UNDAF ACTION PLAN
(Year-Year)
United Nations System in (country name)
and Government of (country name)

Date
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I. Introduction
II. Signature Page

___________________________________________
Signatures UN System Agencies

___________________________________________
Signature Government
III. Partnerships, Values and Principles

Mandatory text box to be included in this section:

Whereas the Government of _____________ (hereinafter referred to as “the Government”) has entered into the following:

a) WHEREAS the Government and the United Nations Development Programme (hereinafter referred to as UNDP) have entered into a basic agreement to govern UNDP’s assistance to the country (Standard Basic Assistance Agreement (SBAA)) [or other agreement depending on country], which was signed by both parties on _______ (date). Based on Article I, paragraph 2 of the SBAA, UNDP’s assistance to the Government shall be made available to the Government and shall be furnished and received in accordance with the relevant and applicable resolutions and decisions of the competent UNDP organs, and subject to the availability of the necessary funds to the UNDP. In particular, decision 2005/1 of 28 January 2005 of UNDP’s Executive Board approved the new Financial Regulations and Rules and along with them the new definitions of ‘execution’ and ‘implementation’ enabling UNDP to fully implement the new Common Country Programming Procedures resulting from the UNDG simplification and harmonization initiative. In light of this decision this UNDAF Action Plan together with an annual work plan (AWP) (which shall form part of this UNDAF Action Plan, and is incorporated herein by reference) concluded hereunder constitute together a project document as referred to in the SBAA [or other appropriate governing agreement].

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

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

d) With the World Food Programme a Basic Agreement concerning assistance from the World Food Programme, which Agreement was signed by the Government and WFP on _____.

e) With the United Nations Population Fund (UNFPA) a [select: Exchange of letters / Memorandum of understanding] dated _______ to the effect that the SBAA signed by UNDP and the Government on _________ be applied, mutatis mutandis, to UNFPA.

f) With UNIDO the Agreement between the Government of [NAME] and [MOFCOM] for the establishment of the UNIDO Office as established in [YEAR]. If an SBCA has been concluded with the Government concerned, a reference to it should be included instead of or in addition to the Country Office Agreement.

g) With the Food and Agriculture Organization of the United Nations the Agreement for the opening of the FAO Representation in [COUNTRY] on [DATE]. [in case FAO has a sub-regional or a regional office in the country, a relevant specific mention shall be made].

[Add in references to other UN system agencies as appropriate]. The UNDAF Action Plan will, in respect of each of the United Nations system agencies signing, be read, interpreted, and implemented in accordance with and in a manner that is consistent with the basic agreement between such United Nations system agency and the Host Government.

1 In the countries where SBAA [or other agreement depending on country] have not been signed, the Standard annex to project documents for use in countries which are not parties to the Standard Basic Assistance Agreement (SBAA) should be attached to the UNDAF Action Plan, which together with the Annual Work Plan constitutes the “Project Document”. 
IV. Programme and Actions and Implementation Strategies (2-3 pages)
V. Programme Management and Accountability Arrangements

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

All cash transfers to an Implementing Partner are based on the annual work plans (AWPs) agreed between the Implementing Partner and the UN system agencies.

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

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

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

(Cont’d)
Cash transfers for activities detailed in annual work plans (AWPs) can be made by the UN system agencies using the following modalities:

1. Cash transferred to the [national institution] for forwarding to the Implementing Partner:
   a. Prior to the start of activities (direct cash transfer), or
   b. After activities have been completed (reimbursement).

2. Direct payment to vendors or third parties for obligations incurred by the Implementing Partners on the basis of requests signed by the designated official of the Implementing Partner.

3. Direct payments to vendors or third parties for obligations incurred by UN system agencies in support of activities agreed with Implementing Partners.

Where cash transfers are made to the [national institution], the [national institution] shall transfer such cash promptly\(^3\) to the Implementing Partner.

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

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

Cash transfer modalities, the size of disbursements, and the scope and frequency of assurance activities may depend on the findings of a review of the public financial management capacity in the case of a Government Implementing Partner, and of an assessment of the financial management capacity of the non-UN\(^4\) Implementing Partner. A qualified consultant, such as a public accounting firm, selected by the UN system agencies may conduct such an assessment, in which the Implementing Partner shall participate. The Implementing Partner may participate in the selection of the consultant.

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

\(^3\) This can be replaced by a specific number of days in lieu of “promptly.”

\(^4\) For the purposes of these clauses, “the UN” includes the IFIs.
VI. Resources and Resource Mobilization Strategy (1 page)

Mandatory text box to be included in this section:

The UN system agencies will provide support to the development and implementation of activities within the UNDAF Action Plan, which may include technical support, cash assistance, supplies, commodities and equipment, procurement services, transport, funds for advocacy, research and studies, consultancies, programme development, monitoring and evaluation, training activities and staff support. Part of the UN system agencies’ support may be provided to Non-Governmental [and Civil Society] system agencies as agreed within the framework of the individual annual work plans (AWPs) and project documents.

Additional support may include access to UN organization-managed global information systems, the network of the UN system agencies’ country offices and specialized information systems, including rosters of consultants and providers of development services, and access to the support provided by the network of UN Specialized Agencies, Funds and Programmes.

The UN system agencies shall appoint staff and consultants for programme development, programme support, technical assistance, as well as monitoring and evaluation activities.

Subject to annual reviews and progress in the implementation of the programme, the UN system agencies’ funds are distributed by calendar year and in accordance with the UNDAF Action Plan. These budgets will be reviewed and further detailed in the annual work plans (AWPs) and project documents. By mutual consent between the Government and the UN system agencies, funds not earmarked by donors to the UN system agencies for specific activities may be re-allocated to other programmatically equally worthwhile activities.

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

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

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

Where the UN system agencies and other UN system agency provide cash to the same Implementing Partner, programme monitoring, financial monitoring and auditing will be undertaken jointly or coordinated with those UN system agencies.
VII. Communication (half page)
VIII. Monitoring and Evaluation (1-2 pages)

Mandatory text box to be included in this section:

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

1. Periodic on-site reviews and spot checks of their financial records by the UN system agencies or their representatives,

2. Programmatic monitoring of activities following the UN system agencies’ standards and guidance for site visits and field monitoring,

3. Special or scheduled audits. Each UN organization, in collaboration with other UN system agencies (where so desired and in consultation with the respective coordinating Ministry) will establish an annual audit plan, giving priority to audits of Implementing Partners with large amounts of cash assistance provided by the UN system agencies, and those whose financial management capacity needs strengthening.

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

- [Where an assessment of the Public Financial Management system has confirmed that the capacity of the Supreme Audit Institution is high and willing and able to conduct scheduled and special audits]:
  
  The Supreme Audit Institution may undertake the audits of Government Implementing Partners. If the SAI chooses not to undertake the audits of specific Implementing Partners to the frequency and scope required by the UN system agencies, the UN system agencies will commission the audits to be undertaken by private sector audit services.

- [Where no assessment of the Public Financial Management Capacity has been conducted, or such an assessment identified weaknesses in the capacity of the Supreme Audit Institution]:
  
  The audits will be commissioned by the UN system agencies and undertaken by private audit services.

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5 Seen through a South-South lens, the capacity assessment process presents an opportunity to identify capacity assets that a particular country could offer to other developing countries and the capacity gaps that could be filled by other developing countries. For UNDP, the audit of NGO or nationally implemented projects can be assigned to the national Supreme Audit Institution (SAI) only on the condition that the institution has a demonstrated capacity to carry out the audits in an independent manner. To this effect, the Office of Audit and Investigations (OAI) has made available on its Intranet site guidance on the assessment of SAIs along with a questionnaire that will need to be properly completed, signed and communicated to OAI to support that due diligence has been exercised prior to opting for having such audits undertaken by the national SAI. Please refer to OAI Intranet site for further details.
IX. Commitments of the Government

Mandatory text box to be included in this section:

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

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

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

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

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

In the case of international NGO/CSO and IGO Implementing Partners cash received shall be used in accordance with international standards in particular ensuring that cash is expended for activities as agreed in the annual work plans (AWPs), and ensuring that reports on the full utilization of all received cash are submitted to [UN organization] within six months after receipt of the funds.
To facilitate scheduled and special audits, each Implementing Partner receiving cash from [UN organization] will provide UN system agency or its representative with timely access to:

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

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

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

Report on the actions taken to implement accepted recommendations to the UN system agencies (and where the SAI has been identified to conduct the audits, add: and to the SAI), on a quarterly basis (or as locally agreed).
X. Other Provisions (1-2 pages)

10.1 This section should include the following provisions:

- A statement that this UNDAF Action Plan supersedes any previously signed Country Programme Action Plans and any other operational documents that are specifically superseded;

- A statement that the UNDAF Action Plan may be modified by mutual consent, in writing;

- A statement that the UNDAF Action Plan may be extended or terminated under certain conditions.

Suggested text is:

8 Project documents of Specialized and Non-Resident Agencies/ UN organizations will not, in general, be superseded by this UNDAF Action Plan, but if they are this should be noted.

In the event of any significant change in the situation requiring a change in objectives or a need to extend the duration and scope of the planned programme components, the Government will make a formal request to the UN system agencies through the Representatives of each of the UN system agencies and an appropriate amendment to this UNDAF Action Plan will be negotiated.

In the event of a failure by one party to fulfil any of its obligations under this UNDAF Action Plan:

(a) where the defaulting party is one of the UN system agencies, the Government may either (i) suspend the discharge of its own obligations vis-à-vis the defaulting party by giving written notice to that effect to the defaulting party or (ii) terminate the UNDAF Action Plan vis-à-vis the defaulting party by giving written notice of sixty (60) days to the defaulting party; and

(b) where the defaulting party is the Government, the UN system agency as to which the Government has defaulted, either alone or together with all other UN system agencies, may either (i) suspend the discharge of its own obligations by giving written notice to that effect to the defaulting party or (ii) terminate the UNDAF Action Plan by giving written notice of sixty (60) days to the defaulting party.

- Provisions for dispute settlement. Suggested text is:

Any dispute between the Government and an UN system agency shall be resolved in accordance with the provisions of that Organization’s basic agreement with the Government as referred in Part 2 of this UNDAF Action Plan. Any dispute among the UN system agencies shall be resolved exclusively among the UN system agencies through approaches identified in the UNDG-endorsed dispute resolution mechanism.

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8 Project documents of Specialized and Non-Resident Agencies/ UN organizations will not, in general, be superseded by this UNDAF Action Plan, but if they are this should be noted.
• A statement that nothing in this UNDAF Action Plan shall in any way be construed to waive the protection of the UN system agencies accorded by the contents and substance of the United Nations Convention on Privileges and Immunities to which the Government is a party (as applicable). Suggested text is:

• The Government will honour its commitments in accordance with the provisions of the cooperation and assistance agreements outlined in paragraph [x above in the section on Basis of the Relationship]. The Government shall apply the provisions of the Convention on the Privileges and Immunities of the United Nations agencies to the Agencies’ property, funds, and assets and to its officials and consultants. In addition the Government will accord to the Agencies and their officials and to other persons performing services on behalf of the Agencies, the privileges, immunities and facilities as set out in the cooperation and assistance agreements between the Agencies and the Government. The Government will be responsible for dealing with any claims, which may be brought by third parties against any of the Agencies and its officials, advisors and agents. None of the Agencies nor any of their respective officials, advisors or persons performing services on their behalf will be held responsible for any claims and liabilities resulting from operations under the cooperation and assistance agreements, except where it is mutually agreed by Government and a particular Agency that such claims and liabilities arise from gross negligence or misconduct of that Agency, or its officials, advisors or persons performing services.

[If required]: Without prejudice to the generality of the foregoing, the Government shall insure or indemnify the Agencies from civil liability under the law of the country in respect of vehicles provided by the Agencies but under the control of or use by the Government.

(a) “Nothing in this Agreement shall imply a waiver by the UN or any of its Agencies or Organizations of any privileges or immunities enjoyed by them or their acceptance of the jurisdiction of the courts of any country over disputes arising of this Agreement”.

(b) Nothing in or relating to this document will be deemed a waiver, expressed or implied, of the privileges and immunities of the United Nations and its subsidiary organs, including WFP, whether under the Convention on the Privileges and Immunities of the United Nations of 13th February 1946, the Convention on the Privileges and Immunities of the Specialized Agencies of 21st November 1947, as applicable, and no provisions of this Note Verbale or any Institutional Contract or any Undertaking will be interpreted or applied in a manner, or to an extent, inconsistent with such privileges and immunities.
- **Two UNDP mandatory clauses** on security plan and government cost sharing at the UNDAF Action Plan level.

- A statement that this UNDAF Action Plan will come into force upon signature by the Government and the UN system agencies. Suggested text is:

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  IN WITNESS THEREOF the undersigned, being duly authorized, have signed this UNDAF Action Plan on this day [day, month, and year] in [name of city, name of country].
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XI. UNDAF Action Plan Results Matrix

As mentioned in paragraph 2.6 of this guidance note, the UNDAF Action Plan reflects the results already specified in the UNDAF results matrix. According to the UNDAF guidelines, UNCTs have the flexibility to either keep the UNDAF results matrix at the outcome level (Option 1a), or develop a fuller results matrix, that includes outputs (Option 1b). If the UNCT keeps the UNDAF results matrix at the outcome level (Option 1a) and decides to prepare an UNDAF Action Plan, then the outputs are specified in the UNDAF Action Plan.

The wording of national development priorities and outcomes and outputs (if mentioned in the UNDAF results matrix) should not be changed between the UNDAF results matrix and the UNDAF Action Plan results matrix.

The length of this matrix will depend on the complexity of the programmes.

A proposed format for the results matrix is given below.

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### National Development Priorities or Goals:

<table>
<thead>
<tr>
<th>UN system agency</th>
<th>Indicators, Baselines &amp; Targets</th>
<th>Means of verification</th>
<th>Risks and assumptions</th>
<th>Role of Partners</th>
<th>Indicative Resources</th>
<th>Monitoring process</th>
<th>Monitoring mechanism</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

| UNDAF outcome 1 |                                |                      |                      |                 |                      |                   |                   |
|-----------------|--------------------------------|----------------------|----------------------|-----------------|----------------------|                   |                   |
| Output 1.1      |                                |                      |                      |                 |                      |                   |                   |

| UNDAF outcome 2 |                                |                      |                      |                 |                      |                   |                   |
|-----------------|--------------------------------|----------------------|----------------------|-----------------|----------------------|                   |                   |
| Output 2.1      |                                |                      |                      |                 |                      |                   |                   |
| Output 2.2      |                                |                      |                      |                 |                      |                   |                   |

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7 List contributing UN agencies for each output and highlight the convening/coordinating agency/organization. In the case of joint programmes, identify the lead UN agency/organization and/or managing/administrative agent.

8 Describe how non-UN partners will contribute towards each outcome and identify implementing partners for each output.

9 Resource commitments will depend on the ability of UN agencies/organizations to raise funds for the programme—this must be noted in the table in section 5 of the UNDAF Action Plan text on Resources and Resource Mobilization. For additional information about the common budgetary framework, please see Annex 3 (introduced in October 2010).
XII. Annexes (if applicable)
XIII. Glossary/Acronym List