Oversight and coordination in the United Nations system:
Elements for strengthened governance, accountability and effectiveness in implementing the 2030 Agenda for Sustainable Development

Dr. Nuria Castells

Evaluation Officer – Joint Inspection Unit of the United Nations system

Visiting Researcher at the University of Tokyo, Institute for Future Initiatives

https://www.linkedin.com/in/drnuriacastellsecoenv/

PRESENTATION OUTLINE

Part I: Understanding the United Nations system

Part II: Oversight in the UN system

Part III : Independent System-Wide evaluation of the United Nations

Part IV: System-wide Strategic Coordination in the United Nations

Part V: Performance of the UN System: Accountability, effectiveness and efficiency

Part VI: The 2030 Agenda for Sustainable Development and SDGs

Part VII: Reform of the United Nations Development System

Part VIII: Wrap-up, summary and Q&A.

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Part I: Understanding the United Nations system

United Nations system

The UN website provides the following definition:

- The UN system, also known unofficially as the "UN family", is made up of the **UN** itself and many **affiliated programmes, funds, and specialized agencies**, all with **their own membership, leadership, and budget**. The **programmes and funds** are financed through voluntary rather than assessed contributions. The **Specialized Agencies** are independent international organizations **funded by both voluntary and assessed contributions.**

Source: https://www.un.org/en/about-un/ (August 2019)

. The UN system is in constant evolution

. Its composition and structure keeps evolving in size and form

. Its governance is as complex as its evolving nature.

. All together, the UN system addresses all mandates from Member States.

Actors and mechanisms to ensure effectiveness and accountability

Mandates & Accountability
Deliverables & Effectiveness
Oversight and Coordination – Assessing Collective Outcome

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Characteristics of the United Nations system for evaluation

- The United Nations system is an **evolving ecosystem**, with **complex governance**;

- It is composed of **different elements** that respond to different **governing bodies and mandates**, and different **rules of regulations**;

- The components of the United Nations system are expected to work in **synergies and complementarity**, yet it has often been the opposite when **competing** for overlapping mandates and resources;

- The challenges faced by each organization belonging to the UN system varies according to its own governance structure, mandate and **accountability** frameworks and mechanisms;

- **Effectiveness** of each organization depends on its own organizational set-up; but the **effectiveness of the UN system** is the result of the effective delivery from its components in **coordination and synergies**.

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Systems thinking: Implications for the scope of evaluation

- When evaluating the **performance of a system**, the analysis needs to address the whole landscape as one, not only as the sum of its elements;

- The **desired functioning** and structure of the system does not always match the **actual realization**; assessment should be based on what happens in reality, and can be compared against the desired functioning as a benchmark;

- The **mapping of inter-linkages** is not based on hard-science skills; it involves **subjective assumptions** and value-judgements;

- Each component of the system has its **intrinsic organizational identity**, therefore requires **different measurement tools** to assess performance;

- **Aggregating the collective results** to assess system's effectiveness and accountability is a complex task for which **no specific agreed methodology has been approved, yet, as a whole for the UN system.**

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UN system seen through the lenses of Principal-Agent theory – the Hydra tragedy

SECRETARIATS OF THE ORGANIZATIONS OF THE UNITED NATIONS SYSTEM UNDER VARIETY OF GOVERNING BODIES - UN, FUNDS, PROGRAMMES, SPECIALIZED AGENCIES.
COMMITTEES
OVERSIGHT AND COORDINATING

UN system seen through the lenses of Principal-Agent theory – the Hydra tragedy

- Governance in the UN system organizations: who is/are the Principal(s)?

- Who is/are the Agent(s)?

- Implications of the Principal-Agent approach in analyzing the UN system

- Whose accountability?

- Which effectiveness?

Multiplicity of Principals and Agents
International arena and national dimension

- UN system governance: Mirror of national governments

- Inter-organization // Inter-ministerial

- System thinking: required for national coherence and for international governance

- Disconnect between Principal(s) and Agent(s)

- Lack of harmonized incentives to achieve consolidated collective goals

UN SYSTEM MIRRORS THE DYNAMICS OF NATIONAL GOVERNMENTS, REFLECTED IN THE DIVERSITY OF GOVERNANCE AND MANDATES OF THE ORGANIZATIONS

PART II - Oversight

Oversight: concept and roles

- - Oversight is generally understood as **bodies, units and processes that provide "supervision" and "watchful care" in an organization.**
- **Internal oversight** mechanisms of the organizations are those performing **audit, evaluation, inspection, monitoring, and investigation** (e.g OIOS for the United Nations Secretariat);
- **External oversight** adds the dimension of **independence** in providing **assurance and overseeing the performance and functioning** of the organizations of the United Nations system

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Oversight function

- Oversight is a pillar of **the accountability** in the United Nations system
- The **reform of the United Nations** aims at strengthening and ensuring the development of a **culture of accountability**
- JIU report on **Oversight Lacunae in 2006** identified key elements to be addressed **to strengthen accountability in the UN system**, and provided a glossary of related terminology and suggested standards for the UN system

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JIU Report (JIU/REP/2006/2): Oversight Lacunae – Definitions
Evaluation

- **Evaluation: Independent review** that seeks to determine as systematically and objectively as possible the **relevance, effectiveness and impact of an ongoing or completed programme, project or policy in the light of its objectives and accomplishments.** It encompasses their design, implementation and results to **provide information that is credible and useful, enabling the incorporation of lessons learned into both executive and legislative decision-making process**.

Source: https://www.unjiu.org/sites/www.unjiu.org/files/jiu_document_files/products/en/reports-notes/JIU%20Products/JIU_REP_2006_2_English.pdf

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Definitions (JIU/REP/2006/2) – Oversight Lacunae - Inspection

- **Inspection**: Independent, **on-site review** and appraisal of the operations of organizational units to determine the **effectiveness of the performance operations and to assess their quality.** An inspection compares processes, activities, projects and programmes to established criteria (e.g. applicable rules and regulations, internal administrative instructions, good operational practices of other units within or outside the organization concerned), and does so in view of the resources allocated to them.

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Definitions (JIU/REP/2006/2) – Oversight Lacunae - Investigation

- **Investigation**:

Independent inquiry which pursues **reports of fraud, corruption and any other irregular activity, including misconduct, with a view to proposing corrective management and administrative measures, and, as appropriate, eventual prosecution or disciplinary measures**. An investigation compares the subject under investigation to established criteria (e.g. rules and regulations, administrative instructions and codes of conduct).

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Oversight architecture in the UN system

External oversight "**operational"mechanisms**" in the UN system are:

- the **United Nations Board of Auditors (BOA)**, the external auditors of the specialized agencies and the International Atomic Energy Agency (IAEA);

- the **Joint Inspection Unit,** the only independent external oversight body for the UN system with mandate on evaluation, inspection and investigation.

Other External Oversight mechanisms with "**review/policy**" function:

- the Advisory Committee on Administrative and Budgetary Questions (**ACABQ**),

- the Committee for Programme and Coordination (**CPC**) and the International Civil Service Commission (**ICSC**)

These bodies use, to a large extent, data collected, analysed and prepared by other organizations, to which they add their own examination and analysis.

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Oversight model for the UN system
The three Lines of Defense

- The model is a common reference point that organizations may use to communicate and structure the discussion regarding their oversight and accountability.
- The application of the 3 lines model is not mandatory for the UN system organizations, but it constitutes an effective practice;
- It gives a framework for the organization's accountability and governance needs, providing a simple structure to communicate the essential roles, duties and elements of organization's oversight and to report about it.
  - 1st Line of defense: Operations management and employees.
  - 2nd Line of defense: Centralized business-enabling functions with specialized skills, such as Budget management, Risk Management, legal and regulatory compliance, and Quality Assurance.
  - 3rd Line of defense: Independent assurance, including internal audit
- The three lines are co-dependent, with the need for clear communication between each function, so as to ensure the overall effectiveness of the governance, risk management, monitoring and control practices.
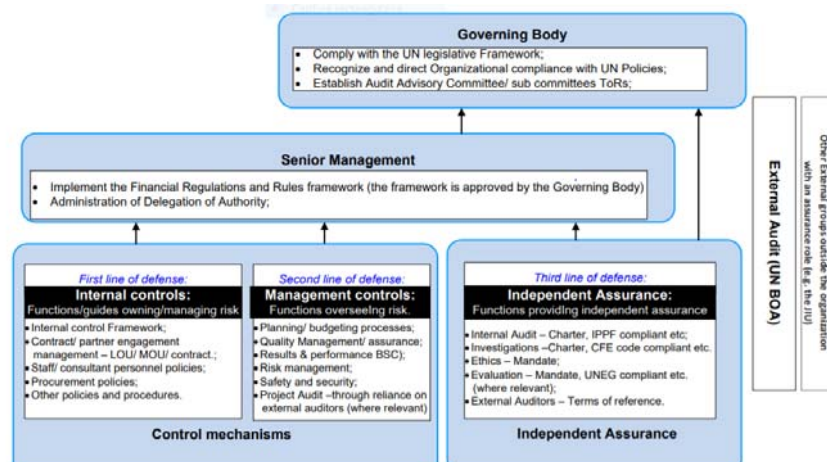
Source: CEB/2014/HLCM/FB/3 Rev1, 24 Sept. 2014

Oversight model for the UN system
The three Lines of Defense

Governing Body
- Comply with the UN legislative Framework;
- Recognize and direct Organizational compliance with UN Policies;
- Establish Audit Advisory Committee/ sub committees ToRs;

Senior Management
- Implement the Financial Regulations and Rules framework (the framework is approved by the Governing Body)
- Administration of Delegation of Authority;

First line of defense:
Internal controls:
Functions/guides owning/managing risk
- Internal control Framework;
- Contract/ partner engagement management – LOU/ MOU/ contract.;
- Staff/ consultant personnel policies;
- Procurement policies;
- Other policies and procedures.

Second line of defense:
Management controls:
Functions overseeing risk.
- Planning/ budgeting processes;
- Quality Management/ assurance;
- Results & performance BSC);
- Risk management;
- Safety and security;
- Project Audit –through reliance on external auditors (where relevant)

Control mechanisms

Third line of defense:
Independent Assurance:
Functions providing independent assurance
- Internal Audit – Charter, IPPF compliant etc;
- Investigations –Charter, CFE code compliant etc.
- Ethics – Mandate;
- Evaluation – Mandate, UNEG compliant etc. (where relevant);
- External Auditors – Terms of reference.

Independent Assurance

External Audit (UN BOA)

Other External groups outside the organization with an assurance role (e.g. the JIU)

**Source**: CEB/2014/HLCM/FB/3 Rev1, 24 Sept. 2014

The three lines of defense as adopted at the World Food Programme
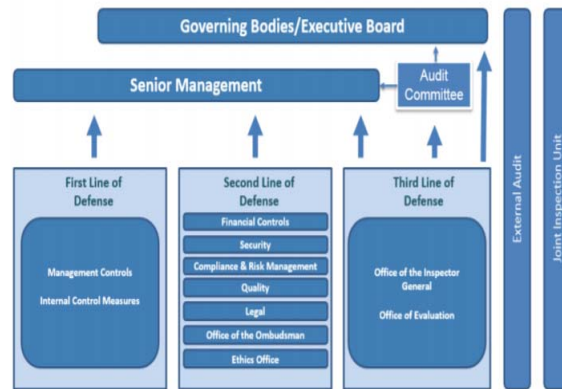
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Governance and assurance framework in the World Food Programme (WFP)
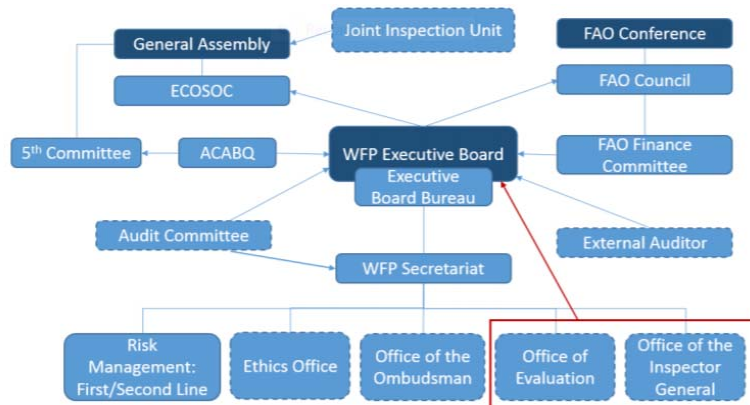
Source: Annual report to Executive Board- WFP oversight framework(WFP/EB.A/2018/5-C, June 2018) - (https://executiveboard.wfp.org).

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Recapitulation Part I and II

Comments/Questions?

United Nations system…

Governance… Systems thinking

Oversight…

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Part III: Independent System-Wide Evaluation of the United Nations

What is the Joint Inspection Unit of the United Nations System (JIU)?

- The General Assembly set up the JIU as the **only independent external oversight body with a system-wide mandate** for inspections, evaluations and investigations.

- The JIU is a **subsidiary organ of the General Assembly**. Its statute of the Unit approved by the General Assembly with effect from 1 January 1978.

- In the performance of its function the **JIU is responsible to the General Assembly** and similarly to the **competent legislative organs/governing bodies of 28 organizations** of the United Nations system that have accepted the JIU statute.

- The JIU is comprised of **11 Inspectors** appointed by the General Assembly, supported by the JIU Secretariat (headed by Executive Secretary and 20 staff).

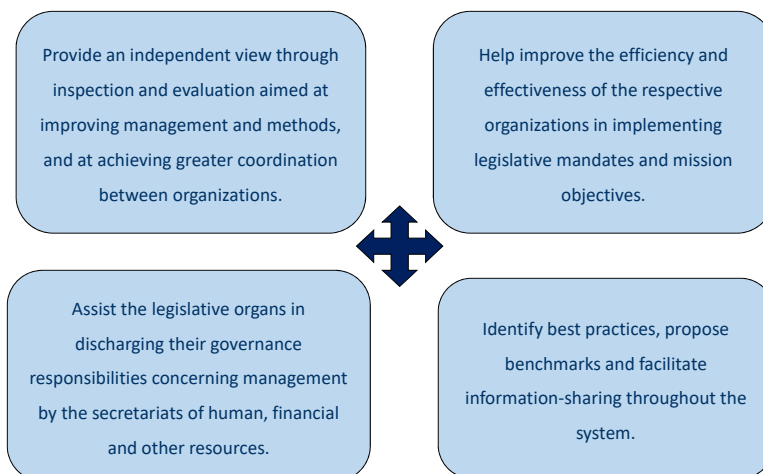# JIU's functions as per its Statute

JIU Statute, General Assembly resolution 31/192 (Annex) of 22 December 1976

Chapter III. Functions, Powers and Responsibilities, Article 5

1. The Inspectors shall have the **broadest powers of investigation in all matters having a bearing on the efficiency of the services and the proper use of funds**.

2. They shall provide an **independent view** through **inspection and evaluation** aimed at **improving management** and methods and at **achieving greater co-ordination between organizations**.

3. The Unit shall satisfy itself that the **activities undertaken by the organizations** are carried out in the most economical manner and that the **optimum use is made of resources** available for carrying out these activities.

4. Without prejudice to the principle that **external evaluation remains the responsibility of appropriate intergovernmental bodies**, the Unit, with due regard to its other responsibilities, may **assist them in carrying out their responsibilities for external evaluation of programmes and activities**. On its own initiative or at the request of the executive heads, the **Unit may also advise organizations on their methods for internal evaluation, periodically assess these methods and make ad hoc evaluations of programmes and activitie**s.

5. The Inspectors may **propose reforms** or **make recommendations** they deem necessary to the competent organs of the organizations. They shall not, however, have the power of decision, nor shall they interfere in the operations of the services they inspect.

https://www.unjiu.org/content/statute

The JIU Mission & Objectives

Provide an independent view through inspection and evaluation aimed at improving management and methods, and at achieving greater coordination between organizations.

Help improve the efficiency and effectiveness of the respective organizations in implementing legislative mandates and mission objectives.

Assist the legislative organs in discharging their governance responsibilities concerning management by the secretariats of human, financial and other resources.

Identify best practices, propose benchmarks and facilitate information-sharing throughout the system.

JIU's work on system-wide evaluation

- The JIU covers **28 participating organizations** of the UN system. System-wide evaluations may include other organizations for comparative purpose, benchmarking and identification of good practices;

- **Programmatic coverage:** JIU's evaluations cover thematic issues across the system, such as climate change, gender equality or poverty reduction, assessing how the different entities can work to leverage synergies to deliver collective responsibility.

- **Administrative issues**: JIU's work contributes to identifying measures to improve efficiency in using the organizations' resources ensuring effectiveness in its administrative processes supporting the delivery of the mandates, such as administrative services, procurement, travel, internships, etc).

See JIU reports at: www.unjiu.org

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Norms and Standards for Evaluation

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United Nations Evaluation Group

1. The United Nations Evaluation Group is a community of knowledge through which evaluators of the UN system and other international organizations **share their knowledge and practices;**

2. In 2005, the UNEG issued a landmark document for the United Nations and beyond: **«Norms and Standards for Evaluation»;**

3. Evaluation is an input to provide decision-makers with knowledge and evidence about performance and good practices. Thus, **it contributes to institutional policy-making, development effectiveness and organizational effectiveness**.

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Norms and Standards for Evaluation

In 2016, the Norms and Standards for Evaluation were updated, to respond to the evolving UN system reality:

- General Assembly resolution 69/237:"**Building Capacity for the Evaluation of Development Activities at the Country Level.**"
- General Assembly resolution 70/1: Adoption of the **2030 Agenda for Sustainable Development**
- The updated UNEG N&S includes 14 Norms, of which **4 new** a) Internationally agreed principles, goals and targets; b) Human rights and gender equality; c) National evaluation capacities, and d) Professionalism, with a stronger emphasis on the utility and use of evaluation.

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Norms and Standards for Evaluation (2016)

General Norms for Evaluation	Institutional Norms for Evaluation in the United Nations System
• **Norm 1: Internationally agreed principles, goals and targets** • **Norm 2: Utility** • **Norm 3: Credibility** • **Norm 4: Independence** • **Norm 5: Impartiality** • **Norm 6: Ethics** • **Norm 7: Transparency** • **Norm 8: Human rights and gender equality** • **Norm 9: National evaluation capacities** • **Norm 10: Professionalism**	• Norm 11: Enabling environment • Norm 12: Evaluation policy • Norm 13: Responsibility for the evaluation function • Norm 14: Evaluation use and follow-up

Source: Elaboration based on UNEG Norms and Standards (2016)
(N&S 2016 available at http://www.unevaluation.org/document/detail/1914)

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Challenges of system-wide evaluation

- **Scope/coverage/mapping:** The design of the evaluation shall include an ex-ante stakeholders mapping, identifying which are the relevant organizations to be covered;

- **Evaluation questions**: Clear evaluation questions need to be defined together with the evaluation tools and methods to address them;

- **Systemic interconnectedness**: Issues-linkages should be identified upfront and incorporated in the systemic analysis of the evaluation;

- **Aggregation at System level for the UN**: Individual organization's effectiveness and UN system effectiveness are not the results of mere addition; there is no one-size-fits-all methodology to assess collective results for the UN system.

- **Evaluation of the UN System is complex in scope and coverage: mapping it right and identifying the linkages is a condition for a meaningful assessment, identifying areas for improvement and making relevant SMART recommendations, addressed to the competent organs to implement them.**

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PART IV: Coordination in the UNITED NATIONS SYSTEM

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The Chief Executives Board for Coordination (UNSCEB)

UN · ILO · FAO · UNESCO · ICAO · WHO · WBG · IMF · UPU · ITU

WMO · IMO · WIPO · IFAD · UNIDO · UNWTO · IAEA · WTO · IOM · UNCTAD

UNDP · UNEP · UNHCR · UNRWA · UNICEF · UNFPA · WFP · UNODC · UNHABITAT · UNWOMEN

UNOPS

Source: CEB Website, September 2019, https://www.unsystem.org/content/about

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Coordination of System-wide Action plans and strategies: the UNSCEB

- The CEB, an indispensable mechanism which dates back to 1946 when it was established by the **Economic and Social Council**, enables the **executive heads to come to a shared understanding and vision of the immediate priorities of the United Nations system**, with clarity about each entity's respective contribution and the conviction to respond knowing that we are acting as one.

- The Board's subsidiary bodies, **the High-level Committee on Programmes** and the **High-level Committee on Management**, bring together immense expertise and experience from across the system at the programmatic and management levels. Their efforts provide **coherent and coordinated responses to the challenges put forward in the 2030 Agenda for Sustainable Developmen**t and ensure that the resources with which our organizations are entrusted are maximized.

- **Source:** Foreword Secretary-General A. Guterres, Chair of the UNSCEB; in **A/74/6 (Sect. 31**) "Proposed programme budget for 2020, Part X: Jointly financed administrative activities and special expenses; Section 31: Jointly financed administrative activities; Programme 27; Jointly financed activities, Part III: United Nations System Chief Executives Board for Coordination"

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Issues covered by the CEB	
Children and youth	Intellectual property
Climate change	International financial system
Cross-pillar Integration	Labour and employment
Development	Leadership
Drugs and crime	Oceans
Education, science and culture	Organization, Administrative and Other matters
Energy	
Environment	Peace and Security
Equality	Population
Food and agriculture	Prevention
Frontier Technologies	Resilience
Gender equality and the empowerment of women	Risk
	Sustainable Development Goals (SDGs)
Globalization	Tourism
Health	Trade
Human Rights	Urbanization
Humanitarian affairs	Water

The CEB plays a key role in supporting the preparation of <u>system-wide strategies and action plans</u> for the United Nations and endorsing the resulting official documents. Its role is strengthened in the current reform and a dedicated high-level function to ensure a coordinated implementation of system-wide strategies.

OVERSIGHT AND SYSTEM-WIDE ACCOUNTABILITY THROUGH COORDINATION
Cooperation between the JIU and the CEB

- The CEB and the JIU are **bodies with system-wide mandates. They** fall under the category of «**Jointly financed activities»** together with the International Civil Servant Commission (ICSC)

- The CEB and the Joint Inspection Unit have a long-standing relationship to ensure collaboration, particularly regarding the **handling of the JIU reports and the preparation of consolidated comments on the report**. The **CEB coordinates** with the 28 Participating Organizations their **response regarding the recommendations of the JIU** and indicate their position towards **acceptance and implementation of the recommendations**;

- The **JIU,** when making recommendations of system-wide coverage, addresses them to the **Executive Heads** and to the UN **Secretary-General** in their capacity, respectively, as **members and Chair of the CEB**, to **ensure the implementation of system-wide strategies**;

Strengthening the role of the CEB in support to the implementation of Agenda 2030

Secretary-General Appoints Jan Beagle of New Zealand Special Adviser on System-Wide Implementation of Chief Executive Board Decisions

- United Nations Secretary-General António Guterres [today] announced the appointment of Jan Beagle of New Zealand as **Special Adviser on System-wide Implementation of Chief Executive Board (CEB) decisions.**

- As part of his ongoing efforts **to ensure system-wide coherence**, the Secretary-General has decided to **enhance the focus on system-wide implementation of the decisions, strategies and policies adopted by the CEB.** The Special Adviser will advise the Secretary-General, the Deputy Secretary-General, the Chef de Cabinet and senior management in the system on ways to leverage system-wide agreements and accelerate implementation at global, regional and country levels.

- Source: https://www.un.org/press/en/2019/sga1896.doc.htm
  5 August 2019, SG/A/1896*-BIO/5238*-ORG/1685*

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Examples of System-Wide Action Plans and Strategies under the leadership of Chief Executive Boards for coordination

1) System-Wide Action Plan on Gender Equality and the empowerment of women (SWAP on Gender)

Endorsed by the CEB in and implemented across the UN system, under the leadership of UN Women, as the first system-wide thematic accountability framework, addressing gender equality in the UN system.

See: https://www.unjiu.org/sites/www.unjiu.org/files/jiu_rep_2019_2_english_0.pdf

2) System-Wide Action Plan on Youth (Youth-SWAP):

In April 2013, the CEB endorsed the Youth-SWAP as a framework to guide youth programming for the UN system. It promotes joint programmatic work by the UN system for youth on the issues of employment and entrepreneurship, political inclusion, civic engagement and protection of rights, education, including sexuality education, and health.

See: https://www.unsceb.org/content/youth-swap-commitments-and-measures

3) United Nations System Strategic Approach on Climate Change Action:

This Strategy reflects the collective commitment of the United Nations system to improving collaboration and the delivery of support on climate change to Member States in the 2030 Agenda for Sustainable Development era of implementation

See CEB/2017/4/Add.1, June 2017

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Recapitulation Part III and IV
Comments/Questions ?

Oversight … JIU…
Independent Evaluation
Norms and Standards …
System-wide coordination – CEB …
…. Other…

Part V: Performance of the UN System: Accountability, effectiveness and efficiency

Definition of Accountability by the UN General Assembly

General Assembly resolution 64/259:

- "Accountability is the obligation of the Secretariat and its staff members to be answerable for all decisions made and actions taken by them, and to be responsible for honouring their commitments, without prequalification or exception. Accountability includes **achieving objectives and high-quality results in a timely and cost-effective manner, in fully implementing and delivering on all mandates to the Secretariat approved by the United Nations intergovernmental bodies and other subsidiary organs established by them** in compliance with all resolutions, regulations, rules and ethical standards; truthful, objective, accurate and **timely** reporting on performance results; responsible stewardship of funds and resources; all aspects of performance, including a **clearly defined** role of the oversight bodies and in full compliance with accepted recommendations."

Source: A/RES/64/259. Progress towards an accountability system in the United Nations Secretariat

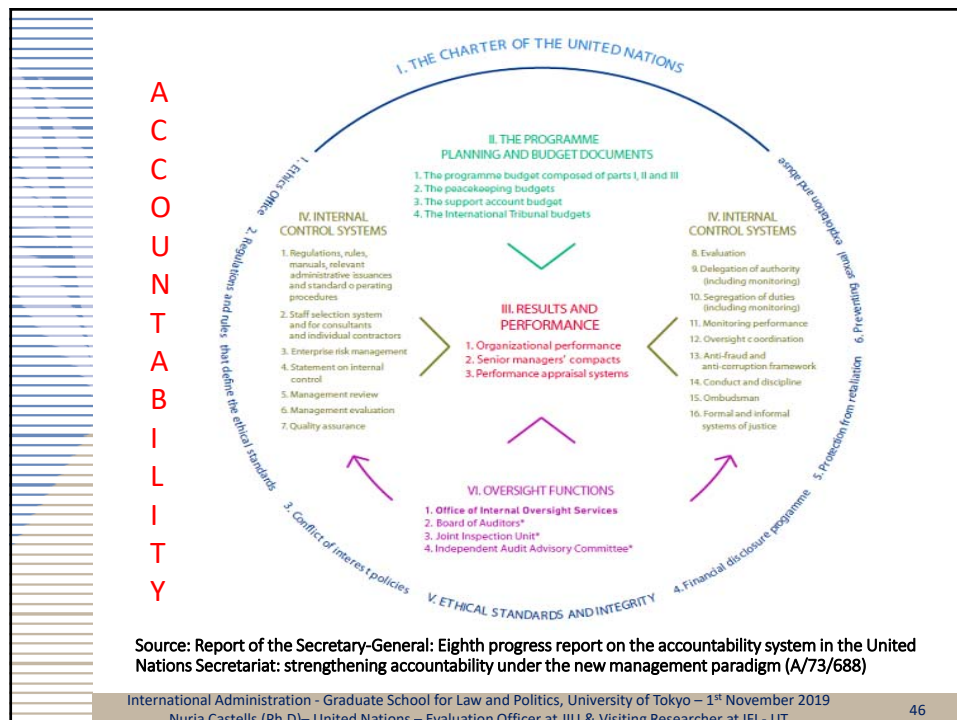# Performance and accountability in the United Nations ongoing reform

General Assembly resolution 73/289:

- 9. Reaffirms that **results-based management** and **performance reporting** are essential pillars of a comprehensive accountability framework;

- 10. Recognizes the **importance of results-based management and performance reporting,** and requests the Secretary-General to continue his efforts aimed at strengthening the implementation of results-based management, programme monitoring and reporting, and at shifting towards a **culture of results** in the Secretariat;

Source: A/RES/73/289. Progress towards an accountability system in the United Nations Secretariat

United Nations ongoing reform: focus on accountability

- Improving the **accountability system** in the United Nations is at the core of the **ongoing reform** launched by current Secretary-General

- The definition of accountability provided in paragraph 8 of General Assembly resolution 64/259 includes the following components: (a) the **Charter** of the United Nations; (b) the **programme planning and budgetary documents** of the Organization; (c) **results and performance**; (d) **internal control systems**; (e) **ethical standards and integrity**; and (f) **oversight functions**.

Source: Report of the Secretary-General: Eighth progress report on the accountability system in the United Nations Secretariat: strengthening accountability under the new management paradigm (A/73/688)

Why does accountability matter?

Interlinkages between accountability and effectiveness:

- Weak managerial and organizational leadership affect effectiveness;

- Blurred accountability through unclear delegation of authority is a deterrent for more effective reforms and policies be put in place;

- Accountability frameworks: a robust system of accountability fosters the **culture of performance and effectiveness** in organizations.

Findings from JIU review on Accountability Frameworks in the UN system (JIU/REP/2011/5)

- In 2011, the JIU was mandated through resolution 64/259 to undertake a comparative analysis of various accountability frameworkss in the United Nations system;

- At that time, the findings reported only 7 organizations with a stand-alone accountability framework;

- The report proposed a benchmarking framework of 17 benchmarks to foster accountability in the UN system, covering all the aspects of the framework (e.g. ethics, evaluation, reporting, monitoring, controls, etc.)

Elements of accountability
in the UN system (JIU/REP/2011/5)
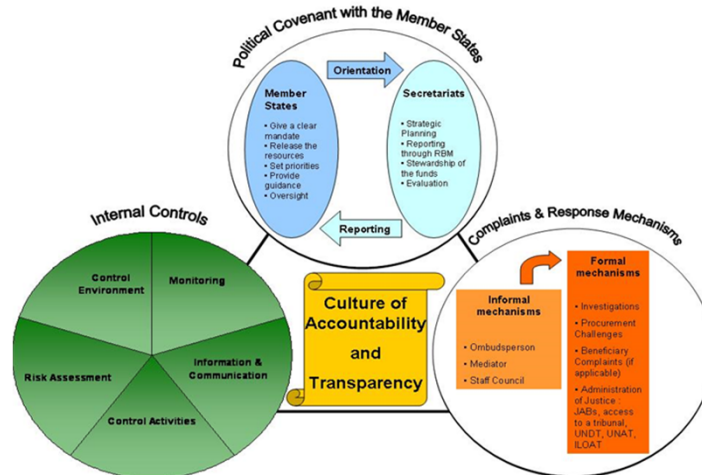
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Effectiveness in the UN system

- **Actions/ Strategic Planning:**
  Oriented to achieving specific goals;
Implementation/operational work plans:
  Processes and resources;
- **Results measurement (RBM):**
  What has resulted from the actions, through which processes, does it correspond to the set goals.
- **Oversight/ evaluation:** Infer lessons, make recommendations, identify root causes of underperformance and remedial action, as well as good practices for replication and knowledge sharing.

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Effectiveness in the UN system (cont'd)

Results-based management in the UN system consists of:

Management strategies in individual United Nations system organizations based on managing for the achievement of intended organizational results by integrating a results philosophy and principles in all aspects of management and, most significantly, by integrating lessons learned from past performance into management decision-making

Source: JIU/REP/2017/6

https://www.unjiu.org/sites/www.unjiu.org/files/jiu_rep_2017_6_english__0.pdf

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Effectiveness versus efficiency

Effectiveness:
Achieving the expected goals
Some call it": *Doing the right things*
Efficiency:
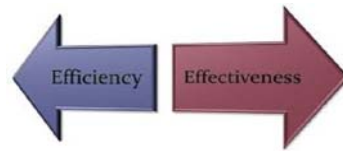Optimizing the use of resources while aiming at achieving the goals.
Some call it: *Doing things right*

"A given economic arrangement would be Pareto optimal if no other arrangement could made that would leave someone better off without worsening the position of others." Thus any exchange or reallocation of resources is only Pareto optimal if the exchange or reallocation will not harm somebody.

Questions/Food for thought:
a) Is a **Pareto Optimal** situation an optimal situation for everybody?
b) Could there be any trade-offs in prioritizing efficiency vs. effectiveness?

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Effectiveness versus efficiency

Cost-effective = Effective?

Does efficiency ensure effectiveness?
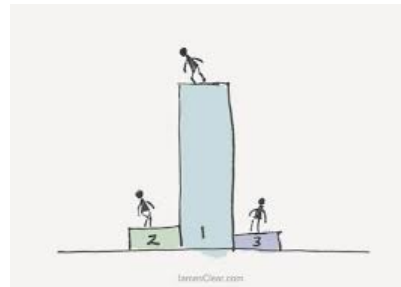
Pareto optimal?

How to cover distributive issues? Fairness and equity? **Principle of Leaving no one behind** (2030 Agenda)

Recapitulation Part V
Comments/Questions ?

Accountability… Effectiveness…
Efficiency…
Implications for equity, inclusiveness,
Principle of leaving no one behind…
…. Other…

The Agenda 2030

and

the United Nations
reform

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UNITED NATIONS

TRANSFORMING OUR WORLD:

THE 2030 AGENDA FOR
SUSTAINABLE DEVELOPMENT

The 2030 Agenda
Roadmap for sustainable development

General Assembly Resolution 70/1 (September 2015)

17 Sustainable Development Goals; 169 targets; 232 individual indicators

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Global Indicators framework for Sustainable Development Goals

- The global indicator framework was adopted by the General Assembly on 6 July 2017 and is contained in the **Resolution adopted by the General Assembly on Work of the Statistical Commission pertaining to the 2030 Agenda for Sustainable Development (A/RES/71/313), Annex.**

- The current official indicator list includes refinements agreed by the Statistical Commission at its 49th session in March 2018 (E/CN.3/2018/2, Annex II) and at its 50th session in March 2019 (E/CN.3/2019/2, Annex II).
- The list includes **232 indicators** on which general agreement has been reached. Note that the **total number of indicators listed in the global indicator framework of SDG indicators is 244. However, since nine indicators repeat under two or three different targets the actual total number of individual indicators in the list is 232**.

Source: https://unstats.un.org/sdgs/indicators/indicators-list/

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Transition from MDGs to SDGs

- The 2030 Agenda is the successor to the Millenium Development Goals (2000-2015)
- It builds upon lessons learnt from the MDGs
- It is a universal comprehensive agenda, owned by all Member States
- It is based on the principles of inclusiveness and nationally owned objectives
- 2015 is a year of multilateral agreements, closely related, including the Paris Agreement on Climate Change, and the Addis Ababa Action Agenda (AAAA) on Financing for Development (among others)

Lessons learnt from MDGs (1)

- The implementation of MDGs **lacked of a systemic approach and coordination:**
- The planning of activities was not coordinated across the system, rather planned in **silos top-down strategies** responding to each organizations mandates;
- Coordination in the **field, at country level,** functioned better in those pilot countries that participated in the **"Delivering as one"** model, including common strategic planning and alignment to national development plans.

Lessons learnt from MDGs (2)

- Relevance of Results-based Management and Evaluation in **monitoring and tracking implementation**;
- Need of **robust reliable data** to establish <u>baselines</u> to monitor progress in achieving the targets; the UN system has a role to play in contributing to **statistical standards** to be harmonized so as to measure SDGs and related targets with **common methods and indicators**;
- Build/strengthen national capacities to empower **national stakeholders to drive the development** process;
- **Uneven progress** was achieved in MDGs across the world; a more **systemic integrated approach** is needed for the next International Agreement to be more effective (2030 Agenda).

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Lessons learnt carried over in reforming the UNDS for the SDGs

- The effective implementation of the ambitious 2030 Agenda for Sustainable development requires:
  - Improved coordination
  - Enhanced effectiveness
  - Leveraging synergies
  - Efficient use of resources/avoiding duplication
  - Planning / Results-Based Management
  - Accountability/clear governance and roles
  - System-wide delivery of global goals
  - Interconnectedness of mandates: Nexus Humanitarian-Peace-Development.

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UNITED TO REFORM

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United Nations Reform to ensure
accountability, effectiveness and efficiency
in achieving SDGs

The United Nations ongoing reform (as of September 2019)

In 2017, S-G. A. Guterres launched several processes to reform the United Nations system so as to deliver better on its mandates. The reform focuses on three areas:

1) Management Reform, focusing on the UN Secretariat;

2) The United Nations peace and security architecture; and,

3) The United Nations Development System
   (See https://reform.un.org/content/development-reform)

Reform of the United Nations Development System

- The reform implies deep *structural changes* in the functioning of key actors in the United Nation **architecture for development and its governance**;

- At the heart of the transformation of the coordination function are the resident coordinators, who are designated representatives of the Secretary-General for development operations at the country level. As of January 2019, the entire **Resident Coordinator system** was migrated under the responsibility to the United Nations Secretariat and its revamped Development Coordination Office.

- The **planning documents and guidelines** for offices in the field to deliver their work have being revised and updated, aligned to the needs of the 2030 Agenda (changes in terminology).

- Reform of the **Country Teams** and the United Nations Development Assistance Framework (UNDAF), now renamed as United Nations Sustainable Development Cooperation Framework (UNSDCF)

Entities of the United Nations Development System

Box 1 The United Nations development system	
Funds and programmes (9)	UNDP (including the Capital Development Fund and UNV), UNEP, UNFPA, UN-Habitat, UNHCR, UNICEF, UNRWA, UN-Women and WFP
Secretariat departments (13)	Department of Economic and Social Affairs, ECA, ECE, ECLAC, ESCAP, ESCWA, Office for the Coordination of Humanitarian Affairs, OHCHR, UNCTAD, Department of Political Affairs, UNISDR, UNODC and Peacebuilding Support Office
Specialized agencies (13)	**FAO, ICAO, IFAD, ILO, IMO, ITU, UNESCO, UNIDO, UNWTO, UPU, WHO, WIPO and WMO**
Research and training institutions (6)	United Nations Interregional Crime and Justice Research Institute, United Nations Institute for Disarmament Research, UNITAR, United Nations Research Institute for Social Development, United Nations System Staff College and UNU
Other entities (3)	ITC, UNAIDS and UNOPS

Source: A/73/63-E/2018/8 Secretary-General Report on the Implementation of General Assembly resolution 71/243 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system, 2018. 19 Jan. 2018 (Note that in June 2019 the UNISDR changed its name to UNDRR)
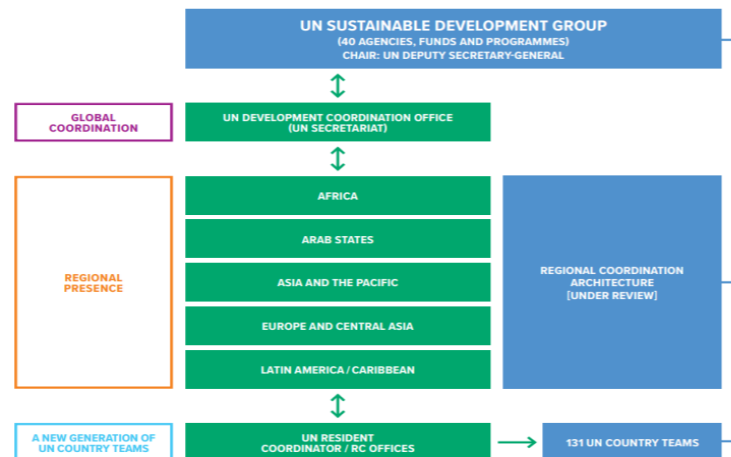
The Quadrennial Comprehensive Policy Review (QCPR)

What is the Quadrennial Comprehensive Policy Review (QCPR)?

- The QCPR is the **primary policy instrument of the General Assembly to define the way the UN development system operates to support programme countries in their development efforts.**

- The QCPR is the **mechanism through which the General Assembly assesses the effectiveness, efficiency, coherence and impact of UN operational activities for development** and establishes **system-wide policy orientations** for the development cooperation and country-level modalities of the UN system in response to the evolving international development and cooperation environment.

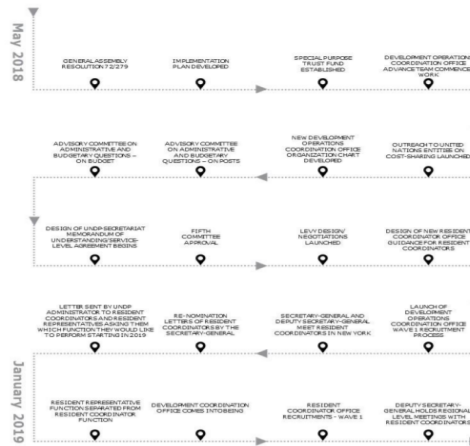Source: https://www.un.org/ecosoc/en/content/what-quadrennial-comprehensive-policy-review-qcpr

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The United Nations Sustainable Development Group (UNSDG)

Source: UNSDG, A new way of working together (August 2019)

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Development Coordination Office in the United Nations Secretariat

Development Operations Coordination Office and Development Coordination Office: operational milestones
May 2018 to present

The Development Coordination Office, an Office within the UN Secretariat, is a core element in the new architecture to coordination the work of the United Nations Development System.

The UNDCO office assumes the managerial and oversight functions of the resident coordinator system under the leadership of an Assistant Secretary-General and with collective ownership of the United Nations Sustainable Development Group. UNDCO started operating on 1 January 2019 as a stand-alone coordination office within the Secretariat, reporting directly to the Deputy Secretary-General, as Chair of the UNSDG. DCO also provides advisory services to UN Country Teams (UNCTs) under the leadership of the Deputy Secretary-General/Chair of the UNSDG and drawing on the inputs and expertise of all UNSDG members.

Source: E/2019/62*, Report of the Chair of the UNSDG, (April, 2019)

Management and Accountability Framework o the UN Development and Resident Coordinator system (April 2019)

The **Management and Accountability Framework (MAF)** provides the instrument to ensure that all levels of the UNDS, global, regional and country, work in unity of purpose, as a cohesive team.
Together, the MAF, the Regional Collaborative Platforms and the Cooperation Framework, are designed to reduce overlaps that create inefficiencies and undermine UN responses, as well as reducing transaction costs for governments and partners alike.

1. Institutional context
2. Country level roles and responsibilities:
    2.1. Resident Coordinator
    2.2. United Nations Country Teams
3. Country-level relationships and accountability agreements:
3.1. Leadership of UN development activities
3.2. Strategic planning and programming
3.3. Communications and advocacy
3.4. Common services
3.5. Funding/resource mobilization
Under preparation for future update:
4. Regional level relationships and accountability agreements
5. Global level relationships and accountability agreements

System-wide Strategic document to support the implementation of the 2030 Agenda (July 2019)

The **SWSD** is a UNDS instrument that sets its **strategic intent at the global, regional and country level to best support member states in achieving their nationally defined priorities**, with the 2030 Agenda at the center, and ensure that **no one is left behind** in the collective efforts to reach the **SDGs**.

The SWSD guides **UN global, regional, and country level development plans**, programmes and operations, through the articulation of common integrating approaches to be reflected in each **UN Sustainable Development Cooperation Framework ('Cooperation Framework')**

The new Cooperation Framework (UNSDCF replaces the old UNDAF) for the UN system work in countries
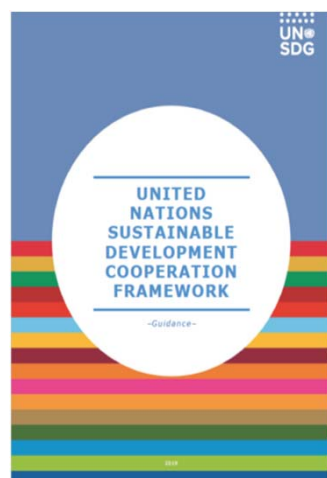
- The Cooperation Framework is **nationally owned**, and anchored in **national development priorities**, the **2030 Agenda** and the **principles of the UN Charter**. It outlines the UN development system's contributions sought by national stakeholders to reach the SDGs in an integrated manner, with a commitment to leave no one behind, human rights and other international standards and obligations.

- Through the Cooperation Framework, the UN development system articulates the **highest priority and most sustainable development choices for a country**. It advises on pathways to **maximize synergies across the goals** and minimize the opportunity costs of leaving people behind.

- It **shifts** from the siloed approach of the **Millennium Development Goals** (MDGs) to a more integrated approach under the **2030 Agenda and the SDGs.**

United Nations Sustainable Development Cooperation Framework (CF) Implementation

Implementation start: 2020

Country	Current UNDAF Start Date	Current UNDAF End Date	Start of new CF cycle
Angola	2015-01-01	2019-12-31	01 January 2020
Colombia	2015-01-01	2019-12-31	01 January 2020
Congo	2014-01-01	2019-12-31	01 January 2020
Cuba	2014-01-01	2019-12-31	01 January 2020
Ethiopia	2016-07-01	2020-06-30	01 July 2020
Guatemala	2015-01-01	2019-12-31	01 January 2020
Iraq	2015-01-01	2019-12-31	01 January 2020
Liberia	2013-02-13	2019-12-31	01 January 2020
Mali	2015-01-01	2019-12-31	01 January 2020
Mexico	2014-01-01	2019-12-31	01 January 2020
Paraguay	2015-01-01	2019-12-31	01 January 2020
Sierra Leone	2015-01-01	2019-12-31	01 January 2020
South Africa	2013-01-01	Extended to 31 Dec 2019	01 January 2021
Syria	2016-02-09	2019-12-31	01 January 2020
The Dem. of Congo	2013-01-01	2019-12-31	01 January 2020
Timor-Leste	2015-09-22	2020-09-22	23 September 2020

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… and before concluding… a glance at the complexity of evaluation on SDGs and interconnected mandates on Sustainable Development – the case of SIDS
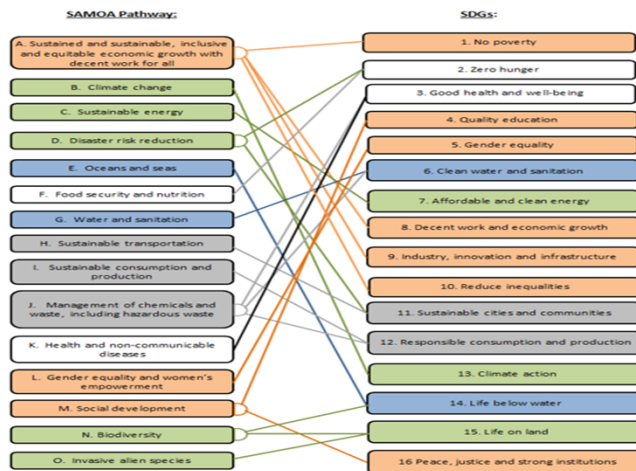

See JIU/REP/2015/2, JIU/REP/2016/3 and JIU/REP/2016/7, Comprehensive Review on SIDS and SAMOA Pathway (triology)

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Correspondence between the SAMOA Pathway priority areas and the 2030 Agenda (Sustainable Development Goals 1 to 16)

Complexity in SDGs evaluation and interconnected development mandates in the UN system

SAMOA Pathway:

- A. Sustained and sustainable, inclusive and equitable economic growth with decent work for all
- B. Climate change
- C. Sustainable energy
- D. Disaster risk reduction
- E. Oceans and seas
- F. Food security and nutrition
- G. Water and sanitation
- H. Sustainable transportation
- I. Sustainable consumption and production
- J. Management of chemicals and waste, including hazardous waste
- K. Health and non-communicable diseases
- L. Gender equality and women's empowerment
- M. Social development
- N. Biodiversity
- O. Invasive alien species

SDGs:

1. No poverty
2. Zero hunger
3. Good health and well-being
4. Quality education
5. Gender equality
6. Clean water and sanitation
7. Affordable and clean energy
8. Decent work and economic growth
9. Industry, innovation and infrastructure
10. Reduce inequalities
11. Sustainable cities and communities
12. Responsible consumption and production
13. Climate action
14. Life below water
15. Life on land
16. Peace, justice and strong institutions

Note: Goal 17 'Strengthen the means of implementation and revitalize the Global Partnership for Sustainable Development' is included in the graph below.

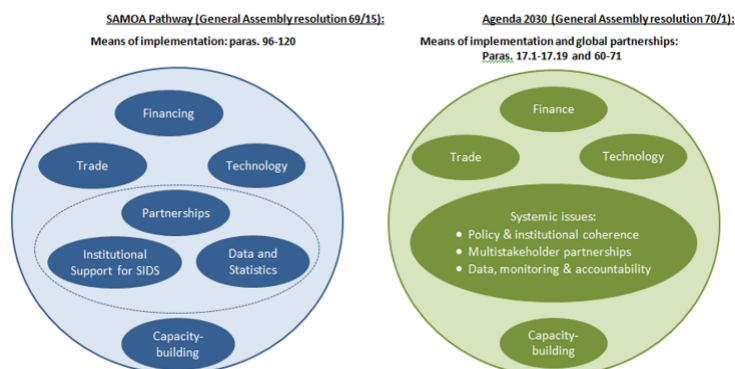Source: JIU, based on General Assembly resolutions 69/15 and 70/1.

JIU/REP/2016/7, Comprehensive Review on SIDS and SAMOA Pathway
https://www.unjiu.org/sites/www.unjiu.org/files/jiu_document_files/products/en/reports-notes/JIU%20Products/JIU_REP_2016_7_English.pdf

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Slide 76

Complexity in SDGs evaluation and interconnected development mandates in the UN system

Linkages between the means of implementation of the SAMOA Pathway and the 2030 Agenda (Sustainable Development Goal 17)

SAMOA Pathway (General Assembly resolution 69/15):
Means of implementation: paras. 96-120

- Financing
- Trade
- Technology
- Partnerships
- Institutional Support for SIDS
- Data and Statistics
- Capacity-building

Agenda 2030 (General Assembly resolution 70/1):
Means of implementation and global partnerships:
Paras. 17.1-17.19 and 60-71

- Finance
- Trade
- Technology
- Systemic issues:
  - Policy & institutional coherence
  - Multistakeholder partnerships
  - Data, monitoring & accountability
- Capacity-building

JIU/REP/2016/7, Comprehensive Review on SIDS and SAMOA Pathway

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Recapitulation Part VI and VII

Comments/Questions ?

2030 Agenda…

Reform of the UN Development System…

UNDAF/UNSDCF (cooperation framework)…

Other…

Part VIII - Conclusions

✓The **United Nations system** analysis is two-fold:
  ➢ 1) Systemic as per its <u>composition</u> – diversity of entities that belong all together the UN System as a whole
  ➢ 2) Systemic as per its <u>functions and thematic coverage</u>
✓**Oversight function**
  ➢ Essential element to ensure effectiveness and result-oriented implementation of the ongoing UN System reform;
  ➢ Oversight function: identify gaps and good practices, and make recommendations to strengthen accountability and effectiveness
  ➢ Oversight is a means to an end, and not a goal per se; a **right balance** needs to be found between exercising oversight and allowing the **UN system to concentrate its efforts to deliver** its work.
✓**Accountability and effectiveness**
  ➢ Intrinsically related: robust <u>accountability</u> system is a requirement to <u>ensure effectiveness</u>
  ➢ <u>Results-based management</u> is at the core of <u>effective</u> organization's performance

Conclusions

✓ **Evaluations** inform policy-makers and enable them to take **remedial actions** when needed and to promote **replication of good practices** across the system;

✓ Implementation of the **2030 Agenda** is to be articulated through **global partnerships** with other non UN-system Organizations and other stakeholders (national, regional); the scope of evaluations needs to factor this reality in the evaluation design, methods and theory of change in preparing the terms of reference.

✓ The ongoing **United Nations system reform** is ambitious yet it is necessary for **increased effectiveness in delivering the mandates** for the countries;

✓ System-wide **effective coordination** ensures that the system's collective efforts achieves greater results than the sum of the parts

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Keep in touch and contribute to a survey for SDGs and evaluation... coming soon
Thank You ☺ !

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Relevant Web resources on UN System (sample):

- https://reform.un.org/content/development-reform
- https://www.un.org/ecosoc/en/content/what-quadrennial-comprehensive-policy-review-qcpr
- https://undg.org/document/un-sustainable-development-cooperation-framework-implementation/
- https://undg.org/wp-content/uploads/2019/08/A-new-way-of-working.pdf
- Global Indicator Framework for the SDGs and targets of the 2030 Agenda. https://unstats.un.org/sdgs
- Human resources statistics for the UN system: http://www.unsceb.org/content/hr-dutystation
- Leaving no one behind (CEB – Agenda 2030)
- https://www.unsceb.org/CEBPublicFiles/CEB%20equality%20framework-A4-web-rev3.pdf
- https://www.un.org/sustainabledevelopment/news/communications-material/

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nuria.castells (at) un.org
Evaluation officer – United Nations JIU
www.unjiu.org

Visiting Researcher at University of Tokyo –
Institute for Future Initiatives
https://ifi.u-tokyo.ac.jp/en/

Learning together

UN Reform, Agenda 2030, oversight, evaluation and coordination

. What is the role of oversight, in particular related to the 2030 Agenda and UN Reform?

. What key factors need to be addressed in system-wide evaluation?

. What is the role of the CEB in the UN system and what is its role in the ongoing UN Reform?

. What makes the 2030 Agenda and the MDGs different, what lessons learnt from millennium goals?

Accountability

- Who do you see as principals and agents in the UN system?
- Why does the UN system require accountability frameworks?
- Who is to be held accountable in the UN System?
- What measures would you propose to improve accountability in the UN System?

Effectiveness:

- What are the requirements for a UN System Organization to be effective?
- How can the UN system as a whole be effective in delivering its work?
- How to combine effectiveness, efficiency and the principle of leaving no one behind?

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