

WORKING WITH THE UNITED NATIONS IN  
FRAGILE AND CONFLICT-AFFECTED SITUATIONS  
A RESOURCE NOTE FOR WORLD BANK STAFF

99007



© 2015 The World Bank Group

1818 H Street, NW

Washington, DC 20433

Telephone: 202-473-1000

Email: [un-wbpartnership@worldbank.org](mailto:un-wbpartnership@worldbank.org)

World Bank Fragility, Conflict and Violence website: [www.worldbank.org/fragilityandconflict](http://www.worldbank.org/fragilityandconflict)

UN/WB Fragility and Conflict Partnership Trust Fund website: <http://go.worldbank.org/36WP8P7980>

All rights reserved.

This paper is a joint product of the Steering Committee of the UN/WB Fragility and Conflict Partnership Trust Fund. The United Nations and World Bank Group do not guarantee the accuracy of the data included in this work. The views expressed herein are those of the authors and do not necessarily represent the views of the World Bank, its Executive Directors or the governments they represent.

#### Rights and Permissions

The material in this publication is copyrighted. Copying and/or transmitting portions or all of this work without permission may be a violation of applicable law. The World Bank Group encourages dissemination of its work and will normally grant permission to reproduce portions of the work promptly.

For permission to photocopy or reprint any part of this work, please send a request with complete information to the Copyright Clearance Center Inc., 222 Rosewood Drive, Danvers, MA 01923, USA; telephone 978-750-8400; fax 978-750-4470; Internet: [www.copyright.com](http://www.copyright.com).

#### **Cover: UN Photo/Isaac Billy**

*International Day of Peace Celebrated in South Sudan:* Members of UN Police and the South Sudan Police Services taking part in a rope pulling competition, hold hands in camaraderie, during celebrations to mark the International Day of Peace. The Day is observed annually on 21 September.



*“ I THINK WE CAN BUILD A MULTILATERAL SYSTEM THAT THE WORLD HAS NEVER SEEN BEFORE; ONE IN WHICH RATHER THAN COMPETING ON THE GROUND, THE MULTILATERAL INSTITUTIONS KNOW THAT THEY HAVE TO COOPERATE... BECAUSE THE NEEDS ARE SO GREAT, THE DISASTERS IN THE WORLD HAVE BECOME SO SEVERE, THE REQUIREMENT FOR JOINT ACTION IS SO HIGH THAT EVERY STAFF MEMBER IN THE WORLD BANK AND THE UN HAS TO UNDERSTAND WHAT WE EXPECT OF THEM AND WE’RE GOING TO HOLD THEM TO ACCOUNT – TO WORK TOGETHER. ”*

– World Bank Group President Jim Yong Kim  
UN TV interview, October 2013

# PREFACE

This resource note provides World Bank staff with an overview of United Nations operations in fragile and conflict-affected situations (FCS), explains how to collaborate effectively with the UN, and describes methodologies and tools that support partnership. The note has been guided by the principles of partnership outlined in the [UN-WB Partnership Framework Agreement for Crisis and Post-Conflict Situations](#) (2008). It draws on existing guidance, policies, and tools, and compiles key resources that should be consulted directly in particular cases.

The note was drafted by Shani Harris and Mary Morrison of the Bank's Fragility, Conflict, and Violence Group (FCV Group), with funding from the UN-World Bank Fragility and Conflict Partnership Trust Fund and guidance from its Steering Committee. The views expressed herein are those of the authors and do not necessarily represent the views of the World Bank, its Executive Directors or the governments they represent. The team is grateful to Sharif Baaser, Laura Bailey, Anja Bille Bahncke, Lydiah Kemunto Bosire, Henk-Jan Brinkman, Marta Cali, Sofia Carrondo, Jeff Culver, Spyros Demetriou, Clare Gardoll, Diego Garrido, Luigi Giovine, Steen Hansen, Bernard Harborne, Ella Humphry, Henriette von Kaltenborn-Stachau, Sima Kanaan, Markus Kostner, Jeanine Manley, Donald Mphande, Felipe Munoz, Madalene O'Donnell, Richard Olowo, Reidun Otteroy, Vincent Pasquini, Wolfhart Pohl, Vikram Raghavan, Joya Rajadhyaksha, Ayaka Suzuki, Donna Thompson, Oliver Ulich, Maria Vannari, Puteri Watson and Asbjorn Wee for their comments and contributions to this document and to a parallel version being prepared for UN staff.

The note will be enhanced and updated periodically by the World Bank's FCV Group, and will be supported by an online resource base and accompanied by a Guidance Note on Structuring Financing and Implementation Arrangements involving UN Agencies. Comments and suggestions are welcome and should be addressed to [un-wbpartnership@worldbank.org](mailto:un-wbpartnership@worldbank.org).

## Readers' Guide

This resource note is intended to help country management units, task team leaders, and other Bank staff better understand their UN partners and options for collaboration. It should be used in conjunction with relevant policies, procedures, and guidance.

- Sections I and II provide an overview of the United Nations and the Bank's relationship with it.
- Sections III and IV introduce a number of contexts and entry points for collaboration in FCS at the country level.
- Section V outlines key issues and tools for structuring operational collaboration, which will be fully elaborated in a Guidance Note on Structuring Financing and Implementation Arrangements involving UN Agencies being developed by the Bank's Operations Risk Management Department (OPSOR) within the Operations Policy and Country Services Unit.

The note is intended to be used in its electronic form and contains links to relevant documentation as well as to useful examples of the tools and methods described. These links appear as [orange text](#).

# TABLE OF CONTENTS

Preface .....	iv
Abbreviations & Acronyms .....	2
<b>I. The UN-WB Partnership in Fragile and Conflict-Affected Situations .....</b>	<b>4</b>
Rationale .....	4
The Framework .....	6
<b>II. Overview of the UN .....</b>	<b>8</b>
The UN Family Tree .....	8
The World Bank's Relationship to the UN .....	9
Headquarters Policy and Coordination .....	9
FCS Partnership Coordination and Support at Headquarters .....	11
<b>III. Communication &amp; Coordination: Building a Strong Working Relationship. ....</b>	<b>13</b>
How the UN Works at the Country Level. ....	13
<b>IV. Collaborating on National &amp; Institutional Planning and Analysis .....</b>	<b>16</b>
Opportunities for Collaboration .....	16
Government and Donor Coordination .....	16
Opportunities for Collaboration in Different FCS Contexts. ....	21
Other Areas of Collaboration with Peacekeeping and Political Missions .....	27
<b>V. Working Together in Support of Government Projects and Programs: Parallel Funding Within a Common Framework .....</b>	<b>33</b>
Government Contracting of UN Agencies under Bank-Financed Projects .....	33
Direct Bank Contracting of UN Activities .....	35
UN Funding of Bank Activities .....	36

# ABBREVIATIONS & ACRONYMS

*UN-specific acronyms are listed in **BLUE**; Bank-specific entries are listed in **PURPLE**; others are listed in **BLACK**.*

BB	Bank Budget	FMFA	Financial Management Framework Agreement
CAP	Consolidated Appeals Process	FPA	Fiduciary Principles Accord
CAR	Central African Republic	GA	General Assembly
CEB	Chief Executives Board for Coordination	HC	Humanitarian Coordinator
CO	Country Office	HCT	Humanitarian Country Team
CMU	Country Management Unit	HIPC	Heavily Indebted Poor Countries
CPF	Country Partnership Framework	IAP	Integrated Assessment and Planning Process
DDR	Disarmament, demobilization, and reintegration	IASC	Inter-Agency Standing Committee
DIM	Direct Implementation	IDA	International Development Association
DOCO	Development Operations Coordination Office	IFC	International Finance Corporation
DPA	Department of Political Affairs	IFIs	International Financial Institutions
DPKO	Department of Peacekeeping Operations	ILO	International Labour Organization
DRC	Democratic Republic of Congo	IMF	International Monetary Fund
DSRSG	Deputy Special Representative of the Secretary-General	ISF	Integrated Strategic Framework
ECHA	Executive Committee on Humanitarian Affairs	ITF	Integrated Task Force
ECOSOC	Economic and Social Council	MDG	Millennium Development Goal
EU	European Union	MDTF	Multi-donor trust funds
FAO	Food and Agriculture Organization of the United Nations	MPTF	Multi-partner trust fund
FCS	Fragile and conflicted-affected situations	MTEF	Medium-Term Expenditure Frameworks
FCV	Fragility, Conflict, and Violence (Group)	NGO	Non-governmental organization
		NIM	National Implementation

OCHA	Office for Coordination of Humanitarian Affairs	UNDAF	UN Development Assistance Framework
OECD	Organization for Economic Cooperation & Development	UNDG	UN Development Group
OP	Operational Policy	UNDP	UN Development Programme
OPSOR	Operations Risk Management Department	UNDSS	UN Department of Safety and Security
PBC	Peacebuilding Commission	UNESCO	United Nations Educational, Scientific, and Cultural Organization
PBF	Peacebuilding Fund	UNFPA	UN Population Fund
PBSO	Peacebuilding Support Office	UNHCR	UN Refugee Agency
PCNA	Post-Conflict Needs Assessment	UNICEF	UN Children's Fund
PDNA	Post-Disaster Needs Assessment	UNOPS	UN Office of Project Services
PER	Public Expenditure Review	WBG	World Bank Group
PRSP	Poverty Reduction Strategy Paper	WDR	World Development Report
RC	UN Resident Coordinator	WFP	World Food Programme
RCO	Resident Coordinator's Office	WHO	World Health Organization
SCD	Systematic Country Diagnostics		
SG	UN Secretary-General		
SRF	Strategic and Results Framework		
SRSR	Special Representative of the Secretary-General		
TTL	Task team leader		
UN	United Nations		
UNCT	UN Country Team		

# I. THE UN-WB PARTNERSHIP IN FRAGILE AND CONFLICT-AFFECTED SITUATIONS

## RATIONALE

Strong partnerships and shared expertise are critically important to deliver results in **fragile and conflict-affected situations (FCS)**, where approaches that integrate political, security, development,

*Effectively addressing fragility and conflict necessitates cross-disciplinary approaches and collaboration between international actors, given diversity of mandates, competencies and resources.*

— 2011 WDR

and humanitarian efforts are needed for enduring peace and poverty reduction<sup>1</sup>. Both IDA17 and discussions on the Post-2015 development agenda recognize the need to increase support to the 1.5 billion people living in FCS and to work together to help those countries tip the balance toward stability and sustainable development solutions.

In 2013, the World Bank Group adopted a **new strategy with two ambitious goals**:

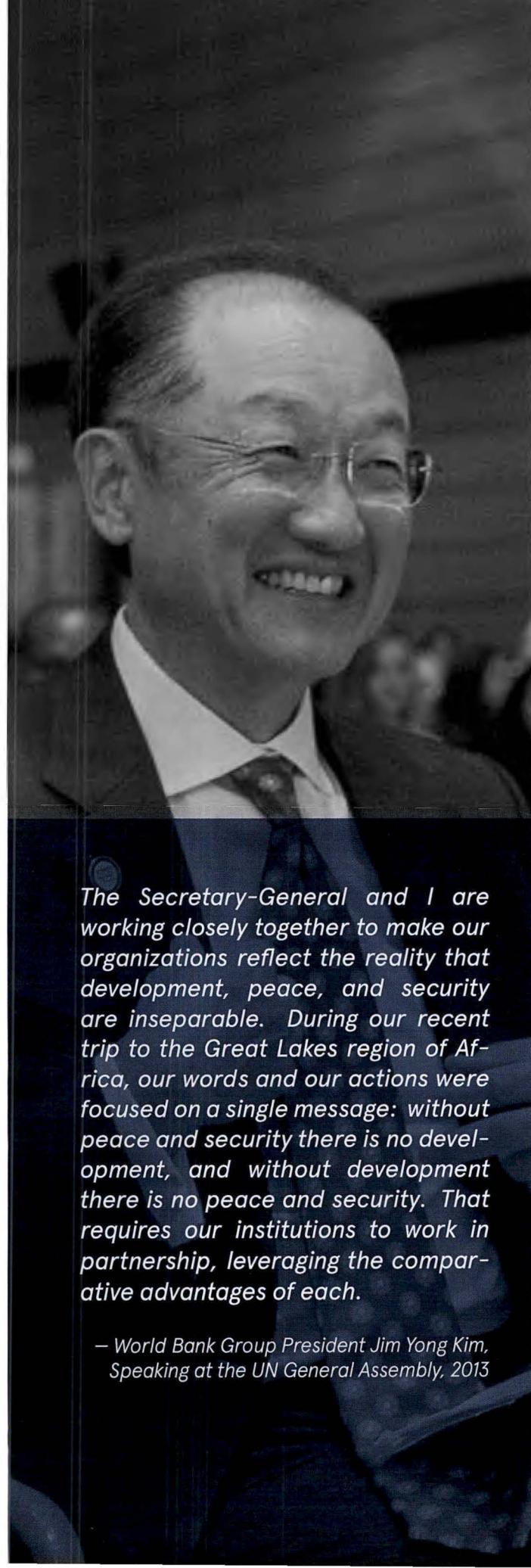
- End extreme poverty: reduce the percentage of people living on less than US\$1.25 a day to 3 percent by 2030; and
- Promote shared prosperity: foster income growth of the bottom 40 percent of the population in every country.

1 The term FCS in this document refers to a country that: (i) has a harmonized average Country Policy and Institutional Assessment (CPIA) rating of 3.2 or less (or no CPIA) or (ii) has or has had a UN or regional peacekeeping or peacebuilding mission during the past three years. The current list can be found at: <http://www.worldbank.org/en/topic/fragilityconflictviolence/overview#1>

Reaching those goals demands deepening partnerships that bring together resources, expertise, and ideas across the development spectrum. It also requires sharpening the focus on FCS, where repeated cycles of violence have undermined development progress and trapped countries in a vicious cycle of fragility, conflict, and poverty.

A major change in approach was motivated by the **World Development Report (WDR) 2011: Conflict, Security, and Development**, which promoted a paradigm shift in the Bank Group's work on FCS, based on lessons learned. The report also underscored that building capable and legitimate institutions, ensuring personal security and justice, and creating jobs are essential to reducing violence—and providing optimal support requires better coordination among external actors.

Since 2012, the UN-WB partnership in FCS has been given renewed energy by the close cooperation between Bank Group President Jim Yong Kim and UN Secretary-General Ban Ki-moon. During their 2013 joint visits to the Great Lakes and Sahel regions, the President and the Secretary-General emphasized the interconnectedness between security and development and made joint commitments to advance this agenda. The renewed focus on strengthening the partnership is also consistent with shareholder and client expectations.



*The Secretary-General and I are working closely together to make our organizations reflect the reality that development, peace, and security are inseparable. During our recent trip to the Great Lakes region of Africa, our words and our actions were focused on a single message: without peace and security there is no development, and without development there is no peace and security. That requires our institutions to work in partnership, leveraging the comparative advantages of each.*

— World Bank Group President Jim Yong Kim,  
Speaking at the UN General Assembly, 2013

Against this backdrop, **IDA17** promotes a more effective response in FCS by encouraging activities that strengthen collaboration with the UN, multilateral development banks, and other development partners, including through the **New Deal for Engagement in Fragile States** and the implementation of the new **Strategic Results Framework (SRF) for UN-WB Partnership in FCS**. The **FCV Group** will support implementation and monitoring of the IDA17 partnership commitments in FCS. The SRF is a living document that identifies objectives, activities, and outcomes that will contribute to strengthened strategic and operational collaboration between the Bank and UN in FCS.

The SRF builds on the findings and recommendations of a 2013 **review of the UN-WB partnership in FCS**, which concluded that while considerable progress had been made in strengthening the partnership, cooperation had not been systematic or deep enough and institutional incentives for collaboration needed further strengthening. It also found that institutional differences and constraints, insufficiently understood, continued to be a challenge for both the Bank and UN, and had contributed to misunderstandings and missed opportunities. It recommended stronger efforts from both institutions to improve mutual understanding and awareness of how each institution operates and the tools and resources available, as well as to highlight successful models and lessons learned from cooperation. This resource note aims to address some of those issues.

Experience has shown that achieving results in FCS requires different approaches that respond to the volatility, high risks, and low capacity in

## THE FRAMEWORK'S PRINCIPLES FOR ENGAGEMENT IN FCS:

- Our roles and mandates differ, but our efforts are interdependent and must be mutually reinforcing.
- Integrated efforts are particularly important in working with national authorities and partners to strengthen national capacity for effective prevention and response and to support the implementation of national recovery and development strategies that encompass political, security, human rights, economic, and social dimensions within the framework of the rule of law and good governance.
- We need to be flexible to respond to different country needs, taking into consideration the country context, national priorities, UN-mandated tasks, appropriate division of labor, and the role of other regional and international partners.
- Regarding humanitarian action undertaken by the United Nations and its partners, the recognized humanitarian principles of neutrality, impartiality, and independence will be respected.

## THE PARTNERSHIP CALLS FOR:

- Communications protocol: information sharing and coordinated responses
- Joint assessments and planning: closer strategic dialogue and engagement through integrated joint assessments and planning, use of shared benchmarks and results frameworks
- Financing: joint presentation of funding needs and collaboration around common funding mechanisms
- Mutual understanding: promoting a culture of learning

these countries.<sup>2</sup> Working together with the UN in FCS, the Bank can more effectively support national or transitional authorities to set strategy and assess and respond to those needs, pool risk, and maximize the impact of the resources available. Doing so requires a strong understanding of the institutional advantages and expertise available, and the underlying principles of partnership, which are critical to the Bank's approach to responding to crises and emergencies.

## THE FRAMEWORK

In October 2008, the UN Secretary-General and Bank President signed a **UN-WB Partnership Framework Agreement for Crisis and Post-Conflict Situations** to strengthen cooperation and foster a more effective overall response, which remains the foundation for the partnership. The institutions also agreed an **Operational Annex** (between the Bank and the UNDG) for the partnership to anchor a common operational platform for coordinated responses, and the **Fiduciary Principles Accord** (FPA), to facilitate cross-financing involving trust funds.

### **Comparative Advantages**

The Bank and UN have complementary strengths, based on their respective mandates and capacities, to support national authorities and citizens in FCS. While the Bank focuses on providing financial and advisory support to governments for reconstruction and development, UN bodies un-

2 The Bank's policy framework for responding to crises and emergencies, codified through Operational Policy (OP) 8.00, Rapid Response to Crises and Emergencies, authorizes the Bank to respond rapidly in support of a broadened set of objectives that include (a) rebuilding and restoring physical assets; (b) restoring the means of production and economic activities; (c) preserving or restoring essential services; (d) establishing and/or preserving human, institutional, and/or social capital, including economic reintegration of vulnerable groups; (e) facilitating peace-building; (f) assistance with crucial initial stages of capacity building for longer-term reconstruction, disaster management, and risk reduction; and (g) supporting measures to mitigate or avert the potential effects of imminent emergencies or future emergencies or crises in countries at high risk.

dertake a broad range of activities. In pursuit of the goals set out in the UN Charter, the UN galvanizes the international community in response to crisis situations and engages in a variety of activities, including humanitarian assistance delivery and coordination, mediation and conflict resolution, early recovery and development support, re-establishment and maintenance of peace and security, and support to political processes and democratic governance. The UN is often already on the ground, with established networks, access, logistical and security structures, and direct implementation capabilities to provide rapid and flexible assistance during or following a crisis. The political legitimacy, operational field presence, and security umbrella of the UN are often critical for early entry by the Bank in FCS.

The Bank can provide technical assistance and is a major financier of activities that support national institution-building, economic and social resilience, and recovery in post-crisis countries. The Bank may not have the presence or facilities on the ground immediately after a crisis, but it brings access to longer-term resources and strong relationships and dialogue with developing countries and multilateral partners. This complementary profile can act as a catalyst for other partnerships—with national stakeholders, regional organizations, international financial institutions (IFIs), and bilateral partners. Bridging the humanitarian, development, political, and security pillars of support will contribute significantly to an effective, efficient transition from crisis.

#### COMPARATIVE ADVANTAGE OF UN IN FCS:

- Political mandates (including from UN Security Council) and mandates to work on security and governance
- Unique mix of development, civilian, military, and police capabilities
- Operational field presence, national and local networks
- National/sub-national mapping, indicators, and other information
- Direct implementation capabilities
- Rapid and flexible programming and financing
- Expertise on human rights, security, justice, transitional and democratic governance, as well as economic recovery, development, and humanitarian response
- Security capabilities and logistics (Department of Safety and Security, and Peacekeepers)

## II. OVERVIEW OF THE UN

The UN system is complex and its diversity of mandates and administrative modalities across the range of political, security, humanitarian, human rights, and development organizations can be challenging to navigate.

### THE UN FAMILY TREE

**Annex 1 provides an overview** of the UN system—its history, mandates, and members. It includes functions of the key organs and organizations within the UN system, including an organogram connecting the UN organs with the UN's various Agencies, Funds, and Programmes.

The **UN Charter** sets out four core purposes for the organization: to maintain international peace and security; to develop friendly relations among nations; to cooperate in solving international problems and in promoting respect for human rights; and to be a center for harmonizing the actions of nations. The Charter established six organs<sup>3</sup> of the UN to implement and oversee its work, but the **UN system** consists of a broader family of organizations, including the UN Secretariat, UN Agencies, Funds, and Programmes, and other related organizations. The organization is headed by the **Secretary-General**, who is appointed by the General Assembly (GA) for a five-year, renewable

term. **The Secretariat**<sup>4</sup> carries out the day-to-day work of the organization, which ranges from supporting the intergovernmental organs of the UN and managing peacekeeping operations (DPKO) and political missions (DPA) to mediating international disputes and monitoring and reporting on human rights violations, from surveying economic and social trends and problems to preparing studies on human rights and sustainable development.<sup>5</sup>

The **UN Funds and Programmes**<sup>6</sup> address a broad range of issues, such as refugees, development assistance, food aid, and the environment. They work under the overall authority of the GA and ECOSOC to carry out the UN's economic and social mandate. However, because they have their own intergovernmental boards and derive most of their financial resources from voluntary contributions rather than the UN's regular budget, they are more akin to specialized agencies than to the main UN organs.

**Specialized Agencies**<sup>7</sup> are autonomous organiza-

<sup>3</sup> The General Assembly, the Security Council, the Economic and Social Council (ECOSOC), the Trusteeship Council, the International Court of Justice, and the Secretariat.

<sup>4</sup> The Secretariat includes the Executive Office of the Secretary-General (EOSG), Department of Peacekeeping Operations (DPKO), Department of Political Affairs (DPA), Office for the Coordination of Humanitarian Affairs (OCHA), Department of Safety and Security (DSS), Office for Disarmament Affairs (ODA), Peacebuilding Support Office (PBSO), as well as internal departments, Regional Offices and Commissions, Justice Bodies, Special Advisor/Envoy Offices, etc.

<sup>5</sup> Annex 1 provides an overview of the UN system — its history, mandates, and members. It includes functions of the key organs, departments, and organizations within the UN system, including an organogram connecting the UN organs with the Agencies, Funds, and Programmes.

<sup>6</sup> UN Funds & Programmes include: UNDP, UNICEF, UNFPA, UNHCR, UN Women, UNEP, UN-Habitat, UNODC, UNRWA, WFP.

<sup>7</sup> UN Specialized Agencies include: FAO, ICAO, IFAD, ILO, IMF, UNESCO, World Bank, WHO, among others.

tions with their own rules, membership, organs, and financial resources, linked to the UN through **negotiated agreements**. Specialized agencies work with the UN and each other through the coordinating machinery of ECOSOC at the intergovernmental level, and through the **Chief Executives Board for Coordination** (CEB) at the inter-secretariat level (described further below).

## THE WORLD BANK'S RELATIONSHIP TO THE UN

The Bank fits into the Specialized Agency category through a **1947 agreement** that recognizes the Bank as an “independent specialized agency” of the UN as well as a member or observer in many UN bodies. The UN and Bank have almost identical country membership, though the countries are represented by different ministries in the intergovernmental organs of the two organizations. The different cultures and representation can occasionally diverge, such as in the assessment of the credibility of national counterparts or the appropriate level of risk.

## HEADQUARTERS POLICY AND COORDINATION

The Bank Group President is a member of the **UN Chief Executives Board for Coordination** (CEB),<sup>8</sup> the UN system's highest coordinating mechanism, bringing together the distinct parts of a decentralized system of specialized bodies—each with its own constitution, mandate, governing bodies, and budgets—to provide broad guidance, coordination, and strategic direction for the system as a whole in the areas under the responsibility of executive

heads.<sup>9</sup> Focus is placed on interagency priorities and initiatives while ensuring that the independent mandates of organizations are maintained.

The **Secretary-General's Policy Committee** pulls together key parts of the UN system to cover issues requiring system-wide strategic guidance and policy decisions on thematic and country-specific issues, and emerging priorities. The UN Agencies, Funds, and Programmes are represented in the Policy Committee by the chair of the UNDG (Under-Secretary-General and UNDP Administrator), and the chair of the Executive Committee on Humanitarian Affairs (ECHA) (Under-Secretary-General for Humanitarian Affairs and Emergency Relief Coordinator). The Bank can be invited to relevant Policy Committee meetings.

The Bank is a member of the Executive Committee on Peace and Security, a high-level body for interagency and interdepartmental coordination, chaired by DPA. The Bank is also invited to participate in all meetings of the **Peacebuilding Commission (PBC)**, and enjoys full membership in the Commission's country-specific configurations. The PBC is an intergovernmental advisory body that supports peace efforts in FCS by bringing together all relevant actors (donors, IFIs, national governments, troop-contributing countries, etc.); marshaling resources; and providing political support and advising on and proposing integrated strategies for post-conflict peacebuilding and recovery and, where appropriate, highlighting gaps that threaten to undermine peace. There are currently six countries on the PBC agenda whose discussions should be monitored by relevant Bank country teams: **Burundi, Sierra Leone,**

<sup>8</sup> The CEB membership includes the UN (Secretariat); 11 Funds and Programmes (UNDP, UNEP, WFP, UNFPA, UNICEF, UNHCR, UN-Women, UNODC, UNRWA, UN-Habitat, UNCTAD); 15 Specialized Agencies (World Bank, FAO, ICAO, IFAD, ILO, IMF, IMO, ITU, UNESCO, UNIDO, UNWTO, UPU, WHO, WIPO, WMO); and 2 related organizations (WTO and IAEA).

<sup>9</sup> The CEB meets twice a year under the chairmanship of the UN Secretary-General and reports to the GA and ECOSOC. The CEB carries out its role through three high-level committees: the High-Level Committee on Management (HLCM); the High-Level Committee on Programmes (HLCP); and the UN Development Group (UNDG).

## WHAT DOES THE UN MEAN BY "INTEGRATION"?

Integration is the guiding principle for the design and implementation of complex UN operations in FCS, linking the different dimensions of peace consolidation or peacebuilding (political, development, humanitarian, human rights, rule of law, social, and security aspects) into a coherent support strategy to maximize the individual and collective impact of the UN. Applying the practice of integration varies from one context to another. It does not necessarily entail structural integration between the Mission and the UNCT (through a Deputy SRSG who is also the RC/HC) but depends on the requirements and circumstances on the ground, so that "form follows function." The UN stipulates that at a minimum, when a multidimensional peacekeeping or field-based Special Political Mission is considered or deployed alongside the UNCT, the UN system must conduct a joint assessment, develop a common vision and priorities, and establish mechanisms for coordinated planning on the ground as well as for monitoring and reporting. Comparative advantage and national ownership are among the key principles of the IAP policy, which encourages alignment with national peace consolidation priorities, and consultation and collaboration with key partners, including the Bank, regional organizations, and bilateral donors.

### Guinea, Guinea-Bissau, Liberia, and Central African Republic.<sup>10</sup>

The **UNDG** is the pillar of the CEB responsible for coordinating operational activities for development at the country level. At the intergovernmental level, the GA and ECOSOC provide oversight and mandates for the UNDG,<sup>11</sup> which is chaired by the UNDP Administrator. The UNDG Chair reports to the Secretary-General and the CEB on progress in implementing the group's work plan, as well as on the management of the Resident Coordinator System. The Bank has observer status in the UNDG, which means it participates in coordination mechanisms, such as the UN Working Group on Transitions. The UNDG is supported by the **UN Development Operations Coordination Office (DOCO)** to provide the link between UNDG discussions at headquarters and the work of the UN development

system at the country level, and helps prepare system-wide agreements, policies, and guidelines for country offices.

At headquarters, UN engagement in countries with **peacekeeping** and **political missions** is coordinated through **Integrated Task Forces (ITFs)**, which bring the UN system together to provide support and policy guidance to all stages of political or peacekeeping missions.<sup>12</sup> ITFs support the integrated UN presence (Mission and UN Country Teams) and are chaired by the lead department (DPKO for peacekeeping missions, DPA for special political missions). The Bank sits on ITFs on some key countries (such as Central African Republic, Syria, Mali, and Somalia), which provides an important opportunity to ensure joined up approaches at headquarters and in our guidance to the field.

The **Inter-Agency Standing Committee (IASC)** is the principal interagency headquarters forum for humanitarian coordination, policy development, and

<sup>10</sup> The PBC is supported by the Peacebuilding Support Office (PBSO), which also administers the Peacebuilding Fund, and supports the Secretary-General's efforts to coordinate the UN System in its peacebuilding efforts.

<sup>11</sup> The UNDG derives many of its mandates from the Comprehensive Policy Review of operational activities for development of the UN system, a GA resolution that serves as an important instrument for the monitoring and the assessment of UN development operations. This GA resolution responds to the mandate defined by: (i) the GA which establishes key system-wide policy orientations for the development cooperation and country-level modalities of the UN system; and (ii) the Economic and Social Council (ECOSOC), which provides coordination and guidance to the UN system to ensure that those policies are implemented.

<sup>12</sup> The UN takes a number of key steps before the Security Council determines the deployment of a new peacekeeping or political mission. These steps can be found at: <http://www.un.org/en/peacekeeping/operations/newoperation.shtml>. **Current missions, mandates and resources can be found at:** <http://www.un.org/en/peacekeeping/resources/statistics/factsheet.shtml>.



Dominic Chavez/World Bank

decision-making involving the key UN and non-UN humanitarian partners, under the leadership of the Emergency Relief Coordinator (Under-Secretary-General of OCHA).

## FCS PARTNERSHIP COORDINATION AND SUPPORT AT HEADQUARTERS

Within the Bank, the **FCV Group** has responsibility for the overall UN-WB partnership in FCS, coordinating closely with Global Practices and Country Management Units (CMUs), which lead the dialogue on particular issues and countries. The FCV Group supports policies and practices to improve results in FCS, implementation issues, knowledge and learning, and manages the FCV Trust Funds, including the **UN-WB Fragility and Conflict Partnership Trust Fund**.

**The Office of the Bank's Special Representative to the UN in New York** is a key liaison for the partnership, focusing on intergovernmental, interagency, and institutional relations. It interacts on behalf of the Bank with diplomatic missions in New York and with UN governing bodies, as well as with the UN

Secretariat, Agencies, Funds, and Programmes. It connects colleagues from both organizations in the field and at headquarters level to foster strategic UN-WB engagement in FCS. **The Office of the Bank's Special Representative to the UN and World Trade Organization in Geneva** provides liaison functions with both the UN and diplomatic missions in Geneva, particularly in areas related to humanitarian action, disaster risk management, health, and migration. It coordinates the Bank's engagement in the IASC and other global humanitarian coordination forums, and interacts with the Red Cross

**The UN-World Bank Fragility and Conflict Partnership Trust Fund** provides financial support for joint strategic and operational activities, in support of the SRF, with an emphasis on promoting closer collaboration in the field, strengthening thematic cooperation, and increasing operational tools and frameworks to facilitate cooperation and cross-financing. Grants are available for joint projects of up to \$500,000. The **website** provides guidance for applicants, application forms and past reports.

Movement (both International Committee of the Red Cross and International Federation of Red Cross and Red Crescent Societies) and key international NGOs.

Within the UN, the main focal points for the UN-WB FCS partnership are **DOCO**, for the UNDG, and **Peacebuilding Support Office** (PBSO) for the Secretariat, with regard to overall partnership issues. The key headquarters counterparts for country-specific engagement are the regional divisions and bureaus in the lead departments (DPA and DPKO) and UNDP (and other relevant funds and programmes, such as UNICEF and UNHCR). Individual UN entities also have designated focal

points for the Bank partnership. Annex 2 provides a list of key contacts and resources on partnership issues.

UN-WB partnership meetings at the Assistant Secretary-General/Bank senior director level usually take place twice a year, to discuss collaboration and oversee the implementation of global agreements and the SRF. The partnership is also supported by an interagency Steering Committee, which is responsible for approving proposals to the Partnership Trust Fund, as well as the implementation of the SRF and partnership principles, through a shared work plan.

# III. COMMUNICATION & COORDINATION: BUILDING A STRONG WORKING RELATIONSHIP

## HOW THE UN WORKS AT THE COUNTRY LEVEL

The UN presence in most countries is organized through a **UN Country Team (UNCT)**, which is chaired by a Resident Coordinator (RC)<sup>13</sup> and includes the heads of all UN entities—including the Bank—that carry out operational activities for development, emergency, recovery, and transition. In most crisis contexts, the RC is also nominated Humanitarian Coordinator (HC), and is responsible for coordinating humanitarian activities at the country level. Where principles of integration apply (see preceding box), the RC/HC may also be appointed as Deputy Special Representative of the Secretary-General (DSRSG) when there is a peacekeeping or political mission. The UNCT provides interagency coordination, planning, and decision-making at the country level, to help ensure “**delivering as one**” in support of the development agenda of the government.<sup>14</sup> The UNCT is active before the crisis, during and after the transition, and alongside other coordination mechanisms that may be active at the same time in FCS.

In situations where there is a **peacekeeping or political mission**, the head of the mission is usually

<sup>13</sup> RCs lead UNCTs in more than 130 countries, working closely with the national government, and report to the Secretary-General through the Chair of the UNDG. More information can be found at: [http://undg.org/content/un\\_country\\_teams/about\\_un\\_country\\_teams](http://undg.org/content/un_country_teams/about_un_country_teams).

<sup>14</sup> The UNCT members have accountability to each other and the RC, taking responsibility for elements of the RC/UNCT work plan, oversight of subsidiary groups, mobilization of resources for the UNDAF and UNCT plans, and taking part in mutual assessments, recognizing that a well-functioning UNCT allows each organization to be more effective than acting alone. This will not prejudice their relationship with their own agency to which they have direct-line accountability to their own organization. Over the years, the GA has set out a series of measures to strengthen the UNCT, including greater accountability toward host governments and the intergovernmental process, as well as within the UN system. They also mandated that the UN system become more coherent, effective, and relevant; simplify and harmonize business practices; and use all opportunities to increase aid effectiveness.

a Special Representative of the Secretary-General (SRSRG) who leads the entire UN presence in the country<sup>15</sup>. In most multidimensional peacekeeping missions and special political missions, one of

<sup>15</sup> The SRSRG provides overall leadership to the UN system on the ground, toward maintaining strategic direction and operational coherence across the political, governance, development, economic, and security dimensions of a peacebuilding process. The full list of Special Representatives, Advisors, and Envoys can be found at: <http://www.un.org/sg/srsg/africa.shtml>

## A SEAT AT THE TABLE

**The Bank Head of Office is a member of the UNCT in any country where the UN operates.** As such, the Bank should engage directly in the UNCT and other relevant coordination and planning forums. Bank participation in the UNCT, Security Management Team, and Senior Management Group, is especially important in times of crisis or during transitions in the country, as close engagement between the Special Representative of the Secretary-General (SRSRG) and RC/HC with Bank leadership is critical. Investing in this relationship between leadership is key, and will pave the road for better collaboration in analysis, response, and aid effectiveness.

Bank participation in these forums, in countries like Liberia and Kosovo, has been critical for major state- and peacebuilding efforts that required regular strategic coordination and messaging between UN and Bank leadership with key political, security, and development actors.

A CMU should review the agendas that are circulated in advance to see which topics are right for its team, and use the platform as a way to link UN actors to key Bank efforts as well.

## SECURITY ARRANGEMENTS

The UN Department of Safety and Security (DSS) is responsible for inter-agency arrangements for the protection of the UN system, including the Bank, against hazardous situations, which may be beyond the control of the host government. The Bank will generally seek to act in unison with other members of the UN; however, it reserves the right to determine its own risk vulnerability and to implement its own emergency response. When such deviations become necessary, the Bank overseas office management should make all efforts to coordinate with the UN DO, DSS, and the SMT. Refer to the **Bank's Global Security directive (AMS 6.40)** on protection of personnel, property, and programs overseas, and an overview of the decision-making authority and responsibilities of key actors.



UN Photo/Maria Frechona

the deputy SRSGs is also the RC/HC, providing a crucial link between the missions and the UNCTs. There will also be a specific field-based integrated mechanism, such as a Senior Management Group (SMG), chaired by the SRSG, to bring together the Mission leadership and the UNCT to provide strategic direction, planning, oversight, political analysis, information sharing, coordination, and monitoring in support of the UN's shared peace consolidation efforts, and provide a necessary link back to the ITF and the Security Council. As members of the UNCT, Bank Heads of Office should participate directly in relevant SMG meetings, as they relate to shared peacebuilding objectives.

In Mission settings, the SRSG is usually appointed as the UN Designated Official (UN DO) responsible for security and safety of all staff of the duty station country (in non-mission settings, the RC is usually appointed DO). The DO chairs the country Security Management Team (SMT), which includes the UNCT. The SMT advises and decides on all security-related matters, which may include UN security risk assessments, determination of security levels, MOSS (minimum operating security standards), MORSS (minimum operating residential security standards), and reports to the SMG/UNCT and headquarters security structures.

At Bank Group country offices, the Bank or IFC Head of Office is responsible for the security and safety of staff within their assigned country(ies)<sup>16</sup>; traveling staff report to the Head of Office on security matters irrespective of whether the staff member may be working very closely with UN partners. As members of the UNCTs, Bank Heads of Office should participate directly in the country SMTs, supported by Bank Security Specialists who serve in the country-level Security Coordination cells, ensuring linkages with UN Department of Safety and Security (UNDSS).

Another important group at the country level, the Operations Management Team covers coordination and management of co-location and common services; simplification and harmonization of rules and regulations among UNCT members; procurement; financial services; human resources policies and practices (staff welfare, hardship consideration, etc.); medical, banking, and transportation services; and harmonized approaches to cash transfers, among other things, and reports back to the UNCT. Typically the Bank Resource Management lead should represent the Bank Head of Office on the Operations Management Team.

<sup>16</sup> Where the Bank and IFC both maintain offices in the same country, the Head of each office is responsible for the security and safety of WBG resident and visiting staff to the respective office and city. Responsibility at the country-level, and city-level when both offices are in the same city, defaults to the Bank Head in cooperation with the IFC Head, unless otherwise designated in the WBG Crisis Management Framework [to be issued in early FY15].

The coordination of **humanitarian operations and collection and analysis of humanitarian indicators, data, and analysis** at the country level is the responsibility of the Humanitarian Country Team (HCT), chaired by the HC (who is usually also the RC) and composed of the heads of the UN, NGO, and donor organizations undertaking humanitarian action in-country.<sup>17</sup> The information, including data and news, provided through the HCT in crisis settings can be particularly useful for Bank staff. It is

17 The humanitarian coordination structure is often organized around sector-specific clusters or sub-clusters, which may or may not include government counterparts depending on national capacity and the nature of the issues being discussed (sometimes a consequence of issues related to neutrality and impartiality — particularly where the government is a party to the conflict). The humanitarian cluster system is central to the international humanitarian community's coordination architecture in emergency relief settings. The number and nature of the clusters is context specific, and the clusters themselves should always be considered temporary structures, which should not crowd out national coordination structures and capacities. This model is often replicated at a subnational level in areas of intense humanitarian activity.

also helpful for the Bank and other development actors to remain linked to the cluster leads of the relevant service sectors in which they may be operating, such as water, sanitation, and hygiene; education; or health.

Annex 3 provides an overview of the leadership, coordination, planning, reporting, and support structures for Missions and Non-mission FCS settings.

## SUPPORTING COORDINATION IN THE FIELD

The UN Resident Coordinator's Office (RCO) is responsible for supporting the RC in his/her functions, in particular in managing the UNCT and its supporting groups, agenda setting, development/transition planning and reporting, and facilitating various donor coordination groups. It is important to develop a good relationship with the local RCO\*, to benefit from their coordination platform and contacts, and gather information about UNCT initiatives, information sharing, analysis and data sources, upcoming planning timelines, strategic retreats, security and thematic trainings, UN, donor and sector coordination, UN contacts and resources, etc. RCOs in FCS will often have additional technical capacity in the form of a senior Strategic Planner, Peace and Development Advisor, or Aid Effectiveness Advisor who can serve as key interlocutors for Bank CMUs. The RCO can also put you in touch with relevant focal points for the OMT, SMT, HCT, integrated mechanisms, or thematic focal points (for example, on gender, institutional development, disarmament, demobilization, and reintegration (DDR), or statistics).

In especially volatile situations, the relationship between the triple-hatted DSRSG/RC/HC in mission settings and Bank Country Manager has proven critical. The RC and RCO can offer the Country Manager a "portal" to the UN system in-country, thus facilitating coordination and fostering program-level/operational cooperation between UN Agencies and the Bank's country team.

Contact information for all RCOs can be found through the [UNDG site](#)



## IV. COLLABORATING ON NATIONAL & INSTITUTIONAL PLANNING AND ANALYSIS

### OPPORTUNITIES FOR COLLABORATION

The Partnership Framework and its Operational Annex underscore the need for upstream collaboration on assessments and planning, and institutional commitments to use shared tools to better inform decision-making in support of government priorities. It recognizes that early strategic dialogue and engagement is an essential foundation for effective crisis management and recovery efforts to move from planning to implementation. Through their partnership, the UN and Bank have agreed to work to bring conflict analysis, strategic planning, and assessment processes into closer coordination among political, security, development, and humanitarian actors—within existing frameworks to support national ownership, and with due respect to humanitarian principles. This includes agreement on participation in respective planning processes and the development of shared benchmarks and results frameworks and joint processes for monitoring and review. A number of these tools and opportunities are highlighted below.

### GOVERNMENT AND DONOR COORDINATION

Partnering with the UN and others in FCS is a critical component of country-led coordination and helps to lower transaction costs for the counterpart government, donors, and regional and international partners. Bank-UN partnership entry points have included:

- Support for preparation of donor conferences

and other coordination meetings, such as UN and Bank co-chairing of inter-donor coordination forums;

- Policy development and technical assistance for national and sector-based recovery plans;
- Support to national capacity for planning and

### OPERATIONAL ANNEX OF THE PARTNERSHIP FRAMEWORK

Assessment, planning, and determination of division of labor:

The UNDG and the Bank agree to:

- Use a common methodology for both post-conflict and post-disaster needs assessments and recovery planning (PCNA/PDNA).
- Expand the information available to country teams on lessons learned from other country experiences regarding coordination and division of labor in support of country-level efforts to determine clear roles and responsibilities.
- Ensure that coordination and arrangements related to roles and responsibilities are inclusive of national counterpart institutions, principal international partners, as well as civil society and the private sector.

## ENTRY POINT:

Joint signaling on important opportunities and risks: UN signaling on the political and security implications of economic issues; Bank signaling on the economic or fiscal consequences of peace-building issues; joint signaling on the need for attention and resources to address conflict risks. Examples: Liberia, Timor-Leste, DRC, Somalia.

monitoring and evaluation of aid coordination, including tracking of aid flows;

- Collaboration on financing and appeals, and context-specific pooled funding and multi-donor trust funds (MDTFs); and
- Post-Conflict Needs Assessment (PCNA) or New Deal-type processes (see below).

The **New Deal for engagement in fragile states** highlights the importance of more effective partnerships to reduce the burdens on low-capacity governments in FCS and ensure more coordinated support around clear country priorities delivered as much as possible through each country's own systems. In committing to the New Deal, the World Bank committed to strengthen its efforts to build partnerships to bridge the traditional security, development, and humanitarian divides.

New Deal **Fragility Assessments** are used to kick start the New Deal process. They are led by national governments and key stakeholders and partners to identify the causes, features, and drivers of fragility and conflict and the sources of resilience within a country. The fragility assessment process and the fragility spectrum tool provide an important partnership platform to enable constructive and forward-looking dialogue between the government, working with civil society and other national stakeholders and their international partners, to inform the development of a single nationally owned strategic plan, and to set realistic joint peacebuilding and state-building priorities that address the causes and drivers of fragility and conflict across all the five Peacebuilding and Statebuilding Goals of the New Deal<sup>18</sup>. The New Deal also recommends focused mutual accountability frameworks or compacts as framework for better partnership and dia-

<sup>18</sup> Inclusive Politics; Security; Justice; Economic Foundations; Revenues and Services.



logue. Cooperation and partnership between the UN and the Bank has often been at the core in driving New Deal processes forward.

Comprehensive guidance materials developed by the g7+, including **A Guide to Implementing the New Deal**, have been broadly endorsed. An internal Guidance Note on Bank engagement with the New Deal is being developed, which highlights key entry points and comparative advantages for the

Bank in the process. For more information about getting started, key contacts, the latest developments, and lessons learned from the pilot countries, see Annex 2.

### ***National Planning Frameworks***

A collaborative UN and World Bank approach can provide more effective policy development support and technical assistance for national and sector-based recovery plans, using a range of poten-

#### **NEW DEAL IMPLEMENTATION – CAPACITY DEVELOPMENT IN SOMALIA**

The UN and WB in Somalia have achieved a high degree of cooperation based on strong complementarities and the need to build on the momentum of the Government's New Deal Compact in 2013. The joint UNDP-WB Capacity Development Program addresses the priorities identified in the Compact through capacity injection, civil service management and ensuring coherent approaches in cross-government functions, in support of the PSG goal of Inclusive Politics. The WB and UNDP adopted a common program framework, joint management and results framework and joint reporting structure, but considered a joint project document unnecessary. The teams found that sharing documents and information regularly, as well as frequent outreach and meetings, were key to successful collaboration. They also accepted the different time-lines and procedures of each organization rather than trying to harmonize them and maintained a clear division of labor, based on comparative advantages. DFID, Sweden, Norway and the EU provided parallel funding.

*TTL: Hugh Riddell*



**ENTRY POINT:** Coordinated/joint support to the development of national country strategies, and the development of shared results frameworks. **Examples:** DRC, Kyrgyzstan, Somalia.

tial instruments, such as National Development Plans, Poverty Reduction Strategies, Compacts, and Transitional Results Frameworks, and building on the preceding joint assessments and analysis described in the previous section.

### **Helping to Reestablish Essential Core Functions of Government**

Support to government functions cuts across sectoral silos and requires collaboration across ministries and development partners, and across high-level policy dialogue, improved security, and technical cooperation. This draws on the UN and Bank areas of comparative advantage and can help provide a foundation to gradually improve the state's ability to effectively absorb future assistance. The Bank, UNDP, DPKO, UNCDF, and others are collaborating on a joint diagnostic tool in this area that will be piloted in several countries in 2015. The Bank and UN are also developing a joint sourcebook for Public Expenditure Reviews (PERs) of the security sector and a shared framework for strengthening Justice Service Delivery in FCS (more on these tools below).

### **UN and Bank Planning Processes**

Once the national recovery and development priorities are set out, the UNCT generally captures its shared contributions to the national plan through the **UN Development Assistance Framework (UNDAF)**, which is used to execute Delivering as One Programme<sup>19</sup>. The UNDAF is a strategic, medium-term results framework that describes the collective vision and response of the UN system to national development priorities, and defines how

the UNCT will contribute to the achievement of development results, based on an analysis or assessment of country needs (through the **Common Country Assessment**) and UN and partner comparative advantages. It requires government approval and is therefore also a platform for national ownership of UN programming.

In countries with an integrated presence, missions and UNCTs are required to produce an **Integrated Strategic Framework (ISF)**, which focuses on common priorities for peace consolidation, as mandated by the UN Security Council, and how the elements of UN system will work together to best respond to those priorities. Through the ISF process,

the UN ensures a common understanding of the crisis and the critical peace consolidation needs, jointly defines the areas in which increased collaboration is necessary to increase the individual and collective impact, and jointly agrees on the modes of collaboration required in each area, and shared monitoring and reporting mechanisms. Other UN planning frameworks (such as the UNDAF or a peacebuilding strategy in countries on the agenda of the Peacebuilding Commission) may serve as an ISF if the process used to develop them and their content meet the ISF standards.

*World Bank collaboration on UNDAFs, ISFs, and PPPs can be useful especially in the initial country assessments, conflict analysis, discussions on comparative advantage, and SWOT (strengths, weaknesses, opportunities, threats) analysis, particularly to inform and ensure consistency with Bank strategies and broader coordination frameworks. If your country is entering into an UNDAF, ISF, or PPP process, details on timing and inputs will be shared through the UNCT.*

<sup>19</sup> In some instances, the UN may decide to prepare a UN Transition Plan before a full-blown UNDAF. This may be done for resource mobilization purposes or in cases where it has not been possible or practical to adequately incorporate transitional issues into existing planning frameworks due to conflicting planning cycles or lack of national capacity. In complex humanitarian situations, the HCT can issue a Strategic Response Plan, which, along with the humanitarian needs overview, replaces the preparation and publication of the traditional Consolidated Appeals Process (CAP) document. The Plan must specify the shared vision or strategy to respond to the assessed humanitarian needs, and serve as the basis for carrying out and monitoring the collective response (including UN and NGOs).

In a number of countries emerging from conflict, the UN supports peacebuilding efforts through the Secretary-General's **Peacebuilding Fund (PBF)**,<sup>20</sup> which may require the elaboration of a strategic plan for peacebuilding, the Peacebuilding Priority Plan (PPP). Building on a gender-sensitive conflict analysis, the PPP identifies immediate priorities for peacebuilding and is drafted by the UN in close consultation with national governments and partners such as civil society organizations, the Bank, the European Union, and other bilateral donors. The PBF seeks to align or embed the PPP with existing national or UN strategic and planning frameworks, to avoid fragmentation of support.

Individual organizations of the UNCT then plan their own annual work plans in support of the common country strategy. In *Delivering as One* countries,<sup>21</sup> the UNCT forms Results Groups that serve as forums for discussions of policy issues and development of annual or multi-year Joint Work Plans. These contain information on annual activities, budgets, and monitoring systems. The Joint Work Plans do not always replace agency work plans but inform agency-specific annual work planning. On behalf of the UNCT, Results Groups may also be responsible for engaging in policy dialogue with relevant stakeholders at the country level.

The process of preparing Bank Country Partnership Frameworks (CPFs), while fundamentally a dialogue between the client country and the World Bank Group, provides an opportunity to foster collaboration with the UN and other partners. In particular, substantive upstream collaboration can inform the underlying analysis and establish a shared

diagnosis of key challenges and priorities, while close interaction with partners on programming will promote more effective complementarity and division of labor and identify specific opportunities for operational collaboration.

Interim Bank guidance on Systematic Country Diagnostics (SCD) highlights the collaborative process needed to increase coherence across institutions and alignment with the country's development priorities. To ensure that Bank activities are tailored to address the underlying causes of conflict, fragility, crime, and violence, in close partnership with other humanitarian, security, and political actors, the Bank has committed to ensuring that all CPFs in FCS should be informed by a fragility analysis to outline the key challenges associated with conflict and fragility and identify the appropriate ways in which the Bank can support building peace and security as a foundation for poverty reduction and promoting shared prosperity. The Bank should bring UN partners into the fragility analysis discussions.

Though collaboration on upstream analysis is encouraged between the Bank, UN, and other partners in the preparation of strategies, merging such strategies (such as UNDAFs and CPFs) is not. Instead, where the government and partners agree on the need for an additional framework to coordinate assistance, efforts should be devoted to developing a flexible operational framework for alignment with the national development strategy, for coordination among development partners, such as the previous Democratic Republic of Congo (DRC) Country Assistance Framework, and the current DRC International Security and Stabilization Support Strategy (see box above). These joint documents outline priorities for international support, based on the government's priorities, and can help improve aid effectiveness through specific

<sup>20</sup> The PBF is managed by the Peacebuilding Support Office (PBSO) in New York, and always works through the most senior resident UN official at country level.

<sup>21</sup> Countries in which the host government has requested the UN to adopt a defined set of instruments aimed at increasing the effectiveness, efficiency, coherence, and relevance of the UN system based on Standard Operating Procedures for *Delivering as One* for programming, budgeting, leadership, business operations, and communications.



## SUPPORTING PEACE IN THE DRC

Following the historic visit to the Great Lakes Region by UN Secretary-General Ban Ki-moon and World Bank President Jim Kim in May 2013, the UN-WB Partnership Trust Fund supported a project to promote their mission's commitments to work together to accelerate development and consolidate peace. The project financed a Bank-seconded Program Specialist based within MONUSCO's Stabilization Support Unit in Goma to support the design and alignment of Bank lending operations within the overall framework of the International Security and Stabilization Support Strategy. This strategy brings together all international partners in support of the government's stabilization plan and provides a framework for coordinating international assistance to consolidate peace, restore state authority, and promote socioeconomic recovery and development. In this context, the World Bank has taken the first steps toward contributing to regional stability by developing a series of programs in support of the region's Peace, Security, and Cooperation Framework (PSCF), focused on early recovery in post-conflict zones in the eastern DRC, the fight against sexual violence, strengthening agricultural growth, cross-border trade, and social cohesion in border communities. Undertaken in close collaboration with the stabilization and peace consolidation efforts of the UN and international partners, these programs intend to address the socioeconomic causes of conflict and accelerate recovery and growth in this war-torn region.

*TTL: Spyros Demetriou*

UN Photo/Sylvain Liechi

commitments to enhance collaboration and coordination, including for implementation of the Paris Declaration on Aid Effectiveness.

### OPPORTUNITIES FOR COLLABORATION IN DIFFERENT FCS CONTEXTS

#### ***Deterioration in Local Conditions and Rapid Onset Crises***

When major sudden-onset crises strike, the Bank and UN should seek to ensure an effective immediate response and to share and pool risks associated with remaining engaged or not, duty of care to staff and sustainability of programs.

Reviewing the security and safety requirements for staff may lead to a variety of additional securi-

ty measures and procedures. These could include curfews, housing staff together in compounds or guesthouses, restricting movement of staff, and limiting visiting missions. After all measures have been exhausted, the possibility of relocating or evacuating staff would be considered. Throughout this phase, the respective Bank or IFC Head of Office remains responsible for the security and safety of World Bank Group (WBG) resident staff and visitors within their assigned country(ies)<sup>22</sup>, and traveling staff report to the Head of Office on security matters even if the staff members are working very closely with UN partners. Corporate Security will play a key role throughout this phase

22 Where the Bank and IFC both maintain offices in the same country, the Head of each office is responsible for the security and safety of WBG resident and visiting staff to the respective office and city. Responsibility at the country-level, and city-level when both offices are in the same city, defaults to the Bank Head in cooperation with the IFC Head, unless otherwise designated in the WBG Crisis Management Framework (to be issued in early FY15).

in providing security professional support, including WBG Security Risk Assessments. The decision to relocate or evacuate staff will ultimately be determined by the Vice President, on the recommendation of the CMU and with clearance from Corporate Security<sup>23</sup>. In case of a health threat, clearance from the Bank Group or International Monetary Fund Health Services Department may also be required.

At the same time, the UN's humanitarian entities will assess the situation and determine whether to

23 AMS 6.40, Annex C, addresses the guiding principles, decision-making authority, responsibilities of key stakeholders, and security guidelines for emergency relocation or evacuation of Bank Group staff from the Bank Group's overseas office duty

## OPERATIONAL ANNEX OF THE PARTNERSHIP FRAMEWORK

### Communication protocol

The UNDG and World Bank will strengthen mechanisms for ensuring consistent and effective institutional contacts in crises and emergencies, through the following protocol:

- Immediate contacts in the event of a crisis or post-crisis situation are made between the most senior Bank and UN official at the country level.
- Simultaneously, institutional teams responsible for post-crisis assistance in New York, Geneva, and Washington will ensure that they are in contact.
- The Bank and UNDG institutional teams will be responsible for ensuring that there is effective information sharing and coordination between headquarters and country offices, and among agencies, and for troubleshooting problems arising on issues specific to UNDG or the Bank that cannot be resolved at country level.

activate a system-wide **Level 3 emergency**,<sup>24</sup> when the gravity justifies mobilization beyond a normally expected level, which will trigger a number of immediate actions, including the designation of an HC if one is not already in place, activation of the cluster system and a multi-cluster initial rapid assessment, and launch of a Flash Appeal. In addition, the UN may activate a "step aside" procedure for senior in-country management if it is determined that the unique features of a given emergency require skills or background outside the scope of existing leadership. Level 3 emergencies are typically characterized by extensive violence and loss of life, massive displacements of people, widespread damage to societies and economies, need for large-scale multifaceted humanitarian assistance, hindrance or prevention of humanitarian assistance by political and military constraints, and significant security risks for humanitarian relief workers in some areas.

It is useful for the Bank to work closely with the UN during the initial response period to collectively manage risks, contribute to necessary context and economic analysis, and agree on monitoring arrangements in areas the Bank may not be able to access. The Bank does not provide humanitarian assistance, but it can contribute to restoring livelihoods, as well as providing food and medical support, cash transfers, and other transitional safety nets in order to protect human capital and promote longer-term development.<sup>25</sup> The Bank will often participate in the Early Recovery Cluster.

### ***Planning for an End to Conflict: Peace Processes and Reengagement***

If a peace process is on the horizon or underway, the Bank should continue to work with the UN

24 Determination of a Level 3 Emergency is based on an analysis of 5 criteria: scale, complexity, urgency, capacity, and reputational risk. In 2014, Level 3 Emergencies were activated simultaneously in South Sudan, Syria, and CAR.

25 Activities within World Bank Core Competencies in the Context of Crises And Emergencies—A Good Practice and Guidance Note, pg. 7

and donors in pooling risks, to lean toward effective early analysis and response and contribute to joint watching briefs and preplanning, as has been done in Libya.<sup>26</sup> Generally, the Bank cannot finance peace negotiations, but it can make

technical contributions to the national dialogue or peace process on socioeconomic issues.<sup>27</sup> The Bank can help identify security “flashpoints” emanating from the economic sphere that may not otherwise surface in diplomatic negotiations and

26 OP73

27 Activities within World Bank Core Competencies in the Context of Crises And Emergencies—A Good Practice and Guidance Note, pg. 6

## UN-WB COLLABORATION IN THE GLOBAL EBOLA RESPONSE

The Bank and UN are working closely with governments and other partners in the affected countries, to support immediate response and begin planning for recovery. In 2014, the **Bank mobilized \$518 million** for emergency response in Guinea, Liberia and Sierra Leone to contain and prevent the spread of infections, provide treatment and care to those already infected, help communities cope with the economic impact of the crisis, and resume essential health services. The funds are being disbursed directly to the countries affected by the Ebola outbreak and to UN implementing agencies. Neighboring countries are taking preventive measures and reallocating funds under ongoing projects to engage UN agencies to support this.

In addition to upstream collaboration on analysis and assessments related to the impact of the Ebola crisis, the UN and Bank have worked together to deliver rapid assistance on the ground. By December 2014, the Bank had provided over \$172 million through the UN (UNICEF, WHO, WFP and UNFPA) from an IDA grant. In 2015, UNOPS will receive Bank funding to provide logistical services for the deployment of international responders and medical teams. UN engagement has been provided for through the use of supplies and technical assistance agreements (contracts with the government) under the overall West Africa response plan. Bank funding has supported a large number of national and regional priorities to curb the epidemic, including: UNICEF shipments of essential supplies and vehicles, to Guinea, Liberia and Sierra Leone, technical assistance on infection control and social mobilization; UNFPA delivering motorbikes, computers and other accessories to support the response; WFP provision of ambulances and mortuary vehicles, and delivery of more than 4,000 metric tons of food to holding and treatment centers and quarantined communities in Sierra Leone, reaching at least 300,000 households. UNICEF, WFP, WHO and UNOPS are providing urgent inputs to the three countries, as well as TA, training and services, and supporting the deployment of medical personnel. More information can be found [here](#).



other political mediation, such as: capture and rent through state-owned enterprises, extractive chains of custody, port and airport operations, and the management of revenues and expenditures. These activities have traditionally been undertaken upon invitation by the UN, bilateral donors, or the parties concerned; the Bank's assistance has focused on the economic, reconstruction, and financial dimensions

of peace processes. The Bank's participation as active observer in the International Contact Group for the Mano River Basin (ICG-MRB) in 2004-2005 was valuable to its engagement in Guinea-Conakry and Sierra Leone, and instrumental to its engagement in Liberia.

During this time, the UN may consider the establishment of a mission or a change in its existing presence. The **Strategic**

**Assessment** is the mandatory first step, undertaken to analyze the context and identify options for the UN engagement, including whether to initiate planning for a peacekeeping operation or field-based Special Political Mission or changes to existing arrangements. Technical Assessment Missions (TAMs) may be undertaken at any point in the life cycle of an integrated presence, in order in order to review and adapt existing activities.

The 2013 Integrated Assessment and Planning (IAP) Policy stipulates that any Strategic Assessment or TAM should complement, and draw on, any other analytical processes that the UN and partners may have already undertaken (like a fragility assessment or PCNA), and requires that the Bank be invited to participate. The Bank's participation in the assessment provides an important opportunity

to share relevant analysis and expertise, as well as to begin upstream discussions on strategic planning for peacebuilding and resource mobilization. The level of participation (dedicating a colleague from headquarters or from the field, for some or all of the exercise) should be determined based on the country context. Staff based in the country or region could meet with the Strategic Assessment Mission team to share analysis and expertise and coordinate strategic planning. However, when major developments are underway and joint analysis and coordination are particularly important, for instance in international re-engagements following peace or political change, full Bank participation can be invaluable, such as in the startup of the Liberia mission. The **UN-WB Fragility and Conflict Partnership Trust Fund** can provide the resources needed to support this kind of engagement.

Reengagement in a country often requires joint Bank and IMF work with the government to establish a program of debt relief linked to a reform program. Such efforts are usually undertaken via the Heavily Indebted Poor Countries (HIPC) Initiative and the Multilateral Debt Relief Initiative (MDRI). Participating Bank staff should aim to engage a range of UN entities when developing HIPC and MDRI conditionality, to promote consistency with peace agreement conditions. As party to a peace agreement, governments may undertake obligations to conduct national DDR programmes or reform the security sector while under HIPC, and may have further obligations to increase social investments while reducing borrowing. These collective commitments may need to be reviewed to understand the full—and sometimes conflicting—commitments of a postwar government tracked by international financial institutions as part of HIPC completion and by the Security Council as part of a peace consolidation process.

### *PCNA Examples:*

- *Pakistan*
- *Georgia*
- *Yemen*
- *Somalia*
- *Sudan/ SouthSudan*
- *Darfur*
- *Liberia*
- *Haiti*
- *Iraq*

## **Post-Conflict Needs Assessments**

The cessation of hostilities and a nascent peace agreement are likely to have a high international profile and attract attention to the reengagement process.<sup>28</sup> While the return and resumption action plan is being developed, the Bank may want to consider how it could take advantage of the UN presence and offices (e.g., co-location) while the Bank's Security Risk Assessment and formal relocation process is ongoing.

The **Post-Conflict Needs Assessments** (PCNA)<sup>29</sup>, commonly used during reengagement, is a key entry point for conceptualizing, negotiating, and financing a shared strategy for recovery and development in post-conflict settings. It is usually led by national or regional authorities with shared support from the UN, Bank, and donors. The PCNA includes both the assessment of needs and the national prioritization and costing of needs in an accompanying transitional results framework (TRF). The PCNA is characterized by national leadership, jointness of scope and objectives, and flexibility and adaptability. The PCNA may not be necessary in countries that are undertaking the New Deal process as the two types of approaches share the same basic purposes. The FCV Group is the institutional focal point and can provide guidance on when a PCNA might be used, how to get started, trainings available, and recent lessons learned.

## **Working Together on the Establishment of Multi-Donor Financing Arrangements**

In FCS, pooled financing mechanisms contin-

ue to be important instruments for coherent and sustained international support. They encourage aid alignment behind government priorities; create greater coherence of international responses to complex situations; reduce transaction costs; share risks; and strengthen mutual accountability. Pooled funding instruments have also enhanced collaboration between the UN and the Bank. The Somalia Development and Reconstruction Facility, for example, is both a coordination framework and a financing architecture, providing a single strategy and oversight mechanism for trust funds managed by the Bank and the UN.

Bank staff are strongly encouraged to pursue constructive collaboration with UN colleagues when making recommendations to governments and donors on the design of new MDTFs and other financing arrangements in support of national reconstruction and recovery. Discussions have been challenging in some cases, such as South Sudan in 2006 and Haiti following the earthquake of 2010, particularly regarding the management roles of the Bank and the UN.

The Operational Annex of the Partnership Framework seeks to strengthen collaboration around MDTFs. It sets out a series of technical considerations that should be referred to when seeking to reach agreement on design recommendations, which it says would normally be made jointly by the Bank and UN system, with other multilateral organizations as appropriate in the context. It adds that "in situations where stakeholders in the field hold differing views, country representatives of the UN system and the World Bank should consult their respective designated representatives at HQ."

In particular situations, Bank staff should consult the FCV Group and the Trust Fund Office at an ear-

<sup>28</sup> Refer to AMS 6.40, Annex C, Section III on formally ending relocation/evacuation status.

<sup>29</sup> Following the global PCNA Review and development of the joint **Guidance Note on PCNAs and TRFs** in 2007, The UN, WB, and the European Union signed a **Joint Declaration on Post-Crisis Assessments and Recovery Planning**. The PCNA methodology has also been endorsed by the OECD-DAC, Heads of Multilateral Development Banks, the Secretary-General's Policy Committee, UNDG Principals and UNDG-ECHA Working Group on Transition. The PCNA process will be reviewed again in 2015. While this guide only covers FCS, and therefore focuses on PCNAs, the UN, World Bank, and European Union have also agreed on **Post-Disaster Needs Assessment (PDNA)** methodology.

ly stage for tailored advice on MDTF design. As a starting point, general principles can be drawn from past experience in this area, as reflected in the UN/WB Partnership Review: (1) the establishment of an MDTF should be seen as the start of a potentially challenging implementation process rather than as a competition for control of resources, so it is vital to develop the most practical structure for this purpose; (2) apart from the limited circumstances in which the FPA applies, it is difficult for most Bank-managed trust funds<sup>30</sup> to finance UN implementation, particularly if the agency in question is unable to use Bank rules and procedures; (3) for this reason, two-window trust funds (one Bank, one UN) have proven an effective model in Iraq and elsewhere; and (4) where the FPA is potentially applicable, this should be provided for from the outset in the Administration Agreements signed with donors.

Even when financing arrangements involve multiple windows or separate UN and WB multi-donor trust funds, establishing a common strategic or programmatic framework, common governance arrangements (including joint steering committees) and unified reporting systems can strengthen mutual accountability and enhance coordination. (See Section V.A for a broader discussion of parallel funding of activities within common programmatic frameworks.)

### ***Supporting Development Activities in Difficult Environments***

Particularly in countries in which a peacekeeping mission is present, collaboration with the UN can enable the Bank to support the rollout of development activities in regions affected by conflict, even when access by Bank staff may be restricted

(for example, eastern DRC and northern Mali). The facilitation and good offices initiatives of UN Special Representatives, Special Envoys, and Special Advisors are most effective when complemented by activities of UNCTs, including the Bank, in the areas of institutional strengthening, dialogue, and inclusive economic development. The presence of peacekeeping forces can also provide a security “umbrella” that allows sufficient government and Bank presence at key points, such as regional capitals where the UN is present, to support the implementation and supervision of development activities in broader areas.

Missions and agencies can provide a range of logistical and practical support in such challenging environments. As a specialized UN Agency, the Bank is entitled to use UN flights, which can be essential for access, as well as other logistical support. UN vehicles, office space, and accommodation may be available in areas with few safe alternatives. The presence of civilian mission units (such as Civil Affairs, Political Affairs, and Joint Mission Analysis Centers or JMACs) in conflict-affected regions can provide critical information and analysis, liaison with local communities and officials, and other assistance. Missions and agencies may also share GIS mapping, cartography, and satellite imagery. Throughout this phase, for security matters, Bank Group traveling staff report to the Bank or IFC Head of Office in the affected city or country, without regard to whether they may be working very closely with UN partners.

In challenging environments, where state presence may also be limited, UN Agencies may have the capacity to manage or implement project activities on behalf of governments with Bank financing. While UN staff face similar security concerns and restrictions as Bank staff, the UN

<sup>30</sup> This does not apply to Financial Intermediary Funds (FIFs), where the Bank's role is administrative and its fiduciary responsibility limited.



UN Photo/Catianne Tijerina

## URGENT FOOD AND AGRICULTURAL SUPPORT IN CENTRAL AFRICAN REPUBLIC AND MALI

In 2014, the Bank announced the Emergency Food Crisis Response and Agriculture Re-launch Project, a collaboration with the transitional government of Central African Republic (CAR), Food and Agriculture Organization (FAO), and World Food Program (WFP) supported by a \$20 million IDA credit, to restore livelihoods and assets destroyed by the ongoing conflict, while addressing a severe food crisis. It leveraged key UN capacities (including procurement, targeting, and delivery of supplies), as well as greater geographic access, sending early signals of normalization that pave the way for expanded peacekeeping. The project aimed to provide food to 220,000 young children, 197,000 schoolchildren, and 7,500 pregnant and lactating women, as well as distributing seeds, fertilizers, and other agricultural inputs. The CAR government contracted FAO and WFP using tailored procurement contracts with technical assistance components, with funds disbursed directly to the agencies by the Bank, on the basis of reporting against target deliverables, as the Bank was unable to conduct regular supervision due to security concerns. The agencies sub-contracted networks of local NGOs for targeting and distribution.

Similar agricultural support, for households at risk of food insecurity in conflict-affected northern regions, is under preparation with the government of Mali and the FAO, using \$5 million of emergency funding under the IDA Emergency Recovery and Reconstruction Project.

*CAR TTL: Manievel Sene / Mali TTL: Zie Coulibaly*

Agencies may be able to mobilize local NGOs to implement or supervise activities. The urgent provision of food and agricultural inputs in Central African Republic and Mali is a good example (see box below). In both cases, UN Agencies had established networks of NGOs for targeting and distribution. Occasionally, when even NGOs, local firms, and UN Agencies are not present or able to implement, engineering battalions and other peacekeeping units may be able to undertake reconstruction and development activities, offering further opportunities for partnership with the Bank. (See Section V below.)

## OTHER AREAS OF COLLABORATION WITH PEACEKEEPING AND POLITICAL MISSIONS

Joint projects with peacekeeping missions can also support reconstruction of critical infrastruc-

ture and other development activities, providing employment and improving conditions in areas affected by conflict or disasters. Two notable examples are joint job-creating road-building Bank projects involving UNMIL and UNDP in Liberia and MINUSTAH, UNOPS, and UNDP in Haiti, which paired the expertise and equipment of engineering battalions with funding from the Bank, supported by project management from UNDP and UNOPS respectively. (See box for Liberia example).

Most missions (both peacekeeping and political) do not include capacity to receive and manage Bank funds or administer projects, which necessitates the inclusion of UNDP, UNOPS, or another agency to undertake procurement, contracting of local labor, consultations, and so on. In both the Liberia and Haiti examples, contractual arrangements took several months and required senior-level in-

tervention to agree. Task team leaders are advised to pay close attention to this aspect, which is covered in detail in the accompanying Guidance Note on Structuring Financing and Implementation Arrangements involving UN Agencies.

The box below provides another recent example of UN-Bank collaboration in a mission setting.

### ***Transitions Out of Peacekeeping***

Any UN transition process should aim to hand over key responsibilities to the national government to the extent possible and ensure continued commitment to larger peacebuilding and development goals.<sup>31</sup> The Bank is encouraged to engage with

31 Policy on UN Transitions in the Context of Mission Drawdown or Withdrawal

the UN on discussions around the drawdown of an integrated mission or major humanitarian operation. The Bank should also participate in upstream transition planning around issues such as capacity development for cluster to government sector (e.g., Water, Education, etc.) and state-building and security sector strengthening.<sup>32</sup> In countries where UN or regional peacekeeping operations are drawing down, the Bank should work with the UN and other partners to encourage national planning and budgeting processes that are prepared to manage financial and capacity gaps that national institutions could experience due to the drawdown. In particular, the effective “outsourcing” of some

32 Lessons Learned and Good Practice Tool: Adapting Co-ordination Mechanisms to Support National Transitions

## REBUILDING LIBERIA'S ROADS

Struggling in 2006 to generate employment in areas of Liberia where livelihoods were critical to stabilization and devastated infrastructure in need of repair, the Bank and UN collaborated on the labor-intensive repair of feeder roads through a four-party memorandum of understanding (Liberian Ministry of Public Works, World Bank, UNMI, and UNDP). UNMIL provided engineering equipment for the road repairs, amid insufficient private sector capacity, qualified manpower, and perimeter security, extending their standing responsibility to keep supply lines open in the areas covered. UNDP managed the project, procuring materials, managing recruitment and payroll with \$600,000 from the Bank's Low-Income Countries Under Stress (LICUS) Trust Fund (a precursor to the SPF). The transport expertise of Bank staff added to this security-stabilization-development effort. The MoU, and full case study, prepared for the 2011 WDR can be found [here](#).

TTL: Luigi Giovine





UN Photo/Marco Dormino

## ASSESSING PEACEKEEPING IMPACTS IN MALI

The Bank and the UN Multidimensional Integrated Stabilization Mission in Mali (MINUS-MA) are together analyzing the socioeconomic impact and perceptions of the mission in its host country. While other missions have been assessed once closed, this work focuses on one in its early stages, with the aim of maximizing the benefits of the Peacekeeping Mission to the communities and the local economy and to decrease any negative consequences of the large-scale military buildup in the northern regions of the country. By building joint understanding of the situation in the north and the operating rules and regulations of the two organizations, the study will support increased collaboration as development aid is moved to the north in support of stabilization and post-crisis reconstruction. The project is financed with \$185,000 from the UN-WB Trust Fund, with two consultants recruited by the Bank and a survey team by the UN. The final report is due for completion in early 2015.

*TTL: Asbjorn Haland Wee*

security and public order functions may need to be absorbed over a relatively short period by state institutions. This can put at risk the financial sustainability of new or reformed police, justice, and defense institutions. The Bank, UNDP, and DPKO are increasingly collaborating on security and justice PERs (for example, in Afghanistan, Liberia, and Somalia) and, as a follow on, some Ministries of Finance are bringing these ministries into ongoing Medium-Term Expenditure Frameworks (MTEF) as a means of improving transparency, accountability, and improved budget oversight.

### ***Collaboration on Priority FCS Themes: Justice, Security, Jobs, and Institutional Strengthening***

The WDR 2011 and IDA17 both underscored the need to strengthen UN-Bank partnership in FCS to (i) enhance field-based cooperation in peace-building engagements at the country level, and (ii) strengthen collaboration on key themes that are a priority for both the UN and Bank (priorities identified include jobs and livelihoods, strengthening public sector capacity in FCSs, and promoting justice sector reform). In recent years, the UN and Bank have developed a number of joint tools to

#### ENTRY POINTS:

- Joint support for the phased transition from humanitarian programs to government-provided service delivery. Examples: Timor-Leste health, Afghanistan health, Aceh recovery, and refugee livelihoods in Sudan and Chad.
- Joint support for phased transition from peacekeeping support to sustainable security sectors: UN dialogue, supported by Bank analysis of public expenditures. Examples: Liberia and Afghanistan.
- Security and Justice Public Expenditure Reviews (SJPERs) and inclusion of defense, interior, justice ministries in MTEFs.

guide thematic FCS collaboration, supported by the UN-WB Fragility and Conflict Partnership Trust Fund, including:

- A UN-Bank joint Security Sector Expenditure Review Sourcebook, being rolled out in CAR.
- A joint framework for strengthening Justice Service Delivery in FCS using on a problem-driven approach, recently piloted in Somalia.

- A joint diagnostic tool on Reestablishing Core Government Functions in the Immediate Aftermath of Conflict, to be piloted in Yemen and CAR in 2015.
- A joint conflict-sensitive extractive industries framework to help governments to offset and proactively respond to conflict risks, through key entry points along the extractive industries value chain.

There are plans to develop a joint diagnostic tool in 2015 to enhance collaboration in support of jobs and livelihoods in FCS, following the recent establishment of the new Jobs Group within the Bank. For additional partnership examples around the entry points described above and the operational tools outlined below, please contact [un-wbpartnership@worldbank.org](mailto:un-wbpartnership@worldbank.org).

# V. WORKING TOGETHER IN SUPPORT OF GOVERNMENT PROJECTS AND PROGRAMS:

## KEY ISSUES AND TOOLS FOR STRUCTURING OPERATIONAL COLLABORATION\*

There are compelling reasons for the Bank and UN to collaborate on the implementation of government projects and programs in FCS. UN entities can offer quick implementation capacity and supply health and other critical goods when governments may lack capacity, even in challenging environments. They can deliver technical assistance and capacity building and develop promising pilot initiatives that can be scaled up with Bank funding.

The potential implementation role will vary with the agency, as well as capacity and access in a particular context, so it is important to clarify these aspects at an early stage. While some UN entities, such as UNOPS, will typically undertake implementation activities directly, others, including UNDP and UNICEF, will often work with local implementing partners. While many UN organizations (including UNDP, UNICEF, UNFPA, and FAO) support national implementation where the capacity is in place, direct implementation is prevalent in FCS.

Real progress has been made in making Bank and UN fiduciary systems more compatible, but it can still be challenging to establish the legal and operational framework for initiatives that involve cross-financing. When considering specific activities with UN entities, teams should refer to the comprehensive guidance on structuring collaboration with UN partners, which OPSOR is finalizing in parallel with the development of this resource guide. The

### UNDP IMPLEMENTATION MODALITIES

**National Implementation** (NIM, formerly referred to as National Execution or NEX) signifies the overall responsibility and assumption of accountability by client governments for the formulation and management of UNDP-supported programs. Projects under these programs can be implemented in a variety of ways: national implementation, implementation by UNDP under government oversight, other UN Agency implementation, NGO implementation, and implementation by an intergovernmental organization. NIM has historically been a norm for UNDP. It applies when there is a government entity directly concerned with the project's activities and results, there is a government entity whose intended role is to sustain project results, and the relevant government entity has adequate capacity and is committed to carrying out the project and assuming overall responsibility for management and reporting, as determined by a capacity assessment.

Direct Implementation (DIM) is appropriate when the government lacks the required management or substantive capacity; project implementation requires speedy delivery, such as in crisis situations; activities require unique technical, sector, regional, or global experience, specific management capacity, or access to international networks; or the parties prefer Agency execution for other reasons, such as neutrality in the case of electoral assistance. UNDP assumes overall responsibility for management and reporting under the DIM modality. One key difference between the two modalities is that on a DIM project, all UNDP procedures would normally apply, while under NIM, government procedures and systems that do not contravene UNDP financial regulations and rules would be used. UNDP procedures would normally otherwise prevail.

\* When planning operational collaboration with the UN, teams should refer to the Guidance Note on Structuring Financing and Implementation Arrangements involving UN Agencies, currently being developed by OPSOR.

منذوق  
رؤاد للمشاريع  
الناشئة

## PARALLEL BANK-UN SUPPORT FOR JORDANIAN HOST COMMUNITIES

In late 2013, the UN-WB Trust Fund approved \$150,000 to jump-start UNDP activities under the Kingdom of Jordan's US\$50 million Emergency Services and Social Resilience program, financed by an MDTF with contributions from Canada, the United Kingdom, Switzerland, and the Bank. The financing allowed UNDP to begin supporting the municipalities in their community outreach efforts since community participation was a critical component of the project, the aim of which was to mitigate the impact of the inflow of Syrian refugees on Jordanian host communities. UNDP's next phase of support to the Bank-funded project, will likely to be funded directly through a contract with the government of Jordan, and support the prioritization of projects to be funded in the second year's round of municipal grants through community consultations facilitated by the teams who benefited from the community outreach support.

*TTL: Sima Kanaan*



Empowered lives.  
Resilient nations.



JAPAN  
Office of Government Assistance

مشروع تخفيف أثر أزمة اللاجئين السوريين  
على المجتمعات المضيفة في الأردن  
برنامج للمشاريع الصغيرة والمبادرات الريادية

الرمثا

المشاريع

following sections describe main operational collaboration models: parallel funding, government contracting of UN Agencies under Bank projects, Bank contracting of UN Agencies, and UN funding of Bank activities.

## PARALLEL FUNDING WITHIN A COMMON FRAMEWORK

Effective joint work can be based on parallel, independent funding streams for Bank-supported and UN-executed activities, bound together in a common programmatic framework. If funds not managed by the Bank are available to support UN implementation, this route can be the easiest as each side can use its own policies for procurement, financial management, safeguards, and so on.

With accountability not linked directly to the flow of funds, other approaches are needed to promote coherence and timely delivery of results by all parties. Ways that this can be achieved include: a strong government-led management and coordination structure, including jointly developed work plans, a common reporting system, with regular meetings and workshops. Cambodia's **Seila decentralization program**, which coordinated the activities of UNDP, the WB and other partners, is a good example of the use of such systems. A memorandum of understanding among all parties can be useful to clarify roles and responsibilities. Where a common program is of a scale that dedicated (parallel) MDTFs and other financing arrangements are being established to support it, further measures to promote coordination can be built into the structure of these arrangements. (See see preceding sub-section on MDTFs.)

Program funding modalities that rely on national systems and disburse according to progress indi-

cators, such as Sector-Wide Approaches (SWAps) or the Bank's Program-for-Results (P4R), facilitate close collaboration and coordination among the Bank, UN Agencies, and other partners. However, these approaches may not be appropriate in fragile states with weak institutional capacity.

The UN/WB Fragility and Conflict Partnership Trust Fund has a UN window that can provide some funding for parallel execution linked to joint efforts, such as collaboration with IDA and IBRD projects or initiatives supported by the Partnership Trust Fund's Bank-executed financing. The box on the preceding page presents a recent successful example in Jordan.

## GOVERNMENT CONTRACTING OF UN AGENCIES UNDER BANK-FINANCED PROJECTS

Including in FCS, when IBRD, IDA, or Bank-managed trust fund resources are involved, client governments normally undertake selection, procurement, and contracting using normal Bank policies and procedures. These contain several UN-related provisions, described below. Some UN Agencies, including UNDP, may find it difficult under their own rules to be contracted by governments based on procurement principles, including in situations where they are under a DIM modality (see preceding box).

In the case of consultant services or technical assistance, the Bank's 2011 **Consultant Guidelines** (par. 3.15) allow for

*Working with the UN – FAQs:*

*The Operational Solutions Team in the FCV Group has prepared a number of answers to commonly asked questions, available [here](#). Covering:*

- *Legal*
- *Safeguards*
- *Financial Management*
- *Procurement*

single-sourcing of UN Agencies by borrowers when they are “uniquely or exceptionally qualified to provide technical assistance and advice in their area of expertise” but do not allow them preferential treatment in competitive selection processes. The Bank may agree that UN Agencies follow their own procedures for selection and supply of goods on small contracts and “under certain circumstances

in response to natural disasters and for emergency situations declared by the Borrower and recognized by the Bank.”

For goods, works, and non-consultant services, the Procurement Guidelines (par. 3.10) allow for procurement directly from UN Agencies for (a) small quantities of off-the-shelf goods, primarily

#### ADAPTING AND PARTNERING TO FIGHT LOCUSTS IN MADAGASCAR

After declaring a national state of emergency to deal with a major locust plague in 2013, the Government of Madagascar launched an appeal to the donor community for urgent assistance, and requested that FAO conduct outbreak assessments and develop a locust containment plan. In response, the Bank approved the restructuring of the multi-sectoral Infrastructure Preservation and Vulnerability Reduction Project (PUIRV) and reallocation of \$10 million to fund the most urgent activities, outsourced to FAO on a sole source basis, given its expertise and comparative advantage. The existing WB/FAO standard TA agreement template was not suitable for procurement of items related to locust response (pesticides, and related spraying services, storage and equipment). A new Supplies and Related Services Agreement was created in 21 days, with the help of OPCS, LEGOP and the Controller, following negotiations with Government officials and FAO counterparts. The one-off agreement, which complied with Bank procurement and safeguard guidelines, allowed for rapid financing of the necessary supplies and services, and ensured that the critically time-sensitive response could begin without delay.

*TTL: Lova Ravaoarimino, Joao Veiga Malta*



for the education and health sectors; (b) health-related goods for the treatment of humans and animals (in certain circumstances); and (c) small-value contracts for works of a simple nature when the UN Agencies act as contractors, or directly hire small contractors, and skilled or unskilled labor; or (d) in exceptional cases, such as in response to natural disasters and emergency situations.

The Bank has agreed standard forms of agreement with certain UN Agencies for technical assistance and procurement, to be signed by the agency and the borrower. Bank staff should contact OPSOR for assistance in adapting these models in specific cases involving other agencies or activities. Current agreed standard models cover technical assistance from FAO and UNESCO and the supply of health sector goods by UNFPA, UNICEF, and WHO, which are available [here](#).

## DIRECT BANK CONTRACTING OF UN ACTIVITIES

Direct Bank contracting of UN Agency implementation is allowed only for IBRD, IDA, and Recipient-Executed Trust Funds when the conditions specified for alternative implementation in par. 11 of OP10.00, Investment Project Financing, are met. These apply “when the borrower/beneficiary is deemed by the Bank to: (i) be in urgent need of assistance because of a natural or man-made disaster or conflict; or (ii) experience capacity constraints because of fragility or specific vulnerabilities (including for small states).” In such situations, implementation can be undertaken by “relevant international agencies, including the United Nations, national agencies, private entities, or other third parties” if the following conditions are met: “the beneficiary’s capacity to implement the needed

activities be insufficient; and that the beneficiary requests the Bank to make alternative legal and operational arrangements.” Such arrangements are “limited to the time necessary to establish or restore borrower capacity and, in all cases, are adopted in Projects that include capacity-building measures to enable a timely transfer of implementation responsibilities to the borrower.”

In these situations and for certain trust funds the 2008 [UN-WB Fiduciary Principles Accord](#) (FPA), agreed among the Bank and [11 UN signatories](#),<sup>33</sup> can provide a useful contractual framework. It allows recipients to use their own systems for procurement, financial management, and addressing fraud and corruption, as well as for project preparation, implementation, and supervision. It applies only to Bank- or UN-administered funds for crisis, post-crisis, emergency, and humanitarian interventions, not to IBRD, IDA, or Bank budget. The Bank, in the [2008 Board Paper](#) that embedded the agreement in the broader Bank policy framework, limited the application of the FPA to trust funds for which all donors have agreed in advance to FPA usage.

A [joint Bank-UN Review of FPA use](#), released in 2014 concluded that the FPA had been helpful when used, but that it had been used much less than expected. Recommendations included a strengthening of advisory and troubleshooting support on both sides and that the Bank consider expanding FPA applicability. An updating of the Bank’s own framework for FPA use, as set out in the FPA Board Paper, is needed to reflect broader changes such as the introduction of OP10.00.

When the FPA does not apply, direct transfers to [UN Agencies](#) can take advantage of the 2006 [Fi-](#)

33 These are UNDP, UNICEF, FAO, HABITAT, UNOPS, UNESCO, UNFPA, ILO, UN-HCR, WFP, and WHO.

---

**UN/WB FRAGILITY AND CONFLICT PARTNERSHIP TRUST FUND**

1818 H Street, NW

Washington, DC 20433

[www.worldbank.org/fragilityandconflict](http://www.worldbank.org/fragilityandconflict)

[un-wbpartnership@worldbank.org](mailto:un-wbpartnership@worldbank.org)