Ever completed (2013 survey) %
Yes	35	49
No	65	51
Total	100	100

From these results, it can be said that completing the gender scorecard is still a long way from being treated as a standard task by a majority of UNCTs. This applies at all country income levels: that is, at no income level have the majority of countries completed the gender scorecard. Since the questions in the two years are different, one cannot infer any trend. However, the data for 2014 may serve as a baseline for future surveys, assuming the same question continues to be asked.

Variations according to region are more noticeable:

Completed the gender scorecard in the last 3 years: 2014 RC survey	Total	Africa	Arab States	Asia + Pacific	ECIS	LAC
Yes	27	5	1	7	7	7
No	51	15	7	9	8	12
Total	78	20	8	16	15	19
Yes, as % of total	35	25	12.5	44	47	37

The above table shows that the completion of the gender scorecard is decidedly more prevalent in the ECIS countries and in Asia and the Pacific, with Latin America and the Caribbean coming next. The low completion rates in Africa and Arab States should be a particular source of concern.

The RCs who responded No were asked a supplementary question, as follows:

37. *If No, does the UNCT have plans to complete the gender scorecard in the next 12 months?*

Of the 51 countries where the gender scorecard had not been completed in the last three years, the RCs in 25 countries said their UNCT planned to complete it in the coming 12 months, while the others said they did not. A similar follow-up question was asked in 2013, and the number who said they planned to complete the scorecard in the coming year or two was again about half of those who had said the scorecard had not yet been completed. In other words, both surveys showed that in a substantial number of countries the UNCT had no plans to complete the gender scorecard.

The reasons for not having completed the scorecard, or not having plans to do so, are not known. In 2013, one RC mentioned that there was insufficient data available. An additional question on this point would be needed in future surveys in order to understand the reasons.

38. *How many of the scorecard areas received a rating of 4 or above?*

The 28 RCs who stated that the UNCT completed the gender scorecard in the last three years were asked this question:

Scorecard areas receiving rating of 4 or above (out of 8 areas)	Number of countries
None	2
One to three	10
Four or five	7
Six to eight	6
Number of responses received	25
Number of RCs who did not respond	3

The QCPR monitoring and reporting framework includes the following indicator (#36): “% of countries conducting the gender scorecard that meet minimum standards (rating 4) in at least half of the gender scorecard areas.” The percentage based on this year’s survey would be 52 percent (13 countries out of 25). If the RCs who did not provide the requested data are taken into account, the percentage falls to 46% (13 out of 28).

To the extent that simply completing the scorecard may be considered a useful analysis, advocacy and awareness-raising tool, the number (or percentage) of countries with a recently-completed gender scorecard would also be a valuable indicator for the QCPR monitoring and reporting framework.

39. *Did the UNCT discuss and endorse a management response to the scorecard findings?*

The same 28 RCs were also asked this follow-up question, intended to provide some insight into the use made of the scorecard findings.

A management response to the scorecard findings was endorsed by the UNCT	Number of countries
Yes	17
No	8
Total number of responses	25

The attention paid to the management response by most countries that completed the scorecard is a sign that the UNCT intends to follow up on the findings. This degree of attention is somewhat higher than on the matter of management responses to UNDAF evaluations (question 28 above) where it was indicated that less than half of all UNCTs had arranged for a management response.

Transition from Relief to Development

40. *Has the UNCT concluded an agreement/arrangement initiative for response to crisis, such as a joint needs assessment, with key partners such as the World Bank in the past two years?*

Agreements for response to crisis concluded with key partners such as the World Bank in last 2 years	Number of countries	%	Adjusted numbers ⁷	%
Yes	18	24	6	28
No	25	33	10	48
Not applicable, this is not a transition country	32	43	5	24
Total	75	100	21	100

The responses to this question are not easy to understand, since 43 countries responded with either Yes or No, rather than state 'Not applicable', yet only 21 of the respondents were UN Humanitarian Coordinators. This would suggest a lack of clarity as to which countries were expected to reply to the question. Compared with related questions asked in 2012 and 2013, *many* more countries responded affirmatively to this question. Another reason for the increase is that the previous questions referred specifically to the UN-World Bank relationship, while the current question refers to cooperation with any development partner. Several RCs added comments, mentioning specific joint assessments or studies carried out with a variety of partners including donors and non-governmental organizations, as well as with the World Bank.

The applicable indicator in the monitoring and reporting framework asks for the number of countries with such agreements. The current survey gives 18. Without a clear definition of which countries qualify to respond, it is difficult to attach any meaning to the figure. Moreover, the number will fluctuate according to the number of RCs who respond to the survey in any given year. The data in the adjusted column may present a more relevant picture. This shows the data for those countries where a UN Humanitarian Coordinator is located, and it presents the responses in terms of percentages. It can be seen that, in *percentage* terms, there is a more consistent result (28 or 24 per cent), whether using the adjusted or non-adjusted data.

Funding

41. *Does a Common Budgetary Framework (CBF) exist covering the current UNDAF (or equivalent instrument) programming period in your country?*

The responses to this question indicate that the Common Budgetary Framework (CBF) is being used in approximately half of the countries implementing DaO, and very rarely in all other countries. Overall, 21% of the RCs who responded stated that the CBF was being used in their country. This may be compared with 25% who gave the same response in the corresponding

⁷ Numbers adjusted to include only the responses from countries where there is a UN Humanitarian Coordinator.

survey in 2013. The small difference in these percentages could easily be due to the lower response rate in 2014. The main conclusion from the data is that, in spite of the QCPR mandate to generalize the use of the CBF, there is so far little movement in this direction. Some possibly positive signs are the widespread use of the CBF in DaO countries, and the prominence given to the CBF in the Standard Operating Procedures (SOPs) for DaO.

Common Budgetary Framework (CBF) exists:	Responses from DaO countries	%	Responses from all other countries	%
Yes	13	54	3	6
No	11	46	48	94
Total	24	100	51	100

42. *Do you receive information on available and projected financial contributions from agency representatives, when requested?*

A substantial majority of RCs stated that they did receive financial information when requested, as the table shows, regardless of whether DaO was being implemented in the country or not. This would suggest that the availability of data is not an impediment to the establishment of a CBF.

Financial data available when requested:	Responses from DaO countries	%	Responses from all other countries	%
Yes	21	88	40	78
No	3	12	11	22
Total	24	100	51	100

A number of RCs did comment on difficulties encountered, noting that while some agencies were forthcoming with data, others were not. There were also challenges in receiving data that is actually comparable (difficult to find common definitions), and challenges in relation to double-counting.

43. *If you have a CBF, how often is it updated?*

Frequency of updating the CBF:	More than once a year	Once a year	Less than once a year
DaO countries with CBFs	5	4	4
All other countries with CBFs	0	2	1

44. *If you have a CBF, is it at all times accessible for the government, development cooperation partners (donors) and other stakeholders?*

CBF accessible to government and other development partners:	Yes	No
DaO countries with CBFs	11	2
All other countries with CBFs	1	2

45. *Does the UNCT in the country have a joint resource mobilization strategy?*

UNCT has resource mobilization strategy:	Responses from DaO countries	%	Responses from all other countries	%
Yes	14	58	9	18
No	10	42	42	82
Total	24	100	51	100

Along with establishing a common budgetary framework, a joint resource mobilization strategy is a means for UNCTs to increase the coherence of their activities, avoiding overlaps and instances of unproductive competition. The table suggests that joint resource mobilization strategies have been adopted in a few more countries than have CBFs, but overall it remains a minority of UNCTs that have taken this step.

46. *Is there a One-UN-Fund in the country?*

Country has a One-UN Fund:	Responses from DaO countries	%	Responses from all other countries	%
Yes	16	67	3	6
No	8	33	48	94
Total	24	100	51	100

47. *Has the joint national/UN Steering Committee established allocation criteria for the One Fund?*

This question was answered only by those RCs who answered Yes to the previous question, regarding the existence of a One-UN fund in the country. It seems clear from the responses to this question that, where One-UN funds have been established (a minority of countries) it is practically standard practice that there is a joint national/UN Steering Committee and it has indeed established allocation criteria for the One Fund. One RC clarified that the criteria were based on “the corporate criteria.”

Joint Steering Committee established allocation criteria:	Responses from DaO countries	%	Responses from all other countries	%
Yes	13	81	2	67
No	3	19	1	33
Total	16	100	3	100

48. Please estimate the percentage of available or firmly committed UN resources that are channelled through the One-UN-Fund in your country

Percentage of resources channeled through the One-UN Fund:	0-10 %	11-20 %	21-30 %	31-40 %	41-50%	Over 50 %
DaO countries	7	4	3	0	0	2
All other countries with One-UN funds	3	0	0	0	0	0

49. Please estimate the percentage of currently available or committed UN resources in your country that relate to joint programmes and that are subject to pooled or pass-through and/or MDTF fund management arrangements (as against parallel funding)

Share of joint programmes with pooled resources (vs parallel funding): Number of responses	0-10%	11-20%	21-30%	31-40%	41-50%	Over 50%
DaO countries	14	5	4	1	0	0
All other countries	38	7	2	0	0	4

50. Have DaO modalities led to additional funding for your country of assignment?

Based on the criteria for a country implementing DaO that is used in this survey, around half consider that DaO has helped in mobilizing additional resources. The responses from “all other countries” are of little interest, as these countries are, at most, only implementing some aspects of DaO, and many are not implementing any aspects of DaO at all.

Have DaO modalities led to additional funding?	Responses from countries implementing DaO	%	Responses from all other countries	%
Yes	13	54	5	10
No	10	42	8	16
Not applicable	1	4	38	74
Total	24	100	51	100

Management

51. Please indicate which of the following positions UNDP has in the country? Please select all that apply.

This is a preliminary question to the subsequent question/s on the topic of the implementation of the so-called ‘firewall’, between the RC’s functions of RC and their functions of UNDP RR. The total number of RCs who answered this question is 75; some countries have both a UNDP country

director and a DRR and/or more than one of each position, which explains the total of 88 in the table.

UNDP positions immediately below that of Resident Representative	Number of countries with the position
Country Director	27
Deputy Resident Representative (DRR)	49
Other second-ranking official	12
Total	88

Regarding the ‘other second-ranking official’, RCs used the comment box to explain about the second-ranking official. Several mentioned that the next most senior official was a national Assistant Resident Representative. These are offices with small UN/UNDP programmes, and no doubt there would be limitations on the extent to which the firewall concept could be applied in such cases.

52. *Has the RC/RR signed delegation of authority letters, including for resource mobilization, with the second-ranking UNDP official?*

The RC has formally delegated authority for RM to the second-ranking official	All countries	Countries with a country director
Yes	44	23
No	31	4
Total number of responses	75	27

Several RCs clarified that in their country there was formal delegation of authority for financial management, but not specifically for resource mobilization. Other RCs, in countries with DRRs, added comments that indicated that the intent of the firewall was being respected, and mentioned that the DRR’s terms of reference specified resource mobilization. Another RC pointed out that he/she does still have resource mobilization responsibilities, for the UNDAF as a whole.

The QCPR monitoring and reporting framework has the following indicator: “% of UNDP country directors that have signed delegation of authority letters, including for resource mobilization, with RC/RRs.” The responses to the two questions show that 27 RRs in offices with Country Directors responded to the survey. Of these, all but four reported they had signed delegation of authority letters, including for resource mobilization. Thus, based on the responses to the current survey, 85% of Country Directors have received formal delegation of authority for resource mobilization on behalf of UNDP.

53. *Please indicate the total cash income of the RC Office in 2013 expressed in US\$*

This question aims to provide data that would address the QCPR monitoring indicator 67a: “Contributions in cash provided to the RC system.” Since the survey does not cover all offices, it cannot give a total figure for such contributions. (The survey actually covered 60 per cent of offices.) However, it will be possible to discern a trend in cash contributions from the annual

responses to this question over future years, by examining the proportion of offices in each contribution band.

Cash income of RC office in 2013 (in US dollars)	Number of RC offices	As % of all offices that responded
Up to \$50,000	4	5
\$50,000 to \$100,000	16	22
\$100,000 to \$200,000	32	43
\$200,000 to \$300,000	10	13
\$300,000 to \$400,000	6	8
Over \$400,000	7	9
Total number of responses	75	100

54. *The agreed QCPR monitoring indicators include in-kind contributions to the RC system (Indicator 67b). With this in mind, please indicate how readily you have been able to access agencies' technical resources:*

In-kind contributions to the RC system - ease of access to agencies' technical resources	Number of responses	As %
Have accessed the technical resources of all agencies without difficulty	16	21
Have accessed the technical resources of some agencies without difficulty	48	64
Have generally encountered difficulty in accessing agencies' technical resources	11	15
Total	75	100

This UN Development Group (UNDG) has addressed the topic of governance and accountability with a 'Management and Accountability system' (MAS). There are many elements to the MAS, and the element most relevant in this context states that the Resident Coordinator should have "immediate access to Agencies' technical resources to support the RC function." In regard to the MAS in general, the UNDG also recognized that it would take some time to meet all the expectations.

The QCPR monitoring and reporting framework drawn up in January 2014 states that the indicator on the topic of in-kind contributions remains to be determined. The above question would seem to offer a reasonable indicator, which could read: "% of RCs that have accessed the technical resources of all agencies without difficulty."

The breakdown of the data by region shows some variations from one region to another: RCs in Latin America and the Caribbean report somewhat less difficulty than average in accessing agency technical resources, while those in the Europe and CIS region reported somewhat above average difficulty.

55. *To what extent do you agree that the UN system field representatives in general enjoy sufficient delegated authority to respond effectively and efficiently to national needs and priorities?*

UN system field representatives enjoy sufficient delegated authority	Number of responses	%
Strongly agree	13	17
Somewhat agree	50	67
Somewhat disagree	9	12
Strongly disagree	3	4
Total	75	100

The UNDG Coordination Support Survey (CSS) in 2014 included the following question: “As a member of the UNCT, I am authorized to make joint decisions relating to UN policy, programming and financial matters to drive shared UN results” and respondents were asked to agree or disagree. In response, 16% stated strongly agree, 65% stated agree and 10% were neutral. 14% of the potential respondents did not answer the question. The figure of 16% closely mirrors the figure of 17% obtained through the RC survey, adding to the credibility of both surveys.

These questions are related to QCPR monitoring indicator 69: “% of UNCTs *by agency* with ‘very adequate’ delegated authority to make decisions on behalf of their agency” (my italics), for which the source of information is the CSS survey. Responding to this question, 24% stated strongly agree, 60% stated agree and 8% were neutral. Thirteen percent of the potential respondents did not answer the question. The question in the CSS survey did not ask for a separate rating of each agency. It provided only for an overall rating, which is in fact the only practical one for the report of the Secretary-General.

As noted in the responses to question 4, some agencies are represented in the UN country team by junior staff who serve as liaison or coordination officers; moreover some are national staff and some are project staff. These staff generally have limited delegated authority.

Communicating as One

This is a new section in 2014, included in light of the Standard Operating Procedures for DaO on this topic. The results reported here can serve as a baseline for assessing progress in the respective areas of cooperation and coherence over the coming years. The table below shows the percentage of RCs who responded Yes or No to each of three questions. Significant differences can be seen in the responses from DaO countries compared with the overall responses.

56. *Does a UN Communications Group (UNCG) exist in the country, and*

57. *Does the UNCT have a Joint Communications strategy, and*

60. *Does the UNCT have a common UN website?*

Aspects of cooperation on communications (75 responses)		Percentage of responses		
		Yes	No	Total
A UN Communications Group (UNCG) exists	DaO countries	100	0	100
	Non-DaO countries	92	8	100
UNCT has a Joint Communications Strategy	DaO countries	88	12	100
	Non-DaO countries	47	53	100
UNCT has a common UN website	DaO countries	92	8	100
	Non-DaO countries	73	27	100

The UNCTs in a majority of countries in four of the five regions have a joint communications strategy, the exception being Arab States, where only three out of the eight countries responding to the survey reported having such a strategy.

Although common UN country level websites are becoming almost a standard item for UNCTs, this is apparently not the case for one UNCT in five. The breakdown by size of country team does not reveal any pattern: small UNCTs are as likely as large UNCTs to have a common website. The region with proportionately the fewest common websites is, again, the Arab States region.

58. *To what extent does the strategy promote adequate linkages between the UN's normative and operational activities:*

The 45 RCs who answered Yes to the question on whether the UNCT has a joint communications strategy were then asked two follow-up questions. The results are shown below:

To what extent does the strategy promote adequate linkages between the UN's normative and operational activities:	Number of RCs	%
To a large extent	22	49
To a moderate extent	15	33
To a small extent	8	18
Not at all	0	0
Total	45	100

Within this overall picture, significant differences emerge when the data is broken down by size of the country team; thus, the larger the team, the less effective was the strategy seen to be in regard to promoting linkages UN’s normative and operational activities.

The responses from DaO countries on this question did not differ substantially from those of other countries that have a joint communications strategy. Similarly, the responses did not differ significantly when viewed by region or by income level of the country.

59. *Does the UNCT have a budgeted work plan to implement the Joint Communications Strategy?*

The 45 RCs in the countries with a joint communications strategy were then asked whether the UNCT has a budgeted work plan to implement the strategy. As with the responses to many other questions, significant differences emerge between DaO and non-DaO countries.

Does the UNCT have a budgeted work plan to implement the Joint Communications Strategy?	Answer	Number of countries	%
DaO countries	Yes	17	81
	No	4	19
	Total	21	100
Non-DaO countries	Yes	13	54
	No	11	46
	Total	24	100

60. *Does the UNCT have a common UN website?* See question 56 above.

61. *Has the UNCT agreed on guiding principles for common messaging from the UN in the country?*

Has the UNCT agreed on guiding principles for common messaging?	Answer	Number of countries	%
DaO countries	Yes	20	83
	No	4	17
	Total	24	100
Non-DaO countries	Yes	28	55
	No	23	45
	Total	51	100

As with the other questions on communications, the responses to this question will serve as a baseline.

The respondents were not afforded the opportunity to add comments to clarify or elaborate on any of the basic responses in this section, so it is not possible to provide insights in this regard. To give some perspective to the above responses, it may be recalled that from questions 7 and 8 above it was learned that 18 of the respondents are in countries that are fully applying DaO, and a further 21 are in countries that are implementing DaO partially and included Communicating as One among the Ones they are implementing. This would make a total of 39 of the respondents that are formally

applying Communicating as One. It may be seen from the above data that many UNCTs in non-DaO countries also have relevant coordination arrangements, notably a Communications Group, a common website and in some instances a joint communications strategy.

General comments

62. *Please provide any additional comments you may wish to make on any aspect of implementing the QCPR resolution at the country level:*

The Resident Coordinators were provided the opportunity to comment on any aspects of implementing the QCPR provisions at country level through this question. Seventeen RCs took the opportunity to make comments, and provided some valuable insights. Some referred to specific steps being taken at country level to adopt DaO or otherwise to improve UN system coherence. At the same time, there were repeated calls for more coherence at the level of agency headquarters, including comments about lack of support and even resistance to DaO in some agencies. The relevant responses are reproduced in full in Annex 2 below, after editing where necessary to preserve the anonymity of the respondents.

63. *Finally, please provide any comments you might have on the survey itself:*

The Resident Coordinators were also provided the opportunity to comment on any aspects of the survey itself. The responses indicate that the RCs believed it to be a useful tool, and several asked to be informed of the results, and how the results would be *used*. A need for more comment boxes was noted, in order to qualify the basic quantitative responses. From the experience with previous surveys, it is known that comments often provide valuable insights into the issues. The comments in full can be found in Annex 3.

Annex 1: Extent to which UNCT members enjoy adequate delegated authority to allow timely decision-making at UNCT meetings

100. Please indicate below to what extent you believe the UNCT members enjoy adequate delegated authority to allow timely decision-making at UNCT meetings.								% 'very adequate
Answer Options	Very adequate delegated authority	Somewhat adequate delegated authority	Somewhat inadequate delegated authority	Very inadequate delegated authority	Not applicable or insufficient information available to assess	Response Count	Columns B+C+D+E	Column B divided by B+C+D+E
FAO	30	31	17	9	20	107	87	34
IFAD	2	12	6	6	78	104	26	8
ILO	21	22	13	19	32	107	75	28
OCHA	20	18	2	0	66	106	40	50
UNAIDS	39	33	7	5	22	106	84	46
UNCDF	3	6	5	1	89	104	15	20
UNCTAD	1	2	1	0	98	102	4	25
UNDP	90	15	0	1	2	108	106	85
UNESCO	11	32	16	10	38	107	69	16
UNEP	4	9	3	4	83	103	20	20
UNFPA	60	32	6	3	6	107	101	59
UNHCR	47	23	6	2	27	105	78	60
UN-HABITAT	9	21	9	4	61	104	43	21
UNICEF	78	23	2	1	2	106	104	75
UNIDO	10	25	9	4	56	104	48	21
UNOPS	16	10	5	3	69	103	34	47
UNV	11	19	5	3	65	103	38	29
UN Women	30	28	6	6	35	105	70	43
WFP	46	22	3	0	34	105	71	65
WHO	47	31	20	5	3	106	103	46

Annex 2: General comments by Resident Coordinators on implementing the QCPR mandate at country level

Implementing at CO is sometimes challenging due to not fully harmonized understanding at HQ by some agencies.
There is a variable level of support from agency headquarters for implementing the QCPR in-country. Messages from some agency headquarters and specific staff regularly undermine some of the fundamental QCPR commitments.
Better harmonization of agency policies and procedures will enhance implementation of QCPR resolutions.
The UNCT is laying the foundation to DaO and currently working on UN coherence to bridge humanitarian, resilience and development. This transition will enable the UNCT to start implementing elements of the QCPR.
New RC has just arrived and plans to run bimonthly discussions with the UNCT on QCPR and SOPs starting October to support understanding and integration on UNCT and Government processes.
A few Agencies are awaiting guidance from their respective HQs.
Important to give UN representatives in the country (no matter if they are CO or regional) more support and resources (human and financial) to respond to national actions/needs.
Support needed to tackle the special situation of UNCT which deals with complex, small multiple countries, a One-UN approach deserves special attention.
The United Nations in (country) is undertaking a transition. The UNDAF is the first one to be implemented without the broader umbrella of a peacekeeping mission bringing a number of changes to the internal dynamics of the UNCT and the relationship between the UN and the Government. The UNCT is moving towards larger cooperation in the development areas, looking closely how to collaborate on specific multi-sectoral areas. It is also moving forward on implementing a joint communications strategy and joint advocacy initiatives.
It is necessary that the UN agencies at HQ level agree on a concrete action plan and timeframe for harmonization of policies, regulations, systems and procedures so as to facilitate implementing QCPR recommendations at country level. It would also be good to have some guidelines to implement QCPR recommendations on harmonization of operational aspects and business processes.
QCPR is strongly advocating for DaO, RC system efficiency and effectiveness, this is what we in UNCT are striving for; future QCPR and assessment of the current one would benefit from greater involvement of national governments.
More advocacy needs to be done among technical staff.
The Agencies and the staff are fully aware of the QCPR resolution; SOPs for DaO have been amply discussed, missions to DaO implementing countries were conducted and staff has agreed to initiate fully the DaO with the implementation of the coming Programming cycle. Therefore with the support of DOCO it is expected to start the planning process early 2015.
Cooperation is left to individuals with no real accountability to each other, their HQs or the host Government. The scarcity of resources adds to the complication with agencies competing.
The Joint Communications Strategy has been prepared and agreed upon. The difficulty now is to receive support, including financial support, to implement the strategy.
We are working towards establishing a One UN House. We have a robust BOS in place.
We have agreed to collaborate in joint communication initiatives focused on social inclusion, equality and peace coexistence. While it is not exactly a "strategy," we have produced a lot of joint materials with important media impact.

Annex 3: General comments by Resident Coordinators on the survey itself

Would be interested to know how the survey findings will be used.
The survey is a very useful tool.
Should explore more different aspects of non DaO countries as well.
It is useful for countries already implementing DaO. It would have been useful to ask questions that will illustrate plans to lay the foundation to move to DaO.
More space to qualify yes/no replies would be useful.
Quite straightforward and easy to use.
Simple and straight to the point. Thank you for that.
The survey was not clear on eg questions 47-49 on which period the question referred to, 2014 or the total UNDAF period... Overall, all question should have a box for comments. Responses would need to be complemented in order to fully provide the qualitative contribution.
I hope we will get feedback on the use of the results!
The UNCT in [country] is trying to adopt one part of the DaO which is the Integrated Work Plan for the UNDAF 2015-2019.
UNCT is one of the pilot countries for the Business Operation Strategy.
I would like to receive the consolidation and analysis of this survey and how it will be used to promote implementation of QCPR recommendations.
It is OK, not too long, but rather concrete and useful.
Great tool as it indicates you areas of the QCPR that one should be focused on.
DaO covers a very wide range of situations; the SoPs do not appear likely to reduce this range. Capturing the resulting variety makes for a very difficult survey to conceive, and for responses that will likely be difficult to interpret and to collate -- but this is an essential exercise if information is to trickle back up in support of continuing reform.
The survey questions are comprehensive, but a question relating to the impact on DaO of resistance by some agencies to fully play ball should have been included.