



UNITED NATIONS
SUSTAINABLE
DEVELOPMENT
GROUP
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CONSOLIDATED ANNEXES TO THE COOPERATION FRAMEWORK GUIDANCE

CONSOLIDATED ANNEXES FOR COOPERATION FRAMEWORK GUIDANCE

UNSDG Principals endorsed on 24 MAY
2019

ANNEX 1: Outline of the Cooperation Framework Roadmap

COVER PAGE

Roadmap for the United Nations Sustainable Development Cooperation Framework Year xx to Year 20 xx

Country	
Date	

Endorsed by

Government Representatives/ UN Resident Coordinator
Chair Joint National-UN Steering Committee

Part A: Narrative Section

NB: Roadmap covers period from evaluation of current Cooperation/UNDAF to preparation of Joint Work Plans of the new Cooperation Framework. NB: The narrative section to be no more than 3 pages.

1. Introduction

{In this section, write the following: (a) the justification for a new Cooperation Framework in the evolving national and regional context, e.g. an ending current Cooperation Framework and a new national development cycle.(b) the process through which the UNCT roadmap was prepared and signed off (e.g. the involvement of UN entities, Government and other key stakeholders). (c) other key contextual factors that could impact the roadmap, e.g., an election year, etc}.

2. Brief description of the key steps of the Cooperation Framework process and the planned engagement of key stakeholders and UN entities in each step.

{In describing the steps below, consider the key stakeholders including the following: Government, including local authorities, judicial and other independent state oversight bodies; Bilateral and multilateral partners, including international financial institutions; International NGOs; Civil society/national NGOs and community organizations; Trade unions and employers' organizations; Academia, the scientific and research community; Volunteer groups; Representatives of various groups, including those at risk of being left behind; Media; and Other stakeholders}

2.1 Cooperation Framework evaluation

{Outline measures taken for ensuring UN entity country programme evaluation timings are well sequenced with and feed into the evaluation of the current UNDAF/ Cooperation Framework, whether/how evaluation processes are integrated (e.g. make of same consultation, independent evaluators etc.) to reduce transaction costs for stakeholders and the UN, and any key issues anticipated, as well as how these will be addressed by the UNCT and partners.

2.2 Common Country Analysis

{Broadly indicate the approach to CCA- (how CCA timing aligns to country situation analysis for national development planning; UNCT's role and that of consultants where applicable; stakeholder engagement to ensure that the CCA will be an extroverted rather than a UN-centric process and product; how regional and cross-border dimensions will be addressed; quality assurance of the CCA, arrangements for keeping this an ongoing function rather than a static document, issues anticipated and how these will be addressed by the UNCT and partners.)

2.3 Cooperation Framework Design Process

{Outline key processes and events planned for the prioritization and design, roles and engagement of the Government, UNCT and other stakeholders.

2.4 UNCT configuration

{Briefly outline the agreed approach to UNCT configuration dialogue and concept note among UNCT members, and between the UNCT and the Government; key issues anticipated and how they will be addressed}.

2.5 Preparation of Funding Framework and Resource Mobilization Strategy

{Briefly describe how the UNCT plans to undertake this work; outline key issues anticipated and how they will be addressed}.

3. Measures to keep the Cooperation Framework process between six to nine months

{Outline planned measures for an efficient CCA/Cooperation Framework preparation process and how transaction costs will be reduced for UN entities and key partners in comparison to the previous process}.

4. Deriving UN entity-specific country development programming instruments from the Cooperation Framework.

{Briefly describe here what the UNCT has agreed upon as the approach to make this happen; outline any issues anticipated and how they will be addressed}

5. Establishment of the new Cooperation Framework Governance and Management Structure

{Briefly outline the process for constituting governance and management structures, their alignment to national structures and their expanded memberships where appropriate and possible. Importantly, also reflect how UN entities not located in the country will be engaged in this process}.

6. Preparation of the UN Joint Work Plans

{Briefly outline how you are going to develop and monitor joint work plans with the full involvement of UN entities not located in country}.

7. Key planning assumptions and risks

{Outline how positive factors that enable the roadmap to be implemented as planned will be leveraged and how potential obstacles will be mitigated}.

8. Budget for the Cooperation Framework process (evaluation, CCA, Cooperation Framework preparation)

{Summarize the resources requirements for Cooperation Framework preparation and how these will be met}.

Part B of Roadmap: Timeline for key milestones of the Cooperation Framework roadmap

Key milestone	Key actions	Timeline (by month)				Lead UN entity	Budget	Support required (HQ, regional, etc.)
		Q1	Q2	Q3	Q4			
Capacity development for the UNCT to engage effectively in the new Cooperation Framework process.	Identify key training							
Evaluations of country programme instruments of UN entities/ preparation of thematic background /research papers to feed into CCA.								
Evaluation of the current UNDAF/ Cooperation Framework completed.								
CCA Report completed (including analysis from the regional level)								
Support to national development planning process, including national situation analysis, SDG prioritization and nationalization in national development plans.								
Cooperation Framework design consultations launched								
Cooperation Framework outcomes & outputs agreed with Government, and document drafted (including feedback from regional level)								
UNCT configuration exercise conducted								
Draft Cooperation Framework document validated with national Government and partners								
Final UN Cooperation Framework signed by the Government and UNCT and officially launched								
Cooperation Framework monitoring and evaluation plan prepared and approved by the UNCT								
Funding framework prepared and approved by the UNCT								
Resource Mobilization Strategy developed and approved by UNCT								
UN entity country development programming instrument approved by governing mechanisms								
Joint National-UN Steering Committee established.								
Cooperation Framework results groups, M&E group, Operations Management Team and communication group established								
Cooperation Framework communication strategy prepared								

First set of joint workplans completed by results groups and approved by UNCT								
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ANNEX 2: Outline of the UN Common Country Analysis Report for the Cooperation Framework

COUNTRY XXXX

FIRST CONDUCTED IN MONTH [XYZ] YEAR 20XX (Updated in Month xxx year 20XX)

NB:

- *The total CCA should not exceed 30-40 pages (excluding Annexes). Be mindful of a reader-friendly publication. Avoid generic and descriptive content. Consider moving analytical details into Annexes.*
- *Refer to the companion pieces for more details on the analytical content for each section.*
- *In each of the sections explain how people and the planet are affected.*
- *Integrate across all sections a thorough analysis of the socio-economic impact of COVID-19 and the status of the recovery in the country.*

1. Executive summary

Content: *This should be a high level/strategic reflection on the CCA, covering the following: The purpose and living nature of new generation CCAs; the methods and time employed to prepare the CCA, including the extent of stakeholders' engagement; the UN's independent conclusion on the status of 2030 Agenda/SDGs in the country and Guiding Principles – Leave-no-one-behind, human rights-based approach, gender equality and women's empowerment; resilience, sustainability and accountability; and the emerging top priorities for advancing progress during the Decade of Action, focussing on the priorities of the next Cooperation Framework period.*

2. Introduction

Content:

In drafting this section please do the following:

- *Briefly state what the new generation CCA is and its purpose*
- *Describe methodology for data collection, analysis, interpretation and report preparation. Highlight any innovations applied in this process. (Including info on the role of consultants, if any were used).*
- *Outline the collective engagement of UN system in the country (irrespective of physical location) and across the development, human rights, humanitarian and peace pillars.*
- *Outline key stakeholders consulted, including government, development partners, International Financial Institutions, civil society, including marginalised groups, private sector, academia, etc.*
- *Describe possible changes to and lessons learned from the CCA process this time round.*

3. Progress towards 2030 Agenda and SDGs in the Country, including Commitments towards International Norms and Standards

Content: The below sub-headings are elements that the CCA needs to cover. The structure and sequence of these sections can naturally be adjusted based on the methodology chosen, the country development context etc. This is intended as guidance. **Throughout** these elements however, and in line with the guiding principles of the CCA and Cooperation Framework, the RC and UNCT do need to meet the following minimal requirements viz:

(a) Building on UN assessment of regional progress, analyse progress towards, challenges and opportunities for national 2030 Agenda/SDG achievement, national priorities and plans, as well as commitments towards international norms and standards, including by undertaking root cause analysis of each development challenge.

(b) Make use of analysis, evidence and data from a variety of sources, national (including State or public reports, academic, think tank, and civil society), regional as well as international (including reports from UN and multilateral organizations, IFIs, development partners, academic and so on). Disaggregated data should be drawn upon whenever possible. Gaps in data and data-capacity gaps should also be assessed.

(c) Identify human rights standards relevant to development challenges, map relevant international obligations and commitments made by the country in terms of human rights, LNOB, gender and the environment and connect recommendations from human rights mechanisms with the analysis on challenges and opportunities for SDG achievement.

(d) Include integrated (causal) analysis within and across issues and subheadings to reflect the integrated nature of the SDGs; and identify underlying causes of development challenges and non-fulfilment of rights

(e) Offer forward-looking analysis that – based on development trends, including previous CCAs, risks and so forth – develops scenarios and outlines their implications for the country's trajectory to 2030;

(f) Identify cross border/regional progress, challenges, opportunities and threats (NB: This would include consultation with UNCTs in the neighbouring countries about their analysis of common regional issues).

(g) Consider institutional capacity gaps and challenges.

- **Overview of population groups (at risk of being) left behind and main drivers of exclusion**

Content: This section provides an overview of populations and population subgroups, who is (already or at risk of being) left behind and why, i.e. multiple forms of exclusion and their intersection, drivers, manifestations, patterns and consequences for achieving 2030 Agenda noting the intersectionality across sub-groups. It could look at e.g., (1) discrimination, (2) governance, (3) socio-economic status, (4) geography (5) vulnerability and shocks; analyze what causes people to be left behind and conduct root cause, role patterns and capacity gap analysis in line with the HRBA methodology

- **Social development and exclusion analysis**

Content: For example, analyze trends in investment and outcomes for human development (e.g. education, health etc), leaving-no-one-behind, gender equality and women's

empowerment, resilience, accountability, and the underlying social structure of the society and its implications for more equitable development. In undertaking this analysis, it is particularly important to identify those left behind in each country context, but also those left furthest behind, including by analyzing these groups situation based on disaggregated data

- **Economic transformation analysis**

Content: For example, Including references to country profiles prepared by the UN Regional Economic Commissions, analyze the extent to which economic transformation is advanced to simultaneously maximize sustainable social, environmental and economic outcomes and build a new social contract; the status of economic and other inequalities and potential of distribution of income and wealth, public services; the extent to which budgets and economic and fiscal policies support greater social spending on services; digital/ICT transformation, adequacy and quality of employment for an inclusive, resilient and green economy. A people-centered approach will investigate how economic transformation is impacting vulnerable groups and risks of exclusion. Refer to data and evidence from sources outlined in the economic transformation companion piece.

- **Environment and climate change analysis and progress on global commitments**

Content: For example, progress, challenges and opportunities of environmental and climate change issues, including global commitments, and their linkages to economic growth and social inclusion; the economic and social 'value' of the environment; trends around natural resource management, energy mix, climate adaptation and disaster risk management, blue economy, protection of ecosystems, amongst others. This should include an analysis of how environmental problems impact on people, including particularly impacted groups, as well as a root cause analysis of environmental problems, with related role patterns and capacity gaps analysis.

- **Governance and Political Analysis**

Content: For example, trends of democratic governance (openness, transparency, accountability, representation, rule of law, civic space, human rights), and implications of political dynamics and institutional structures for sustainable development.

- **Multidimensional SDG Risk Analysis**

Content: For example, using the SDG-based risk framework present the information innovatively in graphic form and summarize key risks and the capacities to prevent, resist, absorb, adapt, respond and recover from hazards/shocks, while attaching the completed tool as annex with details. Consider integrating the risk analysis across all elements of this section 3.

- **Prevention and humanitarian-development-peace linkages**

Content: For example, conduct a conflict analysis and identify drivers of fragility that can put stability and the achievement of the SDGs at risk and will require anticipatory action; in countries where there is a Humanitarian Response Plan and/ or a Comprehensive Refugee Response Framework and/ or an Integrated Strategic Framework analyse the progress and challenges in the interface and linkages between the humanitarian, human rights, development and peace contexts.. Such analysis is important for subsequently designing results shared results for the different instruments.

- **National vision and development plan vis-à-vis the 2030 Agenda with links to regional and global frameworks/goals, when relevant**

Content: For example, examine the national vision and national development plan, the extent to which they reflect the 2030 Agenda/SDGs and other regional/global frameworks vis-à-vis the overall progress towards SDGs. Highlight national progress around developing and integration of national SDG indicators as well as institutional mechanism and systems for advancing the 2030 Agenda and regional/global frameworks.

- **Financial landscape analysis**

Content: For example, analyze amongst others the volume, mix, duration and sequencing of international, domestic, private and public and their alignment with national development strategies and SDG plans is examined? Does CCA identify barriers and opportunities to unblocking and mobilizing financing and new financing sources/instruments? Does this analysis build on human rights and gender budgeting assessments?

- **Stakeholder/ Partnership Analysis**

Content: For example, map key stakeholders in the country and their contributions or lack of engagement with the 2030 Agenda/SDGs in the country. This can also include the cross-border and regional stakeholders with potential for engagement in south-south/triangular cooperation with the country. Consider integrating the risk analysis into previous elements of Section 3.

4. Conclusions

Content: This section outlines the UN's independent views on the 5-10 key development challenges and opportunities that will have the most catalytic impact to achieve the SDGs.

This section is NOT a recommendation section what the UN should focus on in the Cooperation Framework (this will be part of the prioritization exercise in the Cooperation Framework design process). Instead, this section highlights broadly the top priority issues which **government and all other stakeholders, including the UN**, ought to address to advance 2030 Agenda/SDGs, and hence becomes the basis for broader policy dialogues with government and other key stakeholders.

In the next step of strategic prioritisation, which happens after the CCA, the UN will identify those development issues for which it has the mandate and capacity to address, amongst other criteria.

5. Annexes

Content: For example, List all the sources of data/evidence for preparing the CCA; modality for keeping the CCAs update in a rolling manner.

END

ANNEX 3: The Cooperation Framework Outline

UNITED NATIONS COOPERATION FRAMEWORK

COUNTRY X
YEAR 20XX-20YY

[Joint Statement and Signature Page^{\[1\]}](#)

Executive Summary

Highlight essential information about the context of the Cooperation Framework (500 words).

- Outline briefly consultative process that led to development of this Cooperation Frameworks.
- A brief overview of the national vision for sustainable development, key national development priorities, country progress towards achieving the 2030 Agenda and key development challenges, gaps and opportunities in achieving SDGs and international norm and standards, as determined by the CCA.
- Describe how the UN development system will support the country to accelerate progress towards the 2030 Agenda during the Cooperation Framework cycle.
- Articulate the theory of change that underpins the Cooperation Framework, illustrating (i) how and why desired change is expected to happen in the country, (ii) the risks and bottlenecks to be addressed; (iii) how the UN's value proposition expressed in the Cooperation Framework outcomes and outputs complements, partners with and leverages work of other stakeholders to collectively achieve these desired changes.
- Present the Cooperation Framework
- Explain how the UNCT configuration has been tailored to deliver on the Cooperation Framework commitment and how the UN will account to Government and stakeholders over this period.

CHAPTER 1: COUNTRY PROGRESS TOWARDS the 2030 AGENDA (No more than 2 pages)

Focus: Contextualise the Cooperation Framework design in the broader country landscape.

- Based on the CCA, summarily describe national context and key conclusions on gaps challenges, and opportunities for achieving 2030 Agenda/SDGs, human rights and international norms and standards, in the country.
- Summarily describe the groups of persons furthest left behind and why that is the case.

CHAPTER 2: UN DEVELOPMENT SYSTEM SUPPORT TO THE 2030 AGENDA (No more than 15 pages)

Focus: Outline and justify the selection of priorities of UN development system support to the country to accelerate progress towards the 2030 Agenda and SDG targets

2.1. From CCA to Cooperation Framework Priorities

Briefly describe the consultative prioritisation of the development gaps, challenges, and opportunities the Cooperation Framework focuses on, and explain why these choices were made over others

2.2. THEORY OF CHANGE for the Cooperation Framework Priorities

- Articulate a clear, evidence-based and robust theory of change that describes the interdependent changes necessary for the country to achieve the 2030 Agenda; illustrates how and why the desired change is expected to happen in the country; and elaborates the assumptions and risks and bottlenecks to be addressed.
- Clearly state the priority areas that the UN will focus on and how these are situated within the above theory of change. Describe why the UN development system is collectively well placed to support these priority areas in comparison to other development stakeholders. Be clear on the value add of the UN system, and how its work will complement, partner with and leverage the work of other stakeholders for collective transformational results.

2.4. COOPERATION FRAMEWORK OUTCOMES AND PARTNERSHIPS^{[2][3]}

COOPERATION FRAMEWORK OUTCOME 1: [INSERT FULL TEXT OF OUTCOME]

For each outcome provide the following information:

Theory of change^[4]

Articulate how each outcome is situated in the overall theory of change, the necessary changes for the country to progress towards achieving the SDG in this area, and how planned support under each outcome contributes to these changes. Outline how the UN complements, partners and leverages the work of other stakeholders to collectively achieve desired change at outcome level. Articulate the pathways to maximize the synergies across the SDG indicators and targets covered by other Cooperation Framework outcomes and those outside the scope of the Cooperation Framework

UN development support and partnerships to achieve the outcomes

- UN outputs: Outline how the key contributions the UN will make towards achieving the stated outcomes, and what other contributions need to happen and by whom for the outcome to be achieved.
- LNOB: Explain which groups of people stand to benefit from UN support to the outcome and how this is expected to happen.
- Sustainability: Describe how the UN development system will support strengthening of national capacity and institutional arrangements to scale up impact.

- ***Partnership***: Discuss the type of partnerships necessary for the achievement of outcomes, including any existing or planned partnerships, external and internal, for the duration of the Cooperation Framework. Describe how the UN development system will partner with others to contribute to different dimensions of desired change.
- ***Nexus***: As applicable, elaborate how each outcome connects with other planning frameworks for human rights, humanitarian, development and action such as the country reviews undertaken by the different UN human rights mechanisms, the Integrated Strategic Framework in mission settings, and the Humanitarian Response Plan/Refugee Response Plans, and to what extent the Cooperation Framework is aligned to “collective outcomes.” Synergies with regional/continental frameworks should be also be explored.
- ***Cross-border/regional dimensions***:
- ***Major assumptions***: Please state 1-3 key conditions which must be met for this outcome to be achieved.
- ***UNCT Configuration***: List the UN entities that will support this outcome and briefly describe the collective expertise, capacities and assets that will be leveraged in support of this outcome and how.

CHAPTER 3: COOPERATION FRAMEWORK IMPLEMENTATION PLAN (*no more than 5 pages*)

Focus: How the UN development system will work differently and collectively to deliver the Cooperation Framework in support of 2030 Agenda?

3.1. Cooperation Framework Governance

- *Describe the joint National-UN Steering Committee composition, Organogram and roles and responsibility, and its relationship to the management structure.*

3.2. Cooperation Framework Management Structure

- *Describe how the UNCT will organise itself to deliver the Cooperation Framework results: UNCT, Results groups, Monitoring, Evaluation and Learning Group; Communication Group; Operations Management Team, and any other group that the UNCT has decided to form.*
- *Explain how UN entities not physically present in the country will engage with these management structures.*
- *Explain if and how these groups will be linked to national structures*
- *Explain engagement with partners and how transaction costs will be reduced for stakeholders.*

3.3. Resourcing the Cooperation Framework

- *Briefly explain how the UNCT will approach determining the costs of the Cooperation Framework.*
- *Briefly explain the UNCT’s planned joint approach to mobilising resources for the Cooperation Framework, promoting greater coordination, collaboration, and reduced competition amongst UN entities.*
- *Specify how funding mobilized will be used to leverage SDG financing.*

3.4 Derivation of UN entity country programming instruments from the Cooperation Framework

- Explain how the UNCT will ensure that agency programming instruments will serve to implement the Cooperation Framework outcomes and outputs.

3.4. Joint Workplans

- Describe how the UNCT will develop its joint work plans to collectively deliver on the expected results. Explain how UNCT members entities physically present and those based elsewhere will engage with this.
- Outline how the UNCT will ensure that joint work plans respond to an evolving country context.

3.5. Business Operations Strategy in support of the Cooperation Framework

- Outline major plans to improve business operations cost-efficiencies through new BOS strategies.

NB: The Annex xx on Programme and Risk Management clauses contains mandatory clauses that need to be integrated in the implementation, monitoring and evaluation sections of the Cooperation Framework. You have the option to integrate this or attach it as a separate annex.

^[1] Includes a joint statement on the partnership compact between the UN development system and the Government

^[2] The number of Cooperation framework outcomes may be limited to ensure focused support.

^[3] Outputs are not required to be articulated in the Cooperation Framework but should be developed in parallel as they will be central to achieving future steps in the Cooperation Framework cycle, particularly vis-à-vis financing requirements.

^[4] It is suggested to present the theory of change with a visual diagram.

END

ANNEX 4: Guidance on the Legal Annex to the Cooperation Framework

UNSDG Principals endorsed in May 2022

1.0 Background

The 2016 Quadrennial Comprehensive Policy Review of operational activities for development of the United Nations system of 21 December 2016 ("[2016 QCPR](#)") requested the *"United Nations country teams under the leadership of the resident coordinators to strengthen the use of the United Nations Development Assistance Framework, or equivalent planning framework as a strategic instrument"* (paragraph 50(a), United Nations General Assembly resolution A/RES/71/243). General Assembly resolution 72/279 on the repositioning of the United Nations development system in the context of the 2016 QCPR elevated the United Nations Development Assistance Framework, now renamed the United Nations Sustainable Development Cooperation Framework ("UNSDCF" or "Cooperation Framework"), to *"the most important instrument for the planning and implementation of United Nations development activities in each country... to be prepared and finalized in consultation and agreement with national Governments"* (paragraph 1, A/RES/72/279). The 2020 Quadrennial Comprehensive Policy Review of 21 December 2020 underscored *"the importance for all United Nations development system entities to prepare and finalize their entity-specific country development programme documents in accordance with the agreed priorities of the United Nations Sustainable Development Cooperation Framework and in consultation and agreement with host Governments..."* (paragraph 74, United Nations General Assembly resolution A/RES/75/233).

- The Cooperation Framework Legal Annex (the "Legal Annex") is an integral part of the Cooperation Framework document concluded between the United Nations including its Funds, Programmes and other subsidiary organs, and other organizations of the United Nations system ("UN System Organizations"), and the Government. The Legal Annex references the principal cooperation, assistance, or other agreements already signed between the UN System Organizations and the Government (the "UN Agreements") which, together with the Convention on the Privileges and Immunities of the United Nations of 13 February 1946 (the "General Convention") and/or the Convention on the Privileges and Immunities of the Specialized Agencies of 21 November 1947 (the "Specialized Agencies Convention") as applicable, form the primary existing legal basis for the relationship between the Government and each UN System Organization for supporting the country to deliver on the Cooperation Framework. The legal instruments and UN Agreements referenced in the Legal Annex are non-exhaustive and without prejudice to any other legal instruments the Government may enter into, including additional agreements with UN System Organizations, for the purpose of their activities in the country.

2.0 Instructions on how to complete the Cooperation Framework Legal Annex.

- No **new** clauses will be introduced that have not been part of a UN Agreement, the General Convention or the Specialized Agencies Convention, as this may be questioned

by Governments, leading to delay or failure to sign the Cooperation Framework document. However, the text of the Legal Annex in Section 3.0, paragraph 4(i) below, provides that a Government undertakes to apply the respective provisions of the General Convention and/or Specialized Agencies Convention, including its relevant Annexes, to UN System Organizations.

- In reviewing the Legal Annex in Section 3.0 below, UN System Organizations are required to consult with the Legal Offices of their respective headquarters. The Legal Annex includes references to the UN Agreements for ten UN System Organizations and makes provision for the insertion of the UN Agreements of additional UN System Organizations that are not already listed. In particular, UN System Organizations, including those that are not currently reflected in the Legal Annex, should seek advice directly from their Legal Offices on the references to their respective UN Agreements listed in the Legal Annex, as well as the specific text for additional UN Agreements to be included. This consultation should be undertaken at the beginning of the Cooperation Framework preparation process and, in any event, prior to the submission of the Legal Annex text in any form to the Government, rather than in the finalization stage, to prevent delay in finalization and signature of the Cooperation Framework document.
- The Legal Annex in Section 3.0 below should be extracted from this guidance, completed as appropriate in accordance with the advice received from the UN System Organization's Legal Office, adopted verbatim (with respect to the text already set out in Section 3.0) and annexed to the first draft Cooperation Framework document presented for discussion with the Government. This will allow queries from the Government to be answered at an early stage of the Cooperation Framework finalization process.
- The Legal Annex must remain an integral part of all the evolving drafts of the Cooperation Framework document, including the final draft presented for signature by the Government and UN System Organizations.

3.0 The Cooperation Framework Legal Annex text

As noted above, the Legal Annex references the principal UN Agreements which, together with the General Convention and/or the Specialized Agencies Convention as applicable, form the primary existing legal basis for the relationship between the Government and each UN System Organization for supporting the country to deliver on the Cooperation Framework (20—to 20—). The legal instruments and UN Agreements referenced in the Legal Annex are non-exhaustive and without prejudice to any other legal instruments the Government may enter into, including

additional agreements with UN System Organizations for the purpose of their activities in the country.

The text in the box below is mandatory for the Legal Annex

1. Whereas the Government of _____ (the “Government”) has entered into the agreements listed below with the United Nations, including its Funds, Programmes and other subsidiary organs, and other organizations of the United Nations system (“UN System Organizations”), which are applicable to their programme activities in [country] (the “UN Agreements”) under the United Nations Sustainable Development Cooperation Framework (the “Cooperation Framework”);

2. Whereas the UN Agreements, together with the Convention on the Privileges and Immunities of the United Nations of 13 February 1946 (the “General Convention”) and/or the Convention on the Privileges and Immunities of the Specialized Agencies of 21 November 1947 (the “Specialized Agencies Convention”) as applicable, form the primary existing legal basis for the relationship between the Government and each UN System Organization for supporting the country to deliver on the Cooperation Framework, and are non-exhaustive and without prejudice to any other legal instruments the Government may enter into, including additional agreements with UN System Organizations for the purpose of their activities in the country:

a) **With the United Nations Development Programme (UNDP)**, a basic agreement to govern UNDP’s assistance to the country, which was signed by the Government and [UNDP (the “Standard Basic Assistance Agreement” or “SBAA”)] [OR *name of the UNDP predecessor entity that signed the agreement*], which is one of the predecessor legal entities of UNDP (the “Basic Agreement”) on _____. This Cooperation Framework, together with a joint results group work plan specifying UNDP programme activities further to this Cooperation Framework (which shall form part of this Cooperation Framework and is incorporated herein by reference), constitute together a “project document” as referred to in the [SBAA] [OR Basic Agreement plus Supplemental Provisions to the project document, attached hereto as Annex []]. The implementing partner and UNDP will sign a project agreement containing the specific arrangements for each project further to the relevant project document.

b) **With the United Nations Children’s Fund (UNICEF)**, a Basic Cooperation Agreement (BCA) concluded between the Government and UNICEF on ___ [and revised on___].

c) **With the Office of the United Nations High Commissioner for Refugees (UNHCR)**, a Country Co-operation Agreement concluded between the Government and UNHCR on ___ [and revised on___].

d) **With the World Food Programme (WFP)**, [the text to be used in this section depends on the specific legal framework in the country. Country Offices are requested to consult with WFP's Legal Office for the correct text to be used.]

e) **With the United Nations Population Fund (UNFPA)**, [the text to be used in this section depends on the specific legal framework in the country. A menu of options for the appropriate text is available in the UNFPA Policies and Procedures Manual (PPM) at the following link:

<http://www.unfpa.org/sites/default/files/admin-resource/Legal%20basis%20of%20cooperation%20UNDAF.pdf>

UNFPA Country Offices are requested to consult with UNFPA's Legal Unit, OED, for the correct text to be used.]

f) **With the International Labour Organization (ILO)**, the “[title of bilateral agreement containing privileges and immunities]” concluded between the Government and ILO on___;

g) **With the United Nations Industrial Development Organization (UNIDO)**, in conformity with General Conference decision GC.1/Dec.40, adopted on 12 December 1985, and Director-General's bulletin UNIDO/DG/B.18/REV.1, dated 15 May 1992, the Standard Basic Cooperation Agreement (“SBCA”) concluded with the Government on [date]. If the Government has not concluded a SBCA, the provision of technical assistance will be subject to the Government's acceptance to apply to the project document signed with UNIDO, *mutatis mutandis*, the provisions of either the SBAA concluded with UNDP or the Technical Assistance Agreement concluded with the United Nations and Specialized Agencies. In the absence of any of the foregoing agreements, the provision of technical assistance will be subject to the Government's acceptance of the “Basic Terms and Conditions Governing UNIDO Projects”.

h) **With the Food and Agriculture Organization of the United Nations (FAO)**, an Agreement for the establishment of the FAO Representation [subregional or regional office] in [country] concluded between the Government and FAO on ____.

i) **With the World Health Organization (WHO)**, a Basic Agreement for the Provision of Technical Advisory Assistance signed by the Government and WHO on ____.

j) **With the International Organization for Migration (IOM)**, the “[*title of bilateral agreement containing privileges and immunities*]” concluded between the Government and IOM on ____ [and revised on____].

k) **With the [relevant UN System Organization]** _____[Add in references to other UN System Organizations as appropriate. Text to be provided by their respective headquarters’ legal offices]

3. **With respect to all UN System Organizations:** Assistance to the Government shall be made available and shall be furnished and received in accordance with the relevant and applicable resolutions, decisions, rules and procedures of each UN System Organization.

4. Without prejudice to the above, the Government shall:

(i) apply to each UN System Organization and its property, funds, assets, officials and experts on mission the provisions of the General Convention and/or the Specialized Agencies Convention; and

(ii) accord to each UN System Organization, its officials and other persons performing services on behalf of that UN System Organization, the privileges, immunities and facilities set out in the UN Agreement applicable to such UN System Organization.

5. United Nations Volunteers performing services on behalf of a UN System Organization shall be entitled to the privileges and immunities accorded to officials of such UN System Organization.

6. Any privileges, immunities and facilities granted to a UN System Organization under the Cooperation Framework shall be no less favourable than those granted by the Government to any other UN System Organization signatory of the Cooperation Framework.

7. Without prejudice to the UN Agreements, the Government shall be responsible for dealing with any claims which may be brought by third parties against any of the UN System Organizations and their officials, experts on mission or other persons performing services on their behalf, and shall hold them harmless in respect of any claims and liabilities resulting from operations under the Cooperation Framework, except where it is mutually agreed by the Government and the relevant UN System Organization(s) that such claims and liabilities arise

from gross negligence or misconduct of that UN System Organization, or its officials, or persons performing services.

8. Nothing in or relating to this Cooperation Framework shall be deemed:

(i) a waiver, express or implied, of the privileges and immunities of any UN System Organization; or

(ii) the acceptance by any UN System Organization of the jurisdiction of the courts of any country over disputes arising from this Cooperation Framework,

whether under the General Convention or the Specialized Agencies Convention, the UN Agreements, or otherwise, and no provisions of this Cooperation Framework shall be interpreted or applied in a manner, or to an extent, that is inconsistent with such privileges and immunities.

END

ANNEX 5: Instructions for Integrating Programme and Risk Management Clauses into the Cooperation Framework

UNSDG Principals endorsed in May 2022

Instructions: The Programme Management and Accountability supplement consists of important clauses related to the modality for programme execution, Harmonized Cash Transfers (HACT), resource mobilization, and monitoring and evaluation as part of implementing the Cooperation Framework. For overall coherence of the Cooperation Framework narrative, simply treat this as a separate annex (Annex 5) to the Cooperation Framework. Therefore, national Government signature on the Cooperation Framework document signifies commitment to these programme management and risk management clauses.

Annex 5: Programme Management & Accountability in the Cooperation Framework

1. Introduction

The programme will be nationally executed under the overall co-ordination of _____ (Government Co-ordinating Authority). Government coordinating authorities for specific UN system agency programmes are noted in Annex ---. Government Ministries, NGOs, INGOs and UN system agencies will implement programme activities. The Cooperation Framework will be made operational through the development of joint work plan(s) (JWPs)¹ and/or agency-specific work plans and project documents as necessary which describe the specific results to be achieved and will form an agreement between the UN system agencies and each implementing partner as necessary on the use of resources. To the extent possible the UN system agencies and partners will use the minimum documents necessary, namely the signed Cooperation Framework and signed joint or agency-specific work plans and project documents to implement programmatic initiatives. However, as necessary and appropriate, project documents can be prepared using, inter alia, the relevant text from the Cooperation Framework and joint or agency-specific work plans and / or project documents².

Cash assistance for travel, stipends, honoraria and other costs shall be set at rates commensurate with those applied in the country, but not higher than those applicable to the United Nations system (as stated in the ICSC circulars).

2. Programme Implementation (Mandatory HACT text)

Instructions: The HACT clauses are mandatory for UN system entities that following HACT procedures, and these entities should be specified in the Cooperation Framework document. The HACT clauses must be included verbatim. In integrating HACT clauses, where text refers to HACT processes, it must be clearly noted

¹ As per the UNDG Standard Operating Procedures (SOPs) for countries adopting the “Delivering as One” approach.

² In the case of UNDP, the Government Coordinating Authority will nominate the Government Co-operating Agency directly responsible for the Government’s participation in each UNDP-assisted workplan. The reference to “Implementing Partner(s)” shall mean “Executing Agency(s)” as used in the SBAA. Where there are multiple implementing partners identified in a workplan, a Principal Implementing Partner will be identified who will have responsibility for convening, coordinating and overall monitoring (programme and financial) of all the Implementing Partners identified in the workplan to ensure that inputs are provided and activities undertaken in a coherent manner to produce the results of the workplan.

that that the HACT-specific mechanisms apply only to those UN system agencies following HACT procedures.

Text in [square brackets] is intended as advice to drafters of the Cooperation Framework to tailor the text to the country context.

All cash transfers to an Implementing Partner are based on the Work Plans (WPs³) agreed between the Implementing Partner and the UN system agencies.

Cash transfers for activities detailed in work plans (WPs) can be made by the UN system agencies using the following modalities:

1. Cash transferred directly to the Implementing Partner:
 - a. Prior to the start of activities (direct cash transfer), or
 - b. After activities have been completed (reimbursement);
2. Direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner;
3. Direct payments to vendors or third parties for obligations incurred by UN system agencies in support of activities agreed with Implementing Partners.

[In countries where it has been agreed that cash will be transferred to institutions other than the Implementing Partner (e.g., the Treasury) please replace with the following text:]

Cash transfers for activities detailed in work plans (WPs) can be made by the UN system agencies using the following modalities:

1. Cash transferred to the [national institution] for forwarding to the Implementing Partner:
 - a. Prior to the start of activities (direct cash transfer), or
 - b. After activities have been completed (reimbursement).
2. Direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner.
3. Direct payments to vendors or third parties for obligations incurred by UN system agencies in support of activities agreed with Implementing Partners.

Where cash transfers are made to the [national institution], the [national institution] shall transfer such cash promptly to the Implementing Partner.

Direct cash transfers shall be requested and released for programme implementation periods not exceeding three months. Reimbursements of previously authorized expenditures shall be requested and released quarterly or after the completion of activities. The UN system agencies shall not be obligated to reimburse expenditure made by the Implementing Partner over and above the authorized amounts.

Following the completion of any activity, any balance of funds shall be refunded or programmed by mutual agreement between the Implementing Partner and the UN system agencies.

Cash transfer modalities, the size of disbursements, and the scope and frequency of assurance activities may depend on the findings of a review of the public financial management capacity in the case of a Government Implementing Partner, and of an assessment of the financial management capacity of the non-UN⁴ Implementing Partner. A qualified consultant, such as a

³ Refers to results Groups' or agency specific annual, bi-annual or multiyear work plans

⁴ For the purposes of these clauses, "the UN" includes the IFIs.

public accounting firm, selected by the UN system agencies may conduct such an assessment, in which the Implementing Partner shall participate. The Implementing Partner may participate in the selection of the consultant.

Cash transfer modalities, the size of disbursements, and the scope and frequency of assurance activities may be revised in the course of programme implementation based on the findings of programme monitoring, expenditure monitoring and reporting, and audits.

In case of direct cash transfer or reimbursement, the UN system agencies shall notify the Implementing Partner of the amount approved by the UN system agencies and shall disburse funds to the Implementing Partner in [here insert the number of days as per UN system agency schedule].

In case of direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner; or to vendors or third parties for obligations incurred by the UN system agencies in support of activities agreed with Implementing Partners, the UN system agencies shall proceed with the payment within [here insert the number of days as agreed by the UN system agencies].

The UN system agencies shall not have any direct liability under the contractual arrangements concluded between the Implementing Partner and a third party vendor.

Where the UN system agencies and other UN system agency provide cash to the same Implementing Partner, programme monitoring, financial monitoring and auditing will be undertaken jointly or coordinated with those UN system agencies.

A standard Fund Authorization and Certificate of Expenditures (FACE) report, reflecting the activity lines of the work plan (WP), will be used by Implementing Partners to request the release of funds, or to secure the agreement that [UN organization] will reimburse or directly pay for planned expenditure. The Implementing Partners will use the FACE to report on the utilization of cash received. The Implementing Partner shall identify the designated official(s) authorized to provide the account details, request and certify the use of cash. The FACE will be certified by the designated official(s) of the Implementing Partner.

Cash transferred to Implementing Partners should be spent for the purpose of activities and within the timeframe as agreed in the work plans (WPs) only.

Cash received by the Government and national NGO Implementing Partners shall be used in accordance with established national regulations, policies and procedures consistent with international standards, in particular ensuring that cash is expended for activities as agreed in the work plans (WPs), and ensuring that reports on the utilization of all received cash are submitted to [UN organization] within six months after receipt of the funds. Where any of the national regulations, policies and procedures are not consistent with international standards,

the UN system agency financial and other related rules and system agency regulations, policies and procedures will apply.

In the case of international NGO/CSO and IGO Implementing Partners cash received shall be used in accordance with international standards in particular ensuring that cash is expended for activities as agreed in the work plans (WPs), and ensuring that reports on the full utilization of all received cash are submitted to [UN organization] within six months after receipt of the funds.

To facilitate scheduled and special audits, each Implementing Partner receiving cash from [UN organization] will provide UN system agency or its representative with timely access to:

- all financial records which establish the transactional record of the cash transfers provided by [UN system agency], together with relevant documentation;
- all relevant documentation and personnel associated with the functioning of the Implementing Partner's internal control structure through which the cash transfers have passed.

The findings of each audit will be reported to the Implementing Partner and [UN organization]. Each Implementing Partner will furthermore:

- Receive and review the audit report issued by the auditors.
- Provide a timely statement of the acceptance or rejection of any audit recommendation to the [UN organization] that provided cash (and where the SAI has been identified to conduct the audits, add: and to the SAI) so that the auditors include these statements in their final audit report before submitting it to [UN organization].
- Undertake timely actions to address the accepted audit recommendations.

Report on the actions taken to implement accepted recommendations to the UN system agencies (and where the SAI has been identified to conduct the audits, add: and to the SAI), on a quarterly basis (or as locally agreed).

To include VERBATIM: (Select from the following two options):

Option 1: [Where an assessment of the Public Financial Management system has confirmed that the capacity of the Supreme Audit Institution is high and willing and able to conduct scheduled and special audits]:

The Supreme Audit Institution may undertake the audits of Government Implementing Partners. If the SAI chooses not to undertake the audits of specific Implementing Partners to the frequency and scope required by the UN system agencies, the UN system agencies will commission the audits to be undertaken by private sector audit services⁵.

⁵ Seen through a South-South lens, the capacity assessment process presents an opportunity to identify capacity assets that a particular country could offer to other developing countries and the capacity gaps that could be filled by other developing countries. For UNDP, the audit of NGO or nationally implemented projects can be assigned to the national Supreme Audit Institution (SAI) only on the condition that the institution has a demonstrated capacity to carry out the audits in an independent manner. To this effect, the Office of Audit and Investigations (OAI) has

Option 2: [Where no assessment of the Public Financial Management Capacity has been conducted, or such an assessment identified weaknesses in the capacity of the Supreme Audit Institution]:

The audits will be commissioned by the UN system agencies and undertaken by private audit services.

3.0 Mobilising Resources for the Cooperation Framework (mandatory text)

The UN system agencies will provide support to the development and implementation of activities within the Cooperation Framework, which may include technical support, cash assistance, supplies, commodities and equipment, procurement services, transport, funds for advocacy, research and studies, consultancies, programme development, monitoring and evaluation, training activities and staff support. Part of the UN system entities' support may be provided to non-governmental [and civil society] organizations as agreed within the framework of the individual workplans and project documents.

Additional support may include access to UN organization-managed global information systems, the network of the UN system agencies' country offices and specialized information systems, including rosters of consultants and providers of development services, and access to the support provided by the network of UN specialized agencies, funds and programmes. The UN system agencies shall appoint staff and consultants for programme development, programme support, technical assistance, as well as monitoring and evaluation activities.

Subject to annual reviews and progress in the implementation of the programme, the UN system agencies' funds are distributed by calendar year and in accordance with the Cooperation Framework. These budgets will be reviewed and further detailed in the workplans and project documents. By mutual consent between the Government and the UN development system entities, funds not earmarked by donors to UN development system agencies for specific activities may be re-allocated to other programmatically equally worthwhile activities.

The Government will support the UN system agencies' efforts to raise funds required to meet the needs of this Cooperation Framework and will cooperate with the UN system agencies including: encouraging potential donor Governments to make available to the UN system agencies the funds needed to implement unfunded components of the programme; endorsing the UN system agencies' efforts to raise funds for the programme from other sources, including the private sector both internationally and in [name of country]; and by permitting contributions from individuals, corporations and foundations in [name of country] to support this programme which will be tax exempt for the Donor, to the maximum extent permissible under applicable law.

made available on its Intranet site guidance on the assessment of SAIs along with a questionnaire that will need to be properly completed, signed and communicated to OAI to support that due diligence has been exercised prior to opting for having such audits undertaken by the national SAI. Please refer to OAI Intranet site for further details.

4. Cooperation Framework Monitoring and Evaluation (*mandatory text*)

Implementing Partners agree to cooperate with the UN system agencies for monitoring all activities supported by cash transfers and will facilitate access to relevant financial records and personnel responsible for the administration of cash provided by the UN system agencies.

To that effect, Implementing Partners agree to the following:

1. Periodic on-site reviews and spot checks of their financial records by the UN system agencies or their representatives, as appropriate, and as described in specific clauses of their engagement documents/ contracts with the UN system agencies'
2. Programmatic monitoring of activities following the UN system agencies' standards and guidance for site visits and field monitoring,
3. Special or scheduled audits. Each UN organization, in collaboration with other UN system agencies (where so desired and in consultation with the respective coordinating Ministry) will establish an annual audit plan, giving priority to audits of Implementing Partners with large amounts of cash assistance provided by the UN system agencies, and those whose financial management capacity needs strengthening.

END