

# ANNEXES – EVALUATION OF UNDP INTER-AGENCY OPERATIONAL SERVICES

United Nations Development Programme Independent Evaluation Office

### **Contents**

Annex 2. EVALUATION TERMS OF REFERENCE	2
Annex 3. PERSONS CONSULTED	11
Annex 4. DOCUMENTS CONSULTED	
Annex 5. LIST OF OPERATIONAL SERVICES PROVIDED BY UNDP TO UN ENTITIES	19
Annex 6. LIST OF UN ENTITIES THAT UNDP PROVIDES OPERATIONAL SERVICES	23

#### **Annex 2. EVALUATION TERMS OF REFERENCE**

#### 1. INTRODUCTION

As part of its multi-year evaluation plan, approved by the UNDP Executive Board at its first regular session in January 2018, and in line with the UNDP Evaluation Policy, the Independent Evaluation Office (IEO) of the United Nations Development Programme (UNDP) is undertaking an evaluation of the effectiveness and efficiency of UNDP inter-agency operational services, the results of which will be presented to the Executive Board at its second regular session in September 2018.

In approving the plan for this evaluation, the Executive Board emphasized the relevance and timeliness of this evaluation as the UN development system undergoes restructuring under the UN Secretary General's reform proposal to reposition the UN to help deliver on the 2030 Agenda.

The evaluation has been conceived within the overall provisions contained in the UNDP Evaluation Policy with the following purposes: 1) to strengthen UNDP accountability to global and national development partners, including the UNDP Executive Board; 2) to support better oversight, governance and risk management practices in UNDP; and 3) to support organizational learning.

#### 2. OBJECTIVES OF THE EVALUATION

The objectives of the evaluation are to:

- 1. Assess the effectiveness and efficiency of UNDP in providing inter-agency operational services.
- 2. Provide findings, conclusions and recommendations to improve and inform UNDPs comparative advantage and positioning as a provider of inter-agency operational support services.

#### 3. SCOPE AND ITS LIMITATIONS

The evaluation will cover a period of 2010 to 2017 to align with the structural changes that ensued in UNDP following the 'Agenda for Organizational Change' launched by the UNDP Administrator in 2010 which included efforts designed to improve efficiencies and a review of UNDP's business model<sup>1</sup>.

The scope of the evaluation will look broadly at the operational structures in place and the operational services, but will not assess each area in detail. The aim is to consider whether the provision of services across the various operational structures in place, are addressing the needs of recipients with quality and scale and promoting simplifications and cost efficiencies.

#### 4. INTER-AGENCY OPERATIONAL SERVICES

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<sup>&</sup>lt;sup>1</sup> E/2011/35

The second part of the evaluation will assess services provided by UNDP to other entities of the UN development system with focus on client satisfaction and giving particular attention to identifying improvements needed for common back-office support provided at country level, by the Global Shared Service Units, the Integrated Service Units and BMS. Each of these entities provide services that are likely to be impacted through the UN development system repositioning initiative of the UN Secretary General, to better repositioning of the UN development system to deliver on the 2030 Agenda.

In the SG's report on Repositioning the United Nations development system to deliver on the 2030 Agenda, priority is given to advancing common business operations in United Nations Country Teams, to build on the progress made through the "Delivering as One" approach and to scale up the Business Operations Strategy² that country offices are developing. Contingent on UN development system entities progressing on mutual recognition of policies and procedures to facilitate active collaboration across agencies³ common business operations could yield savings to be redirected to programmes and allow the UN to better integrate technologies and apply advanced management practices, improving the quality of services, in terms of client satisfaction and compliance with risk metrics and controls, allowing UN entities to focus more on their mandates and programmatic functions and reducing transaction costs for Governments and collaborating agencies. In his recently presented plan for repositioning the UN Development System, the UN Secretary general has set an expectation for the establishment of common back offices for all UN country Teams by 2022 and options will be explored for networks of shared service centres to be managed by the larger entities in the systems, taking advantage of their scale and geographic coverage to offer services to other entities in the system. <sup>4</sup>

The repositioning of the UN development system will depend on GA and ECOSOC consideration and approval but, the SG's report mentions that a strong UN development system will continue to rely on a strong and responsive UNDP, given its "indispensable value to national effort of UNDP's unique mix of resources, including the provision of development services, policy support and strong working partnerships with the Government." It remains to be clarified what the role of integrator will mean, but the SG report says that repositioned as the integrator platform, UNDP assets and expertise may be put at the service of a wider development system as the operational bedrock for UNCTs and the new Resident Coordinator system with full separation of the functions of the Resident Coordinator and UNDP Resident Representative. This evaluation will look into what key improvements should be considered to further prepare UNDP to better serve the entities of the UN system with operations common back office services and contribute to the vision of the SG.

Currently, UNDP serves over 80 UN clients including specialized agencies, missions, UN funds and programmes in over 170 countries. The interagency operational services are provided across the globe, with global reach built on 135 country offices, additional specialised offices, 5 regional hubs and 3 global shared services centres in Copenhagen, Kuala Lumpur and New York.

<sup>&</sup>lt;sup>2</sup> The BOS (Business Operations Strategy) is the UN Development Group's (UNDG) pilot results-based framework to plan, monitor, implement and evaluate operational activities.

<sup>&</sup>lt;sup>3</sup> QCPR Resolution, OP 52.

<sup>&</sup>lt;sup>4</sup> SG Report, 201217. OP 18.

<sup>&</sup>lt;sup>5</sup> SG Report, 201217. OP 18.

The **Bureau of Management Services (BMS) at HQ** is the centralized hub for operational services in New York. BMS provides services to 18 agencies, funds and programmes plus 24 UN Secretariat entities on a cost-recovery basis. This includes seven Atlas agencies, for whom UNDP provides payroll and payment services. UNDP also manages a Service Clearance Account for inter-agency payments and manages investment funds of other UN Agencies.

The Global Shared Services Unit (GSSU) is composed of the Global Shared Services Centres in Copenhagen and Kuala Lumpur. The GSSU in Copenhagen hosts the Staff Administrative Services. It comprises two units which are, Benefits and Entitlements Services and Global Payroll Services. It is a Centre of Excellence providing customized packages of HR services to more than 30,000 United Nations personnel from agencies, funds, and programmes across the UN system. Having offered the services since 2003, its Benefits and Entitlements Services Team provides HR administrative services to UNDP and UN partner agencies for international staff members recruited on FTA and TA appointments as well as General Service staff based in New York. Its Global Payroll Services Team provides payroll and related services to more than 35,000 personnel (Staff, Service Contracts, UNVs) of UNDP and UN partner agencies, in approximately 170 locations. More recently the Joint Human Resources Facility for Job Classification and Reference Checking was launched in Bonn, Germany. In procurement, Copenhagen concentrates on complex procurement capacity building and training, and Specialized Advisory and Business Partnering to Elections, Health, Crisis Response and Energy and Environment. The GSSU in Kuala Lumpur provides global, financial shared transaction, analytic and associated training services to UNDP units, including bank reconciliations; contribution management (receiving, recording, reporting); accounting for property, plant, equipment, and intangible assets; review of Country Office asset certification submissions; cash and investment accounting; payment services, including accounts payable, travel claims and travel payments; position management; performing accounting for payroll/post-payroll of international and NYHQ UNDP and other agencies' staff, medical and other insurance, and tax reporting; administering pension for all UNDP staff and other staff administered by UNDP, separation of staff, staff receivables, and absence management (for international staff); etc. Kuala Lumpur also provides non-specialized procurement services and conducts procurement for delivery of all goods and services upon request from the Bureau COs.

The **Regional Hubs** in the past also provided interagency services, but in 2017, operational transactions for management support services (in finance, HR, IT and procurement) were moved to the Global Shared Service Units (GSSUs), to allow regional bureaux to concentrate on programme implementation and on their core competencies. The goal was to reduce duplications and allow for economies of scale in performing operational transactions. There are still some services related to security, common services and administration within some Regional Hubs.

The Resident Coordinator System (RCS) provides support to UN Country Teams, 92% of UNDP country offices are implementing common services with other UNCT agencies, including common long-term agreements, harmonized approaches to procurement, human resources and finance and common approaches to information and communication technology. Half of the country offices (49%), across all regions, are implementing 'Operating as One'6.

<sup>&</sup>lt;sup>6</sup> Operating as One is a business model that provides UN country teams with an outline for common operational support to the implementation of the One Programme by capitalizing on existing agency operational capacities and consolidating service provision.

The **Integrated Service Units** are in Brazil, Vietnam and Cape Verde. These integrated Service Units are developed in the context of the Business Operations Strategy (BOS). Other 26 countries have BOS but not integrated service centres. The integrated service centres propose to streamline key operational areas of UN participating agencies by consolidating support services into one facility at the country level. They aim to reduce operating costs and enhance the quality of services by delivering a range of common services in the areas of procurement, information and communication technologies (ICT), human resources (HR) and travel to United Nations agencies in the country. The services provided should cover agencies' internal requirements as well as the demands received from their cooperation partners. The JOF acts as a single service window through which participating agencies can source operational services in support of their programs using a set of harmonized procedures negotiated by the participating agencies.

Currently, UNDP provides operational services to UN agencies in the following areas:

Human resources- Global Payroll constitutes the highest share<sup>7</sup> of HR services provided to UN Agencies by UNDP, the second being benefits & entitlements. UNDP also provides a strategic staff realignment and organizational design, as well as business process review and analytics. A partnership with the UN System Staff College provides internal change management consulting services to the UN system as part of a recent system-wide organizational change initiative: the UN Lab for Organizational Change and Knowledge (UNLOCK). In addition, UNDP provides the following HR-related services to UN Agencies: Management of the Resident Coordinator System globally on behalf of UNDG; UN Common system advocacy and partnership with other organizations and the International Civil Service Commission (ICSC) as Chair of the HR Network Standing Committee Field Duty Stations (Field group); Policy coordination on most HR issues in field offices; and Administration of the common system staff entitlements in field offices

**Procurement -** UNDP regularly provides services that cover a diverse portfolio of requirements, including: the delivery of security services, audit services, consultants, ICT equipment, fuel and vehicles, and office supplies and printing. In addition, UNDP facilitates non-procurement support such as travel arrangements, DSA payments, and lease management of office space in support of agency operations. Specifically, for the UN clients, UNDP provides the following procurement services: a) Purchase Order-based procurement; b) Collaborative Procurement projects led by UNDP; and c) Procurement Certification and Training.

**Financial services** - UNDP provides accounts and treasury, and investment management services to other UN entities. Accounts services include preparation of financial statements for other UN Agencies. Treasury services are comprised of banking services, inter-fund settlements, disbursement processing, foreign exchange operations and investment management.

**Administrative services**- UNDP provides shared premises and assets management and travel services to external UN clients, directly managing the leasing, renovation and upkeep of properties at HQ. In Country Offices, UNDP also shares and in many cases, manages premises with other UN agencies and often runs those premises, provides common services and offers travel management. UNDP is also a global travel services provider to UN agencies. In 2015, a new travel management

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<sup>&</sup>lt;sup>7</sup> In terms of number of people served.

services provider was contracted at HQ, as well as an online booking tool for self-service reservations, reducing travel agency expenses.

**ICT Services**- UNDP provides infrastructure and information technology and services around the globe. Users receive integrated solutions and help desk support, which are available 24/7. Many agencies use UNDP's enterprise resource planning software system: Atlas. Applications services that UNDP provides to UN agencies include all the software modules for UNDP's ERP: financial, procurement, payroll and human capital management functionalities, and IPSAS reporting capabilities.

**Legal Support Services** - The Legal Office (LO) provides advice and assistance on a range of legal matters relating to the UNDP's (including its affiliated agencies UNCDF, UNV) operations, programming and administration. *The Administrative Law Practice* advises senior management in Headquarters, Country Offices and of affiliated funds and programmes on legal issues of the status and conduct, the formulation of policies and procedures and the resolution of claims, with respect to staff members and UN volunteers and representing the Organization (including its affiliated agencies: UNCDF, UNV) in cases and settlements within the internal justice system. The *Corporate and Institutional (C&I) Law Practice* advises and assists in negotiating commercial contracts and agreements, issues related to non-staff personnel and resolution of disputes, as well as programming matters, leases, partnerships, financing and inter-agency arrangements and advising and assisting on matters relating to the legal status of UNDP, including privileges and immunities, SBAA and host country arrangements, and policy development on institutional, corporate and operations matters. In addition, UNDP provides certain legal services to other UN entities in addition to those that UNDP directly administers.

**Security Services** - Security services typically involve common premises security and access control, including blast and seismic assessments of premises, and security advisory support. Accommodation services are occasionally requested particularly in post-conflict and early recovery environments. They consist of establishing a joint UN staff accommodation facility that ensures security and wellbeing of personnel, where security concerns are substantial and available accommodation is not up to UN Minimum Operating Security Standards (MOSS). UNDP's Policy on Establishing a UNDP Presence outside the Country Office. <sup>8</sup>

#### 5. KEY EVALUATION QUESTIONS

The following key questions will be addressed:

- 1. How effective and efficient is UNDP in providing inter-agency operational services?
- 2. What are the areas where UNDP has been successful and what are the areas for improvement?
- 3. What is the value added for other UN entities to have UNDP provide inter-agency operational services?
- 4. What is the value added, benefits and challenges for UNDP to provide inter-agency operational services?

<sup>&</sup>lt;sup>8</sup> Since clients were confuse about what services are provided by UNDSS and UNDP, this component could not be assessed by the evaluation.

These questions will be elaborated in the evaluation matrix to be developed during the inception phase of the evaluation in consultation with key stakeholders.

#### 6. APPROACH AND METHODOLOGY

The evaluation approach shall be theory based<sup>9</sup> considering the abridged Theories of Change (TOC) in annex 1, as well as alternative theories that happen to be presented by the evaluand. The TOC will be further detailed in consultation with stakeholders to include specific pathways for how UNDP's inter-agency operational services are contributing to the effectiveness of agencies contributions to the SDGs. Choices of methods and proposed strategy for undertaking the evaluation shall be grounded on these theories.

The evaluation methodology will adhere to the United Nations Evaluation Group (UNEG) Norms & Standards<sup>10</sup>. Methods for data collection will be both quantitative and qualitative, including: detailed calibrated surveys with UNDP service providers, UN clients, partners and donors; a sample of desk and case studies; financial flows analysis; and interviews with key stakeholders and beneficiaries. All operational services provided by UNDP will be considered in selecting a diverse sample of desk and country case studies.

The evaluation will build on the available reports and previous reviews, both internal and external, conducted by JIU, MPTFO, and internal and external oversight entities on the subject, as well as related examinations of interagency activity such as the ones commissioned by UNDG of business operations strategy pilot programmes and common UN business operations at the country level.

Missions will be conducted to selected countries and programmes to represent the portfolio relevant BOS implementers and integrated service centres, as well as country teams where basic common services are provided without a BOS; these will be supplemented with phone interviews as needed.

The analysis of data collected shall be grounded in the proposed TOC to answer the evaluation questions with the prevalent triangulated evidence from surveys, desk and country case studies and interviews.

#### 7. EVALUATION PHASES AND TIMEFRAME

The *inception phase* will include consultations with BMS to further map issues to be assessed and to identify relevant documents, literature and stakeholders to be consulted. During inception, the TOC will be further detailed and validated with BMS and tools for data collection, such as surveys and interview protocols, will be developed.

The *data collection phase* will include document and financial analysis, surveys, case-studies and indepth interviews.

<sup>&</sup>lt;sup>9</sup> Theory-based evaluations are usually based on a theory of change that seeks to explain causality and changes, including underlying assumptions.

<sup>&</sup>lt;sup>10</sup> http://www.uneval.org/document/detail/21

Surveys will be conducted with UN entities at the corporate and country levels to assess satisfaction and what could be improved about operational services provided by UNDP through BMS, GSSU, country offices and JOFs.

Preliminary research indicates the following as possible mission/interview locations, although changes to the below list and additional destinations might be determined during the desk review:

- New York HQ: UNDP, UNFPA, UNICEF, UN Secretariat, UN Women, UNDG/DOCO, DESA, UNOPS, UNCDF, UNV, OCHA, UNDPKO, UNMAS, UNDPA, EOSG, UNITAR, UNOLA, Member State Representatives, others to be contacted via Phone/ Skype or during or *en route* to field missions.
- **Geneva-based agencies and entities**: ILO, ITC, ITU, UNAIDS, UNHCR, WHO, OHCHR, UNCTAD, WIPO, WMO
- Rome based agencies: FAO, WFP, IFAD (possibly via skype or *en route* to field missions)
- **Copenhagen Service Unit**: UNDP GSSU for human resources and UNOPS, which also strives to provide services on a system-wide basis.
- **Kuala Lumpur Service Unit**: UNDP GSSU for operations in conjunction with OAI also conducting an audit of UNDP clustered process.

Country/Theme/Issues based case studies may include the following:

• Interagency operational services- Brazil, Cape Verde, Vietnam (Case study visits related to integrated Service Units), and a sample of BOS and non-BOS countries where ICPEs will take place (also Angola, Paraguay, Mali and others to be confirmed).

The *analysis phase* will work with the tabulated answers from surveys and triangulate them with data coded from case studies, interviews and desk review and against the theories of change to arrive at key findings, conclusions and recommendations.

During the *finalization phase* the draft report with recommendations will be subject to the IEOs quality assurance process, which includes external reviewers from IEO's International Evaluation Advisory Panel.. The quality assured report will then be shared with BMS and MTPFO for comments prior to the informal meeting of the Executive Board in July when member states will have their first chance to review the draft report before the final report with management responses is presented to the formal session of the Executive board in September.

Below is the tentative indication of the evaluation process, timeframe and key milestones:

Table 1: Evaluation process, timeframe with key milestones				
<b>Evaluation Process</b>	Month	Milestone		
Design/Team Composition	January/ February 2018	Concept Note/ ToR/ Team recruitment		
Data collection	March 2018	Desk review, quantitative analysis, launch of survey		
Data conection	March/ April 2018	Stakeholder and partner interviews, case studies, country field visits		

Analysis and synthesis	May 2018	Data analysis and synthesis to arrive at findings, conclusions and recommendations	
Report writing	May/ June 2018	Initial draft for IEO/EAP quality assurance	
Report adjustments/ management response	June 2018	First draft report to UNDP management for comments	
	July 2018	Final Draft report (unedited) presented at EB informal with UNDP Management Response	
EB Paper and informal presentation	July 2018	Executive Board Paper (report summary and management response) uploaded on EB documentation site	
Report editing and design	August 2018	Production of full evaluation report (editing and design)	
Final Report	September 2018	Final Report uploaded on EB website	
EB presentation	September 2018	Report presented at the EB second regular session in September 2018	

#### 8. MANAGEMENT ARRANGEMENTS AND EVALUATION TEAM

The *Independent Evaluation Office* has the overall responsibility for the conceptualization and design of the evaluation, managing the evaluation process and producing a high quality final evaluation report, for presentation to the Executive Board at the second regular session in September 2018. The IEO will constitute an evaluation team with 1 IEO senior evaluators, 2 external commissioned evaluators and data collectors, and 1 research assistants.

- <u>Lead Evaluator (LE)</u>, <u>Ana Rosa Soares</u>: IEO staff member with overall responsibility for assessing inter-agency operational services
- <u>Consultants:</u> 2 independent consultants will be recruited. Under the guidance of the LEs, they will conduct preliminary
- research and data collection activities, particularly case studies, prepare analysis papers with findings, and contribute to the preparation of the final evaluation report with conclusions and recommendations.
  - Consultant 1: (BMS and Global Shared Services Unit): Responsible for case studies to cover UNDP operational services focusing on the Global Shared Service Units in Copenhagen, Kuala Lumpur and BMS.
  - Consultant 2: (Integrated Service Centres and COs): Responsible for case studies for UNDP operational
  - o services focusing on Integrated Service Centres in Brazil, Cape Verde, Vietnam and Country Offices.

Other IEO staff will help to collect data for this evaluation in countries where they are also collecting data for other evaluations, such as ICPEs.

#### **Annex 3. PERSONS CONSULTED**

#### **FAO**

CHIANCA Gustavo
DIN Rahman
GINSBURG Michael
HACKBART Rolf
KAARIA Susan
KIBOKO Vicky
MASCARENHAS Kathya
MASLOVARIK Vanja
MOORINE Lwakatare
QUEIROZ Tiago
ROMERA Lilian
SIGALLA Ajuaye
TAKEI Sue Mara
VALAT Nadine
WILLIAM David

#### **IFAD**

VIEIRA M. W. Hardi BAILY Richard BARRANTES Javier KIM Huynh Uyen

#### **ILO**

BORGES Joana
BUIJZE Sietse
CHAILLET Olivier
GURZUMAR Fikri
JOHNSON Greg
MWANGOSI John
NGUMZE Geoffrey
SENIOR Kane

#### **IOM**

ESCRIBANO Pablo GONÇALVES Quelita GOODSTEIN Gregoire HOUVER Vincent RWEHUMBIZA Ivetha VERHAS Andrea

#### **ITC**

BHUWANEE Tara FRAUENRATH Marie-Claude HAUSWIRTH Iris JIMENEZ Pont Miguel ZHANG Jicheng

#### **OCHA**

HOXHOLLI Elfrida JHA Ashutosh JONES Barnaby KETER David MOHAMMED Adnan NJONGE Emily

#### OHCHR

CATALDO Camilo MISAKI Isabella MORALES Mercedes PEARCE Eldon WARD Kyle

#### **UNAIDS**

KAPES, Chantal REHNSTROM, Joel USSING, Morten BARROS de Daniela

#### **UNCTAD**

MOREIRA Teresa MYINT Win RODDE Jean-Philippe

#### **UNDSS**

CIANCI Mario DRENNAN Peter JOSÉ TORRES LOPES Daniel KWON Ohyoung LOWE Amelia MITROKHIN Igor

#### **UN HABITAT**

BAHTTACHARJEE Debashish

MUNDARA Rahab NGUYEN Quang SILVA Janice

#### **UNHCR**

BASCHETTI Sara
BUSKENS Anna
CLEMENTS Kelly
HIROKO Araki
MUTAI Gilbert
PUKCHAREON Kanit
ROJAS Iris
SHARPE Tammi
VENKAT Chitra

#### **WFP**

CARMELUCIA Mello CHATAURWA Farirai CHIARINI Azzurra LADANJIKU Lydiah LEVINS John MSOCHA John OUNA Sophies POULSEN Anne YAMASAKI Raira

#### **WHO**

BASSIRI Sussan
CABRAL Antonietta
CRESPO Mariana
GRISS Cornelia
HUBERT Dizier
JEFFREYS Nicholas R.
KEBE Mouhamadou Amine
KURUP Anand Sivasankara
LUZOT Anne-Claire
MILOVANOVIC Ivana
MONRROY Rodrigo
PAPPAS Jane Stewart

#### **UNOPS**

MENEZES Alessandra MOIN Karim NIELS W. Guenther REESE Andrew YOUSIF Gilyana Raad

#### UNITAR

SETH Nikhil THALLA Joel VASILESCU Marina

#### UNIDO

DOLUN U.Muge
GILABERT Patrick
HANGO Asha
KARGBO B. Stephen
LANDRICHTER T.S. Jean-Paul
LEVY Rui
MAKOBORE Digna
MASELI Paul
PERERA George
REGUEIRO Juliana
SLATER, G. Jason
THAO Le Thanh
VAVRIKOVA Dana
MEIRELLES Everaldo

#### **UN WOMEN**

ALARAKHI Mahjabeen CHAKABORTY Prasun DOMINICK Marlin FURTADO Vanilde GALVÃO Myriam KIGEN Leonard LUBANGA David NGUGI Nymbura RYHL Asger SABADOS Irena TESHA Lucy THOMASSEN Sorent THUMBI Edwin

#### **UNFPA**

AGUILAR Patricia AKWAH Benjamin DISI Claudette EMERY Michael KANUKI Nicholas KWEKA Proseper NIKO Karin OLIVEIRA Jorge SASSENRATH Yves WEIDMAN Jan

#### IIU

KRAMER Jeremiah MILOS-KING Ljerka

#### ITU

WYNHOVEN Ursula

#### **UNESCO**

BOKOSHA Spencer CROFT Michael MBONYINGINGO Emeline MONTEIL Karalyn NOLETO Marlova SANCHEZ Julio

#### **UN Environment**

AKUM Jane AMBROSIO Marco FEABES Alex MAKENYA Clara **UNDOCO** VOIGHT Anders WIGNARAJ Kanni

#### **WTO**

**VELASCO** Paolo

#### **WIPO**

DUKE Anne MONTANA James PRICE Sonja

#### **WORLD BANK**

CARVALHO Ana Maria KACHINGWE Martin

#### **UNDP and Resident Coordinator Office**

ABOLEDA Carlos
AGUIAR Teresa
ALMADA Cipriano
ANBURDO Betty
ANDERSEN Lykke
ANH TRA Nguyen
BICH NGOC Phan
BOUCLYM Natalie
Boyd Deirdre
BRIGE Andra

#### UNV

ANYOIL Sarah TIKUM Njoya

#### UNICEF

GITAU James RADONJIC Nenad

RODRIGO Vitória SHESHE Frederik

#### **UNODC**

ANDRADE Cristina CUEVAS Pablo FARIA Sandra SILVA Ingrid

BADAKER Yuna
BAH Alassane
BAIONI Maristela
BANT Astrid
BEER De Henrietta
BETTENCOURT Salette
BHATTARAI Sanjeeb
BROWN Dwayne
BRUCKNER Camilla
BUEHLER Oliver
CANDOTTI Michele

CARDOSO Eugenia LARSEN Henrik

CARNEVALI Ilaria LAWRENCE BAK Michael

CHATTERJEE Siddharth

CHRISTENSSON Martin

CHRISTIAN Iva Goricnik

CILLIERS Jaco

MAFABUNE Noni

CUSTODIO Albertina

LEITE Larissa

LOPEZ Donaldo

MACHOKA Penina

MAFABUNE Noni

MAGUIRE Linda

DAMBADARJAA Sergelen MAKONDEKWA Massiya Beryl C.

DELGADO Jean Pierre

MALHOTRA Kamal

DIARRA Becaye

MALLONGO Jeremiah

MARCONDES Claudia

EVORA Ana

MARGAL Victor

EARLANGIC Nilvy

MASAKA Cath prince

FABIANCIC Niky

FARRAN Paul

FERNANDES Carlos

FERNANDES Caroline

FERNANDES Cristina

FERNANDES Cristina

MCHOMVU Jabir

FINDLEY-ANTONIO Denise

MASAKA Catherine

MAXIMIANO Paula

MCCARRON Bruce

MCDADE Susan

MCHOMVU Jabir

MELLINGER Scott

FROT Bertand MENDES Edson
FUJII Akiko MENDES Elisabete
GACHANJA Jane N. Likimani MENDOZA Pedro
GALLARDO Glenda MIZUNO Maria Helena

GALLARDO Glenda MIZUNO Maria Helena
GALVEZ Roberto MONTEIRO Joao
GBA clement MSUNGUE Margrauk
GONÇALVES Elsa MY HANH Tran

GRACE Dominic N'DOMAN Leyla Nuya GRAVENES Paul NEKY Arif

HAMLADJI Noura

HANNAFORD Simon

HANSEN Martin

HARTMANN Nick

NGUYET LINH Pham

NGUYET MINH Nguyen

NGUYET MINH Vu

HIEN Dang OMEDO Geoffrey
HOANG HA Nguyen ORANITA Heli
HOPPER Joe PANUCCIO Theresa
IGLESIAS Ricardo PAULINE Tamesis

JORGO Merita PAVELIC Svetlana
JOSEPH Juanita PEE Patrick

KARAGU Cecilia PHUONG Catherine
KATELEVSKY Dmitri PINTO Anita

KATELEVSKY Dmitri PINTO Anita
KEH Douglas PIRES Antonio
KHAMRAEV Bakhtiyor POOLE Sarah
KIDA Victor PRIESNER Stefan

KIDA Victor PRIESNER Stefan
KNUTSSON Per PUNYARUT Nunlada
KUMSSA Asfaw QUANG Nguyen
KYRIACOU George RAINES Paul

LANGE Lisa RICHARDSON Ulrika

ROCHA João

RODRIGUES Nelida RODRIGUEZ Alvaro

RUIZ Diego SADDIQUE Anis SARGSYAN Anna SCHAFER Zazie SCOTT Daniel

SERUMAGa Amanda

SHAH Darshak SIGALLA Veronica SILVA Paulo

SIONGOK Anabel SIREGARA Ida

SITALAYAN Jintarah

SOLL Torben
SONEFF Greg
SONG HA Nguyen
SOUSA Debora
STAVALE Reynaldo
STAVENSCAIA Irina
STGEORGE Charles

#### **OTHER**

BARNES Helen, DIFD BENDIKSBY Trygve, Norwegian Embassy CARR Bronagh, Irish Embassy FUJIWARA Luis, MDG-F Joint Programme Focal Points GACUGIA Dorcas, Norwegian Embassy KOMORI Yuko, Embassy of Japan

SKANCKE Gunvor. W, Norwegian Embassy SPEZIA, Carlos MDG-F Joint Programme Focal Points STEFFEN Susan, Canadian Embassy **SVANIDZE Vakhtang** 

TAHSIN Ali

TELEGINA Viktoriia

THAM Linda

THI HONG HANH Nong

THI HONG Tran
THI LAM NGA Le
THRING Hogan
THUY HA Nguyen
TIEN PHONG Nguyen
TOURE Aboubacar
TREBUCQ Didier

**UATHAMTHAWORN** Noparat

**VALERIE Cliff** 

VRBENSKY Rastislav

WIESEN Caitlin

WIJESUNDERA Keshini

WONG PUI Yan XUAN LAI Dao XUAN THON Vu YAMAMOTO Naoto ZHURDA Albana

CRUZ Angèle da, Grand-duche de

Luxembourg

DAY Catherine, former GSSC Copenhagen

MACHADO, Erica MDG-F Joint Programme

**Focal Points** 

MOESIMA Joel, African Development Bank MORAIS Julio Ambassador, Ministry of

Foreign Affairs

WAHNON Jorge, Grand-duche de Luxembourg

WENDEl Jens, former BMS

#### **Annex 4. DOCUMENTS CONSULTED**

- Accenture Report, UNDP Atlas Consortium ERP Cost, Benefit and Risks. New York. Internal document, 2018.
- Cape Verde Common country programme document 2006-2010, action plan and annual reports (repository: http://www.un.cv/documentos.php)
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## Annex 5. LIST OF OPERATIONAL SERVICES PROVIDED BY UNDP TO UN ENTITIES

Unit	Services
HR Services	Organizational Design and Job classifications
	Staff Selection and Recruitment Process (advertising, short-listing, and interviewing)
	Benefits and Entitlements Administration and Management (at issuance of a contract and again at separation)  Staff Payroll and Banking Administration and Management (normall validation, disburgement, performance)
	(payroll validation, disbursement, performance evaluation, extension, promotion, entitlements, leave monitoring)
	Hosting of vacancy announcements
	Hiring of service contractors
	Training (including Access to the Learning Resources Centre and Learning Management System)
	Separation Administration
	JPO Programme Administration
	HR Business Advisory Services
	Compliance Review for international and local (HQ) recruitments
	Long Service Awards for UNCDF and UNV
	Distribution of Tax return checks to staff
	Management of the Resident Coordinator System globally on behalf of UNDG
	UN Common system advocacy and partnership with other organizations and the International Civil Service Commission (ICSC)
	Current Co-Chair of the HR Network Standing Committee on field duty stations
	Appendix D and MAIP claims
	Medical insurance plan for locally recruited staff (MIP)
	Policy coordination on most HR issues in field offices
Finance	Payments
	Recurring Personnel Management
	Procurement
	Staff Recruitment: Contract
	Payments - Ticket

	Payments - F10 Settlement		
	Staff Recruitment: Selection		
	Consultant Recruitment		
	Ticket Request		
	Hotel Reservation		
	Travel Authorization		
	F10 Settlement		
	Accreditation		
	Custom Clearance		
	Equipment Disposal		
	Equipment Rental		
	Communications		
	Other Common Service Agreements		
	Premises		
	Facilities and Conference Room Rental		
	Shipment Arrangements		
	Visa Requests		
	Ad-hoc Service		
	IT Services (Common Service Agreement)		
	Fellowship Package		
	Utilities		
ICT Services	ICT infrastructure services (email and directory		
	management, network and desktop support and		
	telecommunications services, including IP telephony)		
	IT Advisory services		
	Communications infrastructure		
	Helpdesk		
	Support for corporate enterprise systems / Applications services (all the software modules of the ERP system,		
	Atlas, such as financial and human capital management		
	functionalities, software licensing, enterprise application		
	support, production support services, help desk services,		
	IPSAS reporting capabilities, and providing intranet and extranet space)		
General Administration Services	Headquarters facilities		
General Auministration Services	Issue and Renew IDs (UNLP, UN ID, etc.)		
	Lease management of office space		
	Office maintenance / repairs		
	Mail delivery (including pouch)		
	Shipment, Custom Clearance, Vehicle registration		
	Issuance of Visas		
	155ualice UI VISas		

	Issuance of Telephone Lines		
	Travel Services		
	Coordinate with travelers to arrange travel		
	Booking flights		
	Travel Authorization		
	Airport pick-up		
	Payments for DSA and TE		
	F10 Settlement		
Procurement Services	Consultant Recruitment (advertising, short-listing & selection, contract issuance)		
	Vendor registration		
	Contract management		
	Long Term Agreement (LTA) management		
	Concluding long term agreements for client		
	Local contract review by CAP		
	Procurement process involving local CAP (and/or ITB, RFP requirements) (identification and selection,		
	contracting/issue purchase order)		
	Procurement process not involving local CAP (and/or ITB, RFP requirements) (identification & selection, issue purchase order)		
	Full procurement services including the delivery of security and cleaning services, office supplies and printing, audit services, consultants, ICT equipment, fuel and vehicles		
	Disposal of Equipment		
Legal services	Assistance and advice on two practices (Administrative Law Practice and Corporate and Institutional Law Practice) on a range of legal matters relating to UNDP's including its affiliated agencies UNCDF and UNV) in programming, operations and administration.		

## Annex 6. LIST OF UN ENTITIES THAT UNDP PROVIDES OPERATIONAL SERVICES

UNFPA UNITAR UNSSC UNU

UNWOMEN<sup>11</sup> UNFCCC UNCDF UNV ECA

ECLAC ESCAP ESCWA FAO IAEA IARC

IBRD
ICAO
ICTR
IFAD
ILO
IMF
IMO

ITC ITU OHCHR OPCW UN

UNAIDS

IOM

UNAMI/UNRCCA UNCCD\_BONN

UNCHS/UNHABITAT

UNCTAD
UNDESA
UNEP
UNSOM
MONUSCO

UNICEF UNIDO UNOCHA UNOG

**UNOJSRS** 

UNIOGBIS

UNOV/UNODC UNOWA/CNMC

UPU WFP WHO

WIPO WMO UNWTO AsDB CTBTO

UNJSPF UNON UNRWA UNTSO

**UNMIS** 

MONUC

WTRADE UNOPS UNAMA UNMIK UNMIL MINUSMA

UNSMIL MINUSTAH UNAMID

UNMISS UNSOA UNSOS

MINURSO

UNMiss-COL UNSCO ICCROM MINUJUSTH UNVMC

RSCE: Uganda BONUCA

**MINUSCA**