



# **ARC GUIDANCE FOR THE 2018 PERFORMANCE CYCLE**

**Assessment of Results and  
Competencies  
for  
Resident Coordinators  
and  
UN Country Teams**

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**ASSESSMENT OF  
RESULTS AND  
COMPETENCIES**



**UNITED  
NATIONS  
DEVELOPMENT  
GROUP**

TOGETHER FOR DEVELOPMENT

# ARC GUIDANCE 2018

Assessment of Results and Competencies  
for  
Resident Coordinators  
and  
UN Country Teams

Note: This document is intended to guide the 2018 performance appraisal cycle, and thus prior to the implementation of GA Resolution A/72/L.52. A revision of the guidance incorporating the GA Resolution A/72/L.52 mandates will follow in due course.

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## PURPOSE AND SCOPE

The purpose of the ARC Guidance 2018 is to provide Resident Coordinators and UN Country Teams with updated information on the Assessment of Results and Competencies (ARC) performance management process, including criteria for participation; guidance on developing ARC Goals and Indicators; the roles of those engaging in the ARC and establishing functions required for the ARC platform.

## INTRODUCTION

The UN Resident Coordinator System, which encompasses all entities of the United Nations development system at the country level dealing with operational activities for development, is expected to function in a participatory, collegial and mutually accountable manner<sup>1</sup>. This is further emphasized in the Management and Accountability System<sup>2</sup> (MAS) of the United Nations Development and Resident Coordinator System, particularly the action points related to the principle of mutual accountability for results.

In response to these commitments, the UN Sustainable Development Group (formally UN Development Group) developed a new performance appraisal process and methodology for Resident Coordinators and UNCTs called the “Assessment of Results and Competencies” – the ARC.

The ARC is the first UN system-wide platform for performance assessment. It captures both results and competencies into a single platform, and aims to ensure a more results-based, and efficient gathering and processing of the appraisal inputs.

To ensure that the entities of the UNSDG are working together in a cohesive and transparent manner, the leadership contributions to achieving collective results as well as competencies of UN leadership on the ground can be more effectively assessed under a robust formal performance appraisal system through the ARC.

This appraisal system concludes with annual regional meetings conducted by the Regional UNSDG Performance Management Teams, and it aims to capture the achievement of concrete UN country-level leadership results and contribute to the implementation of the MAS.

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<sup>1</sup> A/RES/71/243 Quadrennial comprehensive policy review of operational activities for development of the United Nations system. 21 December 2016.

<sup>2</sup> The Management and Accountability System of the UN Development and Resident Coordinator System including the “functional firewall” for the RC System, August 2008 (<https://undg.org/wp-content/uploads/2016/09/Management-and-Accountability-system.pdf>)

## **A) THE ASSESSMENT OF RESULTS COMPETENCIES (ARC)**

The ARC is the performance appraisal system for RCs and UNCTs, approved by the former UNDG in 25 November 2015 which is supported by an online platform since December 2017.

The ARC was conceptualized in response to the former UNDG's review of the Management and Accountability System for RCs to strengthen mutual accountability towards shared results. Through the ARC platform the following will be captured:

- Assessment of competencies of the RC and team attributes of the UNCT
- Assessment of results of both the RC and the UNCT as an entity
- Mid-term review
- Developmental plan for both the RC and the UNCT separately

### **RC and UNCT Appraisals**

The performance appraisal will be based on the RC's and the UNCT's self-assessment of results against the ARC methodology, as well as structured performance feedback from all UN System stakeholders.

### **UNCT Appraisal**

The UNCT will be appraised by using the ARC methodology. The ARC methodology allows for RCs and UNCTs to clearly indicate their contribution to combined UNCT goals.

### **UNCT Member**

The ARC methodology allows for UNCT members to clearly indicate their contribution to combined UNCT goals. Individual UNCT members may complete the self-assessment in the ARC, as an input into the respective agency performance appraisal process.

## B) CRITERIA FOR UNCT MEMBER PARTICIPATION IN THE ARC

Criteria for participation is established with the purpose to ensure that performance feedback is directed to the staff member who is actually accountable for leadership of their agency in country. As defined in the Guidance Note on UNCT conduct and working arrangements of February 2014, “the UNCT is composed of representatives of the UN funds and programs, specialized agencies, and other UN entities in a given country, including non-resident agencies (NRAs) and representatives of the Bretton Woods Institutions. These representatives must be a UN staff member, be nominated by their agency to represent, and be empowered with sufficient decision-making authority on programmatic and financial matters related to the programming activities, as called by member states in the QCPR”.

The UNCT member criteria for participation in the ARC is a subset of this UNCT membership composition.

Eligibility in the ARC follows the principle of UN leadership and comparable accountability. Participation is mandatory for the Resident Coordinator. For UNCT member participation in the ARC, the UNCT member must meet specific eligibility criteria.

### i. Criteria for participation of Resident Agencies

- Criteria 1: Must be a full-time UN Staff member
- Criteria 2: The agency of the staff member must be an agency of the UNSDG<sup>3</sup>
- Criteria 3: Has been in their current role for a minimum of 6 months during the calendar year being appraised
- Criteria 4: Has full delegated authority from their agency on both the financial and programmatic decision making for their respective agency
- Criteria 5: Is a member of the Security Management Team and a decision maker on the security of their agency staff

### ii. Criteria for participation of Non-Resident Agencies

- Criteria 1: Must be a full-time UN Staff member
- Criteria 2: Staff member agency must be a member of the UNSDG
- Criteria 3: Has been in their current role for a minimum of 6 months during the calendar year being appraised
- Criteria 4: Has full delegated authority from their agency on both the financial and programmatic decision making for their respective agency
- Criteria 5: Staff member must be accredited or have formal representation to the country

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<sup>3</sup> List of UNSDG agencies can be found here: <https://undg.org/about/undg-global/undg/>

Important note: UN staff members that meet all the ARC criteria for more than one UNCT will need to choose one country that they are engaged in most for their participation in 2018. The ARC is a performance management system, and thus a HR system where performance management is managed as a one to one relationship with a staff member – meaning that each staff member has one performance record per year. Therefore, currently the platform only allows for each staff member to have one performance record attached to their name for a performance year.

Important note: The Resident Coordinator is responsible for ensuring and confirming eligibility of UNCT ARC members are in adherence to the criteria for participation.

Important note: Those UNCT members that are also performing the Resident Coordinator ad interim role (RC a.i.) are not assessed under ARC in their role as RC a.i. However, their individual contributions to the UNCT Goals should be included and shared with their agency as a UNCT member participating in the ARC.

Important note: It is the UN Resident Coordinator function that is assessed in the ARC, and not the UNDP Resident Representative function. The UNDP Country Director (CD) or UNDP Deputy Resident Representative (DRR) represent UNDP on the UNCT Country Team and will participate in the ARC.

iii. **Criteria for participation of Regional Directors**

Only one role per staff member in the ARC process is permissible. If a Regional Director wishes to participate in the Regional UNSDG Performance Management Team (at the D2 level and above) and also meets criteria for participation in the ARC as a UNCT member, the Regional Director will have to decide in which of the two capacities s/he wishes to participate.

### **C) ROLE OF RC AND UNCT MEMBER PARTICIPATION IN THE ARC INDICATOR SETTING AGAINST GOALS**

The ARC Goals are structured around five areas of work against which the RC and UNCT are expected to deliver results. These five areas are: Development, Human Rights, Humanitarian, Political and Security.

The Resident Coordinator must provide indicators against all five ARC Goal categories. These indicators identify the RC's specific leadership contributions towards achieving each ARC Goal.

ARC participating UNCT members will have the choice to define their own indicators for a minimum of two (and up to all five) ARC UNCT Goal categories. For example, some agencies will not have a role to play in the Humanitarian work in the country, therefore their inclusion of an indicator(s) in this regard would not apply. The UNCT member's indicators should also be shared and discussed with the respective supervisor

The decision on what indicators to include would not be arbitrary, but be used to demonstrate specific individual leadership contributions towards achieving the UNCT Goals and reflect the specific role that the RC or UNCT member plays.



## **D) RESULTS - DEVELOPING ARC GOALS AND INDICATORS**

### **Definition of a GOAL**

The UNCT Goals in the ARC will frame the focus in each Goal category for which the RC and UNCT members will demonstrate their individual strategic level engagement, leadership roles and contributions to achieving them.

- A GOAL is an aim, an intention, a desired end or target, an achievement toward which effort is directed.
- UNCT Goals are statements describing what we want to achieve toward the UN priorities in a country.
- UNCT Goals are written in the SMART model (Specific, Measurable, Attainable, Realistic and Time Bound so results are tangible).
- Definition of UNCT success criteria is the result and outcome of the potentially realized Goal. Success criteria help a UNCT to determine whether they have achieved the Goal.
- Individual Indicators describe the evidence of the staff member's contribution that will ensure achievement of the UNCT Goal.
- The role of the Regional UNSDG Performance Management Team is to approve the UNCT Goals and UNCT Success Criteria, as well as to approve RC indicators against the UNCT Goals
- UNCT member indicators against the UNCT Goals will need to be shared and agreed with the UNCT member supervisor

### **Developing UNCT Goals and Success Criteria, and Individual Indicators**

To prepare themselves to identify the five Goals for the ARC, UNCTs are encouraged to review priorities of the UN in the country as reflected in the UNDAF/One Programme, UNCT work plan (Annual coordination framework), humanitarian plans, security plans and other planning instruments.

- The UNCT to agree on 5 measurable Goals, one in each of the 5 Categories (Development, Political, Human Rights, Security and Humanitarian). If necessary, there is the flexibility to add one more Goal in any of the categories (i.e. Development Goal category, Humanitarian Goal category, etc.).
- The UNCT to agree on 2-3 UNCT Success Criteria for each UNCT Goal that as a UNCT will describe the evidence that will ensure achievement of the Goal
- The RC and the UNCT members provide 1-3 indicators each separately, for each of the 5-6 Goals corresponding to their individual contribution towards the UNCT Goals
- Goals and Indicators will be uploaded into the ARC online platform; to facilitate this process utilize the provide templates<sup>4</sup>. The 5 categories of measurable Goals are described as follows:

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<sup>4</sup> See Annex 1 - Template for Goals & Indicators

Humanitarian Goal:

**UNCT** – when developing the Humanitarian Goal, the UNCT will consider support to national efforts in disaster risk reduction such as leading inclusive response preparedness efforts; leading and coordinating the development of a response plan for humanitarian action in-country, coordinating its implementation by the broader humanitarian community, and raising funds for it; advocating with all relevant parties (including non-state actors) for access to and protection of affected populations.

**UNCT Members of the HCT** – when developing the Humanitarian Goal, the UNCT will draw on humanitarian plans with focused contributions from relevant UNCT members that are members of a Humanitarian Country Team (HCT). Individual UNCT members who participate in the HCT, will identify indicators that demonstrate their respective contributions to the Humanitarian Goal.

Security Goal:

**UNCT** – when developing the Security Goal, the UNCT will draw on the security plan, with focused contributions from UNCT members that are also members of the Security Management Team (SMT).

Development Goal:

**UNCT** – when developing the Development Goal, the UNCT will draw on the strategic positioning of the UN in the country, linking UNDAF/One Programme outcomes with national priorities and ensuring national capacity development and inclusion of the key principles in the country analysis/UNDAF of gender equality, human rights based approaches, environmental sustainability, results based management and capacity development<sup>5</sup>; ensuring effective resource mobilization, including non-core, in support of the UNDAF/One Programme; ensuring that the interests of non-resident agencies are adequately represented, etc.

Political Goal:

**UNCT** – when developing the Political Goal the UNCT will address political obstacles in relation to the rule of law; engage with the Department of Political Affairs in the event of deterioration or evolution of the political situation in the country, develop relations with key national and local political actors; support the Government in engaging, and mobilizing a network of strategic partnerships around national priorities, policymaking and aid coordination mechanisms.

Human Rights Goal:

**UNCT** – when developing the Human Rights goal the UNCT will advocate for fundamental UN values under its Charter, including respect for and protection of human rights; mainstreaming human rights norms and standards into programmatic and operational activities for development; facilitating engagement with UN human rights mechanisms and access to knowledge and expertise on international human rights norms and principles; ensuring a coordinated approach to building national capacity to implement human rights; upholding UN's responsibilities with regard to preventing and responding to serious violations of *human rights and humanitarian law, etc.*

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<sup>5</sup> Any update on programming principles based on the revision of the UNDAF Guidelines will be incorporated into the ARC Guidance.

## E) THE REGIONAL UNSDG PERFORMANCE MANAGEMENT TEAM ROLE IN THE ARC

### ARC Eligibility Criteria for Regional UNSDG Performance Management Team

The participation in the Regional UNSDG Performance Management Team and their appraisal meetings is intended to be inclusive of the UN system and may include senior officials from across the Funds, Programmes and Specialized Agencies. When considering participation at the performance appraisal meeting, the following three criteria should be taken into consideration:

1. A direct country presence and budget.
2. Direct oversight responsibility for the respective UNCT member.
3. Serving at D2 level or above.

The DCO Director will co-chair the 2018 UNSDG Regional Performance Management Team meetings alongside the Regional UNSDG Chairs to highlight DCO's new role under the leadership of the Deputy Secretary General/Chair of the UNSDG. The DCO Director will not however provide any ratings for RCs; it will continue to be the R-UNSDG Chair that will sign off on the final rating in the ARC.

### Generation and Collection of inputs towards the appraisal of RCs and UNCTs

#### Self-Assessment

RCs and UNCTs will have defined 5 Goals and will provide a self-assessment narrative based on the defined RC Indicators, and respective UNCT Success Criteria for each Goal.

### Role of the Regional UNSDG Performance Management Team

The Regional UNSDG Performance Management Team will provide an overall performance assessment narrative and ratings for each RC and UNCT, respectively. There will be one overall narrative and two ratings for the RC (one rating for achievement of their indicators and the second for competencies). For the UNCT as an entity, there will also be one overall narrative and two ratings (one rating for the UNCT Goals achievement and the second for team attributes). These overall narratives and ratings will include consideration of all inputs received (both on the results vis-a-vis the role of RC and for the related competencies and team attributes).

- Consensus will need to be reached by the Regional UNSDG Performance Management Team on the narratives and ratings for each country – one set for the RC and one set for the UNCT.
- **Note:** For 2016 and 2017 ARC performance appraisal only one overall rating was provided for the RC and UNCT each, from 2018 onwards there will be two ratings as noted.
- Other roles (i.e. HC, DO, DSRSG) have separate assessment processes.

## **F) UNSDG PARTICIPATION IN THE ARC BEYOND THE REGIONAL UNSDG PERFORMANCE MANAGEMENT TEAM**

If a UNSDG member agency is not represented in a Regional UNSDG Performance Management Team, then the UNSDG member agency is eligible to provide overall feedback inputs on the performance of the RC.

It is important to note that inputs received are not an assessment of the RC (nor the UNCT) but an input for consideration of the Regional UNSDG Performance Management Team. This input should not include performance ratings. UNSDG member agencies that do not participate in the Regional UNSDG PMT meeting do not review the content of final RC assessment reports.

**\*\***For 2018 performance appraisal cycle, the UNSDG entities as well as relevant UN Secretariat departments such as OCHA, DPPA, DSS and DPO, will continue to be invited to participate in the R-PMT meetings. Participation criteria will not change, including the D2 level and above requirements. Agency representatives participating in the R-PMTs will be encouraged to attend in-person or connect via VC. DCO will not be requesting written inputs from UNSDG and Secretariat entities. If the UNSDG agency does not meet the criteria, namely (i) a direct country presence and budget and/or (ii) direct oversight responsibility for the respective UNCT member, they can still participate at the D2 level in the meeting to provide any relevant feedback.

### ***Background information on goal categories and competencies to be assessed:***

The ARC Goal categories are as follows: i) Development, ii) Political, iii) Human Rights, iv) Security and v) Humanitarian.

For the final ratings the ARC uses four rating categories on **results**: **Exceptional Achievement; Fully Accomplished; Partially Accomplished; Not Accomplished**. A self-assessment will be available as an input to the appraisal process.

The self-assessment is based on RC competency domains and UNCT attributes that are described in Section E.

The ARC uses four ratings categories on **competencies and attributes**: **Exceptionally Demonstrated; Fully Demonstrated; Partially Demonstrated; Not Demonstrated**. The self-assessment will include feedback on competencies. See Annex 2 and 3 for more detailed descriptions.

## G) ROLES IN SETTING UP THE ARC PERFORMANCE MANAGEMENT CYCLE

### The UNCT as an entity will

- agree on common goals under the ARC goal categories, including the respective UNCT Success Criteria under each goal.
- appoint a specific staff member to be the UNCT ARC Administrator (see Table 1).

### The RC and participating UNCT members, individually

- will have secured access to the ARC platform and are responsible for entering their own indicators and self-assessment into the ARC platform.

### UNCT ARC Administrator

- a designated UN staff member (one person per country only) at appropriate level who is responsible for managing the ARC at the country level, under the oversight of the RC. The UNCT ARC Administrator should be personnel from the RC Office and must have a UN email address and UN Index Number.
- the RC, in consultation with the UNCT, would agree on the designated RC Office staff member.
- the designated RC Office staff member is then officially communicated to UNDCO by the RC, and the associated access rights in the ARC platform is provided by UNDCO to the designated staff member.
- Table 1 captures the information required for set-up in the ARC platform.

Responsibilities: The UNCT ARC Administrator will be responsible for:

- a. Entering the names, contact information, and other required data for the eligible UNCT members who will be participating in the ARC each year. Any changes to the ARC information at the country level will be administered directly by the UNCT ARC Administrator, in consultation with the RC. The RC is accountable for validating and clearing the ARC UNCT participant list as per the eligibility criteria.
- b. Entering the UNCT Goals and associated Success Criteria into the ARC platform, and managing any changes required. Upon completion of this step, the UNCT Goals will be made available to all the UNCT members eligible to participate in the ARC via the ARC platform, which then allows them to complete the next steps in the process. At year end, UNCT ARC Administrator will enter the UNCT's self-assessment in the ARC platform.
- c. UNCT ARC administrator is an administrative role and any actions taken in the ARC platform will be done on behalf of the RC or UNCT as applicable.

The UNCT ARC Administrator is a key function as part of the performance appraisal process. The staff member designated in this role should be acknowledged, and this role included in his/her own performance assessment for the year. Training and guidance will be provided to those undertaking the role of UNCT ARC Administrator.

Below is a template for submitting the information of UNCT ARC Administrator, which will need to be submitted to UNDCO ([arc@undg.org](mailto:arc@undg.org)).

**Table 1: Year 2018 – [Enter Country Name]**

Name of UNCT ARC Administrator – [Enter Name of person identified by the RC in agreement with UNCT]

Index Number	First Name	Middle Name	Last Name	UN Email ID	Sex	Job Title	Grade	Entry on Duty (EOD)
Index Number				Official UN email address	Male Female	Official UN Job Title	Grade	EOD in this role in country

#### Regional ARC Administrator

- Support the Regional UNSDG PMT in the performance appraisal process for the respective region, and ensures RC and UNCT as a team comply to the deadlines and inputs required for the ARC
- Enters the performance assessment for each RC and UNCT in the ARC platform
- Liaises with countries on UNCT Goals, UNCT Success Criteria, and RC indicators for the particular year on behalf of the Regional UNDG Performance Management Team & addresses in ARC platform

#### **H) RC PERFORMANCE APPRAISAL REBUTTAL PROCESS**

For specific guidance on the RC performance appraisal process please see “ARC Rebuttal Process for RCs and UNCTs 2018 Performance Cycle” on the UNSDG website at <https://undg.org/wp-content/uploads/2019/02/ARC-Rebuttal-Process-2018-Guidance.pdf>.

## ANNEX 1

### ARC TEMPLATES FOR THE UN RESIDENT COORDINATOR/ DESIGNATE SPECIALY REPRESENTATIVE TO THE SECRETARY GENERAL/HUMANITARIAN COORDINATOR/ DESIGNATED OFFICIAL, UN COUNTRY TEAM, AND UNCT MEMBERS

#### Instructions:

The templates to capture UNCT Goals, UNCT Success Criteria, RC individual indicators, and individual UNCT member indicators are to be **completed offline**.

For the UN Resident Coordinator and UNCT (as entity), please send to your Regional Coordination Specialist. The information will be reviewed by the Regional UNSDG Team who will provide feedback on the UNCT Goals and RC Indicators taking into account the priorities of the UN in the country.

For the UNCT members, please send to your respective supervisor to include these inputs into your agency performance appraisal process. The review of the ARC UNCT member Indicators, as contribution to the joint UNCT Goals, is to be done by the respective supervisor, in accordance with the Management and Accountability System of the UN Development and Resident Coordinator System including the “functional firewall of the RC System”.

**Annex 2** includes descriptions of the rating system for the results as well as the competencies which are to be used in the self-rating in the reporting template

**Annex 3** includes the description of the competency domains and team attributes with their indicators for the RC and UNCT Members, and UNCT Team.

#### A. UNCT MEMBERS PARTICIPATING IN THE 2018 PERFORMANCE YEAR

[illegible]



## B. UNCT ARC GOALS AND SUCCESS CRITERIA

The RC, on behalf of the UNCT, will submit to the Regional UNSDG PMT through their Regional ARC Administrator, the UNCT ARC Goals and Success Criteria to be completed together based on their consultations.

RC (Name (LAST, First))	[ENTER NAME]
Country	[ENTER COUNTRY]

UNCT ARC GOALS FOR 2018		UNCT KEY SUCCESS CRITERIA
<b>1</b>	<b>Development</b>	
	[Goal statement]	[Provide criteria 1] [Provide criteria 2] [etc.]
<b>2</b>	<b>Human Rights</b>	
	[Goal statement]	[Provide criteria 1] [Provide criteria 2] [etc.]
<b>3</b>	<b>Humanitarian</b>	
	[Goal statement]	[Provide criteria 1] [Provide criteria 2] [etc.]
<b>4</b>	<b>Political</b>	
	[Goal statement]	[Provide criteria 1] [Provide criteria 2] [etc.]
<b>5</b>	<b>Security</b>	
	[Goal statement]	[Provide criteria 1] [Provide criteria 2] [etc.]

### C. RC | ARC GOALS AND INDIVIDUAL INDICATORS TEMPLTE

The RC will complete this template to include his/her key planned indicators towards achieving each UNCT ARC Goal. The RC will submit this to their Regional UNSDG Performance Management Team through their respective Regional ARC Administrator.

RC Name (LAST, First)	[ENTER NAME]
Country	[ENTER COUNTRY]

UNCT ARC GOALS FOR 2018		RC KEY PLANNED INDICATORS
<b>1</b>	<b>Development</b>	
	[UNCT Goal statement]	[Provide indicator 1] [Provide indicator 2] [etc.]
<b>2</b>	<b>Human Rights</b>	
	[UNCT Goal statement]	[Provide indicator 1] [Provide indicator 2] [etc.]
<b>3</b>	<b>Humanitarian</b>	
	[UNCT Goal statement]	[Provide indicator 1] [Provide indicator 2] [etc.]
<b>4</b>	<b>Political</b>	
	[UNCT Goal statement]	[Provide indicator 1] [Provide indicator 2] [etc.]
<b>5</b>	<b>Security</b>	
	[UNCT Goal statement]	[Provide indicator 1] [Provide indicator 2] [etc.]

#### D. UNCT MEMBER | ARC GOALS AND INDIVIDUAL INDICATORS

Each participating UNCT ARC member identify their individual indicators towards achieving UNCT ARC Goals and forward to their direct supervisor for feedback and consideration for inclusion as part of their agency performance management process. This is the only section that does not get forwarded to the Regional ARC Administrator for your region. The UNCT Member put in their indicators directly into the ARC platform. For the 2018 cycle, it is not mandatory for individual UNCT members to participate in the self-assessment process.

Name (LAST, First)	[ENTER NAME]
Title	[ENTER TITLE]
Country	[ENTER COUNTRY]
Agency	[ENTER AGENCY]

UNCT ARC GOALS FOR 2018		UNCT Member KEY PLANNED INDICATORS	
<b>1</b>	<b>Development</b>		
	[Goal statement]	[Provide indicator 1] [Provide indicator 2] [etc.]	
<b>2</b>	<b>Human Rights</b>		
	[Goal statement]	[Provide indicator 1] [Provide indicator 2] [etc.]	
<b>3</b>	<b>Humanitarian</b>		
	[Goal statement]	[Provide indicator 1] [Provide indicator 2] [etc.]	
<b>4</b>	<b>Political</b>		
	[Goal statement]	[Provide indicator 1] [Provide indicator 2] [etc.]	
<b>5</b>	<b>Security</b>		
	[Goal statement]	[Provide indicator 1] [Provide indicator 2] etc.[etc.]	

## DESCRIPTION OF RATING SYSTEM FOR GOALS AND FOR COMPETENCIES/TEAM ATTRIBUTES

*Rating Definitions for Goals*

- *Exceptional Achievement:* Delivered qualitative and quantitative planned results that demonstrably and fully met all and exceeded one or more indicators. Took actions that led to positive recognition of the UN inside and/or outside the country.
- *Fully Accomplished:* Delivered qualitative and quantitative planned results that demonstrably and fully met all indicators. Demonstrated competencies that enable this [RC/ UNCT Member/ UNCT as entity] to fully contribute to all aspects of effective UNCT functioning.
- *Partially Accomplished:* Delivered qualitative and quantitative planned results that demonstrably met parts of all or some indicators. Demonstrated that [RC/ UNCT Member/ UNCT as entity] requires development to achieve planned results.
- *Not Accomplished:* Did not deliver planned results qualitatively and/or quantitatively to fully or partially meet indicators. Before the next performance cycle the [RC/ UNCT Member/ UNCT as entity] needs to engage in a structured plan that includes learning activities, coaching and/or mentoring to address current shortfall with respect to qualitative and/or quantitative achievement for this goal.

*Rating Definitions for Competencies/Team Attributes*

- *Exceptionally Demonstrated:* Demonstrated competency that make this [RC/ UNCT Member/ UNCT as entity] a resource and a role model. Took actions that led to positive recognition of the UN inside and/or outside the country. Fully met all indicators and exceptionally demonstrated one or more.
- *Fully Demonstrated:* Demonstrated competency that enables this [RC/ UNCT Member/ UNCT as entity] to fully contribute to all aspects of UNCT functioning. Fully met all indicators both qualitatively and quantitatively.
- *Partially Demonstrated:* Displayed specific competency and/or behavioural indicators that require development for overall effectiveness as an [RC/ UNCT Member/ UNCT as entity]. Demonstrated parts of some or parts of all indicators.
- *Not Demonstrated:* Before the next performance cycle the [RC/ UNCT Member/ UNCT as entity] needs to engage in a structured plan that includes learning activities, coaching and/or mentoring to address current shortfall in the competency or behavioural indicator. Did not demonstrate competency full or partially.

## DESCRIPTION OF COMPETENCY DOMAINS AND TEAM ATTRIBUTES

1. RC – Competency Domains and rating definitions*Competency Domain 1-Impact and Drive: Advocacy and Influence; Resilience; Values and Ethics*

The RC effectively uses a range of advocacy/influencing strategies suited to varied audiences to promote ideas and achieve results. The RC is a skilled negotiator who seeks win-win solutions through conveying an understanding of the needs and interests of others. S/he is resilient and works well under high pressure, promotes a spirit of optimism and maintains emotional control in the face of difficult situations. The RC leads by example, sets the highest ethics, values and work standards, and continually lives them both personally and professionally. This is demonstrated in the RC's principled and transparent decision making impartiality, respect for diversity and human rights, and intolerance of inappropriate behaviour.

Behavioural Indicators:

- Effectively promotes ideas and achieves results through employing effective advocacy/influencing strategies intentionally suited to varied audiences.
- Works well under high pressure demonstrating emotional control and promoting a spirit of optimism.
- Is a role model for the highest UN ethics, values, and work standards both personally and professionally.

*Competency Domain 2-Delivering Results: Planning and Organizing; Drive for Results and Accountability*

The RC identifies and communicates effective plans, fosters a sense of urgency on the team to drive for planned results, identifies and mobilizes resources for the whole team, manages timelines and coordinates activities to achieve defined goals. S/he monitors and evaluates progress based on pre-determined benchmarks and implements contingency plans when circumstances require. The RC is responsive to the need to change from long to short-term planning in chaotic circumstances. S/he promotes mutual accountability for outcomes

Behavioural Indicators:

- Identifies and communicates defined goals, and manages timelines, mobilizes resources and coordinates activities to achieve those goals.
- Fosters a sense of urgency and mutual accountability to drive for planned results and monitors and evaluates progress based on pre-determined benchmarks.
- Is flexible in the face of chaotic circumstances and can implement short term and contingency plans when long term plans lose feasibility.

*Competency Domain 3-Leading and Engaging: Leading and Managing People; Engaging and Nurturing Partners/Stakeholders*

The RC actively leads the team to develop shared purpose, involves people in decisions and promotes ownership of shared goals. S/he facilitates a group process on the team that is mutually supportive, builds collaboration and actively seeks to resolve conflict. The RC is creative in fostering partnerships, identifying common interests and seeks to broaden avenues of cooperation to achieve mutual goals. The RC provides on-going feedback to ensure stakeholders deliver on commitments and regularly informs team members of developments affecting country context.

#### Behavioural Indicators:

- Promotes shared ownership through involving the team in decision making and keeping the team informed of developments affecting the country context.
- Facilitates a mutually supportive group process, takes quick action to resolve conflict and builds collaboration on the team.
- Creatively fosters partnerships and provides on-going feedback to ensure stakeholders deliver on commitments.

#### *Competency Domain 4-Managing Complexity: Analysis & Decision Making; Strategic and Political Thinking*

The RC formulates, communicates and operates with a coherent vision and a strategic perspective in collaboration with the UNCT. S/he makes well informed and timely decisions that demonstrate effective analysis of complex information, and identification of key issues, options and consequences. S/he addresses the integrated and changing needs of the host country based on knowledge of its political, economic and social issues and collaborates with the UNCT to pursue this vision through jointly held team goals. S/he is able to take considered risks as required and identify ways to mitigate these risks. S/he has the flexibility to modify decisions as important and/or more complete information becomes available.

#### Behavioural Indicators:

- Formulates, communicates and operates with a coherent vision and a strategic perspective in collaboration with the UNCT.
- Makes well informed and timely decisions that demonstrate effective analysis of complex information, identification of key issues, options and consequences, and flexibility to adapt to changing circumstances.
- Demonstrates capacity to take considered risk to address the integrated and changing needs of the host country based on knowledge of its political, economic and social issues.

## 2. UNCT Member – Competency Domains and rating definitions

#### *Competency Domain 1-Impact and Drive: Advocacy and Influence; Resilience; Principles, Values and Ethics*

The UNCT member actively participates in formulating a clear vision and plan for addressing the integrated and changing needs of the host country or countries. The team member advocates with, inspires and influences agency heads to pursue the plan as well as initiates and promotes action throughout the team to achieve Country Team goals. The team member is resilient and optimistic in the face of changing circumstances and setbacks. The team member demonstrates commitment to the ethics, principles and values of the UN and models, promotes and defends these values.

#### Behavioural Indicators

- Effectively participates in formulating a clear vision and plan for addressing the integrated and changing needs of the host country or countries.
- Works to inspire and influence agency head to pursue the plan as well as initiates and promotes action throughout the team to achieve UNCT goals.
- Is a role model of resilience in the face of changing circumstances and works with the highest UN ethics, values, and work standards both personally and professionally.

### *Competency Domain 2-Delivering Results: Planning and Organizing; Drive for Results and Accountability*

The UNCT member takes personal responsibility for making things happen and seeks to increase team performance by agreeing to measurable team and individual goals, and monitoring progress and identifying actions to improve on-going performance. The team member balances his or her own agency priorities with the UNCT's priorities. S/he demonstrates a sense of urgency and an energetic focus on vision and results. The team member contributes to resource mobilization both for the UNDAF and One UN Fund as applicable. The team member delivers on commitments.

#### Behavioural Indicators:

- Takes personal responsibility for making things happen and seeks to increase team performance by agreeing to measurable team and individual goals, and monitoring progress and identifying actions to improve on-going performance.
- Balances his or her own agency priorities with the UNCT's priorities. Demonstrates a sense of urgency and an energetic focus on vision and results.
- Contributes to resource mobilization both for the UNDAF and One UN Fund as applicable. The team member delivers on commitments.

### *Competency Domain 3-Communicating and Engaging: Openness and Conflict Resolution; Engaging and Nurturing Partners/Stakeholders*

The team member actively models and promotes a culture of regular, open and honest intra and interagency communication. Specifically, he or she shares information with other UNCT members and demonstrates sensitivity to all aspects of diversity. The team member manages conflict effectively by working to integrate and/or resolve differences with other team members. S/he balances collaborative approaches with assertion as the situation requires. The team member contributes to building positive and supportive team group dynamics.

#### Behavioural Indicators:

- Promotes a culture of regular, open and honest intra and interagency communication.
- Facilitates a mutually supportive group process, takes quick action to resolve conflict and builds collaboration on the team.
- Creatively fosters partnerships and provides on-going feedback to ensure stakeholders stay engaged and deliver on commitments.

### *Competency Domain 4-Managing Complexity: Analysis and Decision Making; Strategic and Political Thinking*

The team member works with others to process and integrate information that clarifies challenges and opportunities in the host country and enables realistic adjustments to plans; effectively challenges and supports colleagues to generate cross agency opportunities which leverage UNCT impact; demonstrates sensitivity and responsibility in incorporating into plans the concerns, strategies and political influences among the team and among external stakeholders. The team member brings her/his agency expertise to UNCT analysis and strategic development.

#### Behavioural Indicators:

- Formulates, communicates and operates with a coherent vision and a strategic perspective in collaboration with the UNCT.
- Makes well informed and timely decisions that demonstrate effective analysis of complex information, identification of key issues, options and consequences, and flexibility to adapt to changing circumstances.
- Demonstrates capacity to take considered risk to address the integrated and changing needs of the host country based on knowledge of its political, economic and social issues.

### 3. UNCT (as an entity) – Team Attributes and definitions

#### *Team Attribute 1: Clear Common Goals*

The team identifies and endorses a set of common strategic goals, commits the resources to deliver on them, and enthusiastically communicates them to stakeholders.

##### Behavioural Indicators

- The team agrees on and endorses a set of common strategic goals with meaningful targets, actions and time frames to achieve and measure the goals.
- The team commits and delivers resources to achieve team goals.
- The team actively and enthusiastically communicates team goals to stakeholders.

#### *Team Attribute 2: Transparent, Positive and Supportive Group Dynamics*

The team honors varied points of view and makes decisions through consensus; team members actively support one another by recognizing individual member contributions; the team actively celebrates its successes and models pride in team accomplishments.

##### Behavioural Indicators

- The team arrives at decisions transparently through consensus; tolerates disagreement, but actively resolves team conflict.
- The team demonstrates team solidarity through active support and recognition of fellow team members' contributions.
- The team promotes positive working relationships by celebrating team successes and modeling pride in team accomplishments.

#### *Team Attribute 3: Commitment, Accountability and Drive for Results*

The team acts as one in word and deed. Team members are each empowered by the team to carry out assigned tasks. The team continually updates its members so they are apprised of progress toward plans and goals, challenges and course corrections.

##### Behavioural Indicators

- The team acts as one in word and deed.
- The team empowers team members to carry out their assigned tasks.
- The team continually seeks to update all team members so they are fully apprised of progress toward plans and goals, challenges and course corrections.

#### *Team Attribute 4: Effective Use of Team Member Talent*

The team identifies and employs the unique abilities of each team member, actively involves each team member in progress toward goals, and fosters the trust and flexibility to alter individual team member roles as goals require.

##### Behavioural Indicators

- The team identifies and beneficially uses the unique abilities of each team member.
- The team actively involves each team member in achieving or tracking progress toward team goals.
- The team fosters the trust and flexibility to alter individual team member roles as goals require.



## ANNEX 4

### 2018 ARC PERFORMANCE APPRAISAL CYCLE TIMELINE FOR RC AND UNCT

What:	When:	Who:	Actions:
Launch of the 2018 ARC performance appraisal process	March 2019	UNSDG Chair	<ul style="list-style-type: none"> <li>- Requests the UNSDG for feedback on the 2018 RC and UNCT performance.</li> </ul>
Request of inputs from UNSDG at HQ level	March 2019	UNDCO	<ul style="list-style-type: none"> <li>- Requests DPPA, DPO, DSS and OCHA for inputs/participation in relevant regional appraisal meetings for the appraisal of RCs</li> </ul>
Initiate self-assessments <ul style="list-style-type: none"> <li>- RC self-assessment;</li> <li>- UNCT self-assessment</li> </ul>	March 2019	RC & UNCT	<b>Through the ARC platform:</b> <ul style="list-style-type: none"> <li>- Completes ARC self-assessment of 2018 performance appraisal results and competencies.</li> </ul>
UNSDG entities confirm participation in R-UNSDG PMT meetings and provide inputs	March 2019	UNSDG	<b>Via email:</b> <ul style="list-style-type: none"> <li>- Confirms participation at the Regional UNSDG PMT meetings to R-UNSDG Secretariats focal points.</li> </ul>
		OCHA/DSS/DPPA/DPO	<b>Via email:</b> <ul style="list-style-type: none"> <li>- Confirms OCHA/DSS/DPPA/DPO participation with R-UNSDG Secretariat focal points</li> </ul>
Regional UNSDG PMT meeting	April/May 2019	Regional UNSDG PMT & UNDCO Director	<ul style="list-style-type: none"> <li>- Hold Regional UNSDG PMT meeting to allow appropriate time to appraise the RC and the UNCT</li> </ul>
Final Performance Appraisal Results	Within 15 working days of the Regional UNSDG PMT meeting	Regional UNSDG Chair and PMT	<ul style="list-style-type: none"> <li>- Endorses the assessment results</li> <li>- Enters assessments into ARC along with the RC final rating(s).</li> </ul>
	Within 20 working days of the Regional UNSDG PMT meeting	Regional UNSDG PMT Chair	<ul style="list-style-type: none"> <li>- Shares the performance appraisal results report with the RC</li> </ul>

<b>What:</b>	<b>When:</b>	<b>Who:</b>	<b>Actions:</b>
	Within 10 working days of receiving the feedback	RC & UNCT ARC Administrator	<ul style="list-style-type: none"> <li>- Signs and returns the performance appraisal results report of the RC and the UNCT to the Regional UNSDG Chair</li> <li>- RC shares the feedback comments and development plan on the UNCT performance with the UNCT members.</li> </ul>
	Within 5 working days of receipt of the signed RC and UNCT appraisal format.	Regional Coordination Specialist	<ul style="list-style-type: none"> <li>- Shares the signed the performance appraisal results report with UNDCO</li> </ul>
<b>2018 ARC Performance Appraisal process closes – June 1, 2019</b>			