

Rule of Law Coordination and Resource Group

Joint Strategic Plan

2009–2011

Vision

The vision of the United Nations is a just, secure and peaceful world, governed by the rule of law

Mission

To achieve this vision, the Rule of Law Coordination and Resource Group will work together and in support of one another, in the spirit of shared values and principles, to ensure effective and coherent United Nations rule of law efforts, which are aligned with the aspirations of our partners at international and national levels

INTRODUCTION

1. **Purpose.** The Rule of Law Coordination and Resource Group Joint Strategic Plan for 2009–2011 lays out an agenda for key United Nations rule of law* efforts to be undertaken by the Group. It outlines the strategic principal outcomes, outputs and joint activities, to which the members of the Group will contribute.
2. This Plan is informed by the Guidance Note of the Secretary-General on UN Approach to Rule of Law Assistance; the Millennium Declaration; 2000 Report of the Panel on United Nations Peace Operations (the “Brahimi” report); 2004 Report of the Secretary-General *The rule of law and transitional justice in conflict and post-conflict societies*; 2005 World Summit Outcome Document; 2006 Report of the Secretary-General *Uniting our strengths: Enhancing the United Nations support for the rule of law*; the Decisions of the Secretary-General 2006/47 (on the rule of law) and 2007/11 (on security sector reform); General Assembly resolutions 61/39 and 62/70, 2008 Report of the Secretary-General *Strengthening and coordinating United Nations rule of law activities*; and the establishment of new system-wide arrangements comprised of the Rule of Law Coordination and Resource Group, supported by the Rule of Law Unit, and a system of leads for various rule of law sub-sectors. These new arrangements seek to deepen and rationalize the United Nations rule of law work, strengthen its capacities, enhance its institutional memory, and ensure more effective coordination within the United Nations and with outside actors.
3. The Joint Strategic Plan has been adopted by the nine members of the Rule of Law Coordination and Resource Group: the Department of Political Affairs, the Department of Peacekeeping Operations, the Office of the High Commissioner for Human Rights, the Office of Legal Affairs, the United Nations Development Programme, the United Nations Children’s Fund, the United Nations High Commissioner for Refugees, the United Nations Development Fund for Women, and the United Nations Office on Drugs and Crime. In adopting the Plan, members vowed to work individually within their respective mandates, and collectively through the Group, to implement the United Nations rule of law vision.
4. The Plan is designed to maximize areas of synergy and complementarity while minimizing overlap and duplication. It aims to improve the quality of the rule of law assistance provided to Member States through cost-effective prioritization of rule of law activities to be undertaken by the Group and its members over the next three years.
5. **Summary.** This first Plan is targeted and prioritizes key areas for collective achievement by the Group. It is not intended to cover all the United Nations system’s efforts on rule of law nor all rule of law activities undertaken, individually or jointly, by the members of the Group.
6. The Joint Strategic Plan seeks to implement the common approach outlined in the Guidance Note on a UN Approach to Rule of Law Assistance, which includes

* For the United Nations, the rule of law is “a concept at the very heart of the Organization’s mission. It refers to a principle of governance in which all persons, institutions and entities, public and private, including the State itself, are accountable to laws that are publicly promulgated, equally enforced and independently adjudicated, and which are consistent with international human rights norms and standards. It requires, as well, measures to ensure adherence to the principles of supremacy of law, equality before the law, accountability to the law, fairness in the application of the law, separation of powers, participation in decision-making, legal certainty, avoidance of arbitrariness and procedural and legal transparency.” (S/2004/616)

conducting joint, thorough assessments with the meaningful participation of national stakeholders to determine rule of law needs; supporting the development of a comprehensive rule of law strategy; formulating joint UN rule of law programmes; and assigning implementation responsibilities and ensuring accountability.

7. The Plan is modest and results-oriented. The Group will focus its efforts on achieving the following three principal outcomes during 2009-2011 (see the Results Framework for corresponding outputs and activities):

Principal Outcome 1: The coherence, quality and coordination of rule of law policy and guidance are strengthened.

A framework for UN system-wide rule of law guidance will be developed and gaps in existing guidance will be identified and prioritized. The Group will collectively develop guidance on key cross-cutting issues that furthers implementation of the Plan. Lead entities will develop guidance to fill gaps through a process of cooperation, consultation and endorsement of guidance material of system-wide relevance by the Rule of Law Coordination and Resource Group. A system-wide training programme on the UN approach to rule of law for its personnel will also be established.

Principal Outcome 2: In selected pilot countries, effective United Nations Joint Programmes are carried out in support of national rule of law efforts.

The Group will develop, carry out, and guide joint programmes that seek to support national stakeholders in developing and implementing effective national rule of law strategies in three pilot countries. These joint programmes will be monitored and evaluated by the Group to assess the effectiveness of implementation of the Guidance Note on a UN Approach to Rule of Law Assistance.

Principal Outcome 3: Member States reaffirm the importance of the rule of law at a High-Level Segment of the General Assembly.

The aim is to support Member States in organizing and conducting a High-Level Segment on Rule of Law, and in adopting Chair's conclusions that reinforce the commitment of Member States, the United Nations and other partners to strengthening the rule of law at the national and international levels.

BACKGROUND

8. The United Nations is engaged in an on-going process to strengthen its attention to the rule of law at the national and international levels. The normative foundation for UN rule of law assistance lies in the Charter of the United Nations, together with four pillars of the modern international legal system – international human rights law, international humanitarian law, international criminal law and international refugee law – and the wealth of UN human rights, and crime prevention and criminal justice standards.
9. Over recent years the Organization has taken steps to address the need for greater coordination and coherence of UN rule of law efforts. Ultimately under the authority and direction of the Secretary-General, the responsibility for the overall coordination of the Organization’s rule of law work rests with the Rule of Law Coordination and Resource Group, chaired by the Deputy Secretary-General, and supported by the Rule of Law Unit. Its role is to ensure coherence and minimize fragmentation across all thematic areas, including justice, security, prison and penal reform, legal reform, constitution-making and transitional justice. Many Group members are lead entities in various rule of law sub-sectors, designated in accordance with their mandates, but do not assume exclusive responsibility for the area of expertise. They are expected to perform operational, coordination and policy functions at both the global and the country level. Thus, they need to ensure adequate capacity to fulfill their functions, taking into account and making best use of existing capacities, expertise and mandates of other UN and non-UN actors.
10. The Group conducted a mapping of planned 2008 rule of law activities, which reflected the challenges to coordination and coherence of UN rule of law assistance. It showed that joint UN strategies, approaches, priorities and programming have not evolved naturally in step with the development of UN capacities in this field. It also illustrated the need to enhance internal UN partnerships, and to draw more effectively on outside expertise. Establishing partnerships should be an integral part of the planning process, rather than being developed after entities decide on projects and programming. Unless these issues are addressed, rule of law work will remain ad hoc.
11. This plan was developed to begin to address these challenges. It is the result of a strategic planning exercise undertaken by the Group.

IMPLEMENTATION

12. **Responsibilities.** The Plan will be implemented jointly by the members of the Group, while respecting mandated responsibilities entrusted to individual members of the Group and the system of leads. In this regard, members of the Group will take responsibility for leading implementation of key aspects of the Plan (see Results Framework). Joint planning, programming and implementation will be undertaken in the context of existing UN planning processes, such as the Integrated Mission Planning Process for peacekeeping operations. Implementation responsibilities will be refined and adjusted in the course of carrying out the Plan.
13. **Partnerships.** The Group has prioritized partners to engage with in the development and implementation of the Joint Strategic Plan. In developing the Plan, members of the Group and the Rule of Law Unit consulted with the UN system (headquarters and field presences) and external partners. For implementation of the

Plan, the Group will draw upon the expertise and cooperation of a wide range of partners depending on the purpose of the partnerships (financial, political, programmatic) and corresponding to the Plan outcomes. Partners include the wider UN system, Member States, civil society groups, academics and training institutes in donor and recipient countries, and international and regional assistance providers (see Results Framework). Existing partnerships should be drawn upon to the extent possible.

14. **Funding.** The Joint Strategic Plan will include estimated costs to achieve the Plan outputs. The costing will be detailed in Yearly Implementation Work Plans (2009, 2010, 2011). For initial activities, the Rule of Law Unit will draw on voluntary funds dedicated to coordination and coherence activities (in the existing Executive Office of the Secretary-General Trust Fund to Support Coordination and Coherence of the Rule of Law Activities of the United Nations System). Other sources of funding will need to be identified for key activities in the Plan. Implementation of joint programming will require mapping of funding of department and agency activities at the operational level in selected pilot countries, and include raising additional funds as needed.
15. **Monitoring and review of the implementation of the Joint Strategic Plan.** The Group will jointly monitor and review implementation of the Joint Strategic Plan.

Monitoring. Yearly Implementation Work Plans (2009, 2010, 2011) will be developed to lay out specific activities, costing and timeframes. The Group will meet on a regular basis at the expert level, either in regularly scheduled meetings or in mini-retreats, to discuss implementation of the Yearly Implementation Work Plan and the Joint Strategic Plan overall, and address any challenges or high-level decisions that may be required. Reporting to the principals of Rule of Law Coordination and Resource Group on the state of implementation of the Plan will be done every 6 months, with the possibility to submit certain issues to the principals on an ad-hoc basis when a timely decision is needed.

Review. The Group at the expert level will conduct a mid-term (mid-2010) and final review (end 2011) of the Joint Strategic Plan based on the indicators developed for the Plan outcomes and outputs (see Results Framework). Periodic reviews will take place at the end of each year during the development of the next year's Implementation Work Plan. The results of reviews will be reported to the principals of the Group with a view to any direction shifts that might be needed and learning lessons for further strategic planning processes.

RISK MANAGEMENT

16. Clear risks exist to the achievement of the principal outcomes and outputs of the Joint Strategic Plan. The commitment of Group members, the wider UN system and national counterparts is essential to the success of the Joint Strategic Plan. The support of Member States and the wider rule of law community is also critical. All stakeholders need to be alert to the possibility that the implementation of the Plan will be subject to political and operational factors and dynamics. Insufficient funding support, unwillingness on the part of partners to work together, or a lack of commitment among partners to allocate sufficient funds or to retain capable human resources are potential obstacles to the accomplishment of the Joint Strategic Plan.

RULE OF LAW COORDINATION AND RESOURCE GROUP (ROLCRG) JOINT STRATEGIC PLAN 2009-2011

IMPACT: There is a more coherent and strategic approach for UN rule of law (RoL) assistance

OUTCOME 1: The coherence, quality and coordination of RoL policy and guidance are strengthened

INDICATORS: One source for system-wide endorsed UN RoL policy and guidance accessible to all staff; Mechanism for ensuring coordinated policy and guidance development established and operational; Policy and guidance utilized to improve UN RoL assistance provision

OUTPUTS	ACTIVITES	IMPLEMENTERS	PARTNERS	TIMEFRAME			INDICATORS	COST	
				2009	2010	2011			
OUTPUT 1.1: Framework for system-wide RoL Guidance established	1.1.1 Conduct a UN system-wide survey of policy guidance needs in the field	All RoLCRG members / Unit	Peace Ops, UNCT & field, PBSO	X			Relevant existing RoL Guidance & gaps identified	Possible costs for survey of existing guidance	
	1.1.2 Agree a framework (table of contents) for RoL Guidance (using Guidance Note of the SG on a UN approach to RoL assistance)	All RoLCRG members / Unit	Consult with Peace Ops, UNCT & field, PBSO	X			Framework for RoL Guidance agreed		
	1.1.3 Identify and agree on existing guidance & tools of system-wide relevance for endorsement (see Output 1.3) (also post on UN RoL website)	All RoLCRG members / Unit			X	X	X		Responsibilities & schedule for drafting RoL Guidance agreed
	1.1.4 Consultations on prioritization and sharing of responsibilities for development of RoL Guidance in gap areas	All RoLCRG members / Unit	Consult with Peace Ops, UNCT & field, PBSO		X	X			
	1.1.5 Determine topics for SG Guidance Notes (e.g., RoL at international level, informal justice systems) and Lessons Learned & Good Practices Studies (e.g., national RoL strategy development)	Unit / All RoLCRG members			X	X	X		Topics for Guidance Notes and Lessons Learned & Good Practices Studies determined

OUTPUTS	ACTIVITES	IMPLEMENTERS	PARTNERS	TIMEFRAME			INDICATORS	COST
				2009	2010	2011		
OUTPUT 1.2: System-wide RoL guidance developed to fill identified gaps critical for implementing UN RoL Approach and addressing cross-cutting issues	1.2.1 Draft relevant RoL Guidance in gap areas (e.g, joint assessments, joint programming)	Lead entities with RoLCRG support / Unit		X	X		# of RoL Guidance finalized	Consultants / workshops costs for RoLCRG lead entity / Unit to develop guidance
	1.2.2 Circulate draft RoL Guidance for comments (field and HQ levels) and/or organize roundtable discussions on drafts; Revise draft RoL Guidance based on input; finalize and submit for endorsement (Output 1.3)	Lead entities with RoLCRG support / Unit	Peace Ops, UNCT & field, PBSO			X		
	1.2.3 Prepare Guidance Note drafts, circulate for comments as appropriate (field and HQ levels), revise and finalize for RoLCRG endorsement (Output 1.3)	Unit / All RoLCRG members	Peace Ops, UNCT & field	X	X	X	# of Guidance Notes finalized	
	1.2.4 Conduct analysis (based on identified country situations) to identify lessons learned and good practices, draft studies	Unit / lead entity where applicable		X	X	X	# of Lessons Learned & Good Practices Studies finalized	
	1.2.5 Disseminate to RoL experts in field for feedback and finalize Lessons Learned & Good Practices Studies based on input received	Unit / lead entity (where applicable) / RoLCRG	Peace Ops, UNCT & field, PBSO			X	X	

OUTPUTS	ACTIVITES	IMPLEMENTERS	PARTNERS	TIMEFRAME			INDICATORS	COST
				2009	2010	2011		
OUTPUT 1.3: Harmonized system-wide RoL Guidance endorsed and ongoing developments monitored by RoLCRG	1.3.1 Establish system for RoLCRG endorsement of system-wide RoL guidance	RoLCRG expert level / Unit		X			System of RoLCRG endorsement agreed and operational	None foreseen
	1.3.2 Submit guidance developed (Outputs 1.1, 1.2.) for endorsement	RoLCRG principal level					# of RoL Guidance endorsed and published, accessible by UN system	
	1.3.3 Publish & roll out endorsed RoL Guidance (UN RoL website), Guidance Notes & Lessons Learned Studies	RoLCRG expert level / Unit		X	X	X		
	1.3.4 Meet regularly at RoLCRG expert level to address new policy development issues	RoLCRG expert level			X	X	New policy developments discussed by RoLCRG expert level	
	1.3.5 Review bi-annually new policy developments at RoLCRG principals' meetings	RoLCRG principals' level			X	X	New policy developments reviewed by RoLCRG principals [2/yr]	

OUTPUTS	ACTIVITES	IMPLEMENTERS	PARTNERS	TIMEFRAME			INDICATORS	COST	
				2009	2010	2011			
OUTPUT 1.4: UN staff are better able to apply UN RoL approach	1.4.1 Compile list of existing RoL training materials and list of sector-specific training (to be accessible on UN RoL website)	All RoLCRG members / Unit	Identified partner UN and/or external training institution	X			# of UN staff trained and certified in RoL approach	Possible costs for assistance with compilation of existing training materials and developing training modules	
	1.4.2 Develop partnership agreement with relevant UN training institutes	Unit		X					
	1.4.3 Decide on core content of UN unified RoL training	All RoLCRG members / Unit		X					
	1.4.4 Develop training modules & materials	Lead entities with support of RoLCRG / Unit				X			# of positive evaluations and assessment of impact of training on work received from Trainees
	1.4.5 Hold pilot unified training on UN RoL approach	All RoLCRG members / Unit				X			
	1.4.6 Revise training modules & materials based on pilot response	All RoLCRG members / Unit				X	X		Regular schedule of UN Unified RoL Staff Training agreed
	1.4.7 Institutionalize UN unified RoL training for staff	All RoLCRG members / Unit					X		

OUTCOME 2: In selected pilot countries, effective UN Joint Programmes are carried out in support of national RoL efforts								
INDICATOR: Three pilot UN Joint Programmes developed, funded and initially implemented								
OUTPUTS	ACTIVITES	IMPLEMENTERS	PARTNERS	TIMEFRAME			INDICATORS	COST
				2009	2010	2011		
OUTPUT 2.1: Joint RoL Programmes (JP) are developed in 3 pilot countries	2.1.1 Select pilot countries based on headquarters, field level and national stakeholder input and agreement	RoLCRG		X			Joint Programmes (common workplan and budget) are developed, funded, launched and implemented (to various degrees) in 3 pilot countries	Costs to be determined based on mapping of funding of department and agency activities at operational level in selected pilot countries
	2.1.2 Map and analyze all existing plans, programming, funding and personnel information on rule of law activities in selected pilot countries in coordination with the field		UN field offices	JP 1				
				JP2				
	2.1.3 Conduct joint assessments in pilot countries in coordination with the field and consultation with national actors	Lead entity (depending on countries selected) with participating RoLCRG members / Unit	National stakeholders (civil society, media, NGOs etc.)		JP3			
				JP1				
	2.1.4 Develop joint strategy for UN RoL engagement in selected pilot countries in coordination with and support of field, and consultation with national and international stakeholders in country		International and regional donors present on the ground		JP2			
						JP3		
	2.1.5 Formulate and launch Joint Programme in coordination with and support of field, and consultation with national and international stakeholders in country (common work plan & budget)		PBSO (for countries on PBC agenda)		JP 1			
						JP 2		
						JP 3		

OUTPUTS	ACTIVITES	IMPLEMENTERS	PARTNERS	TIMEFRAME			INDICATORS	COST
				2009	2010	2011		
	2.1.6 Support funding for and implementation of Joint Programme by field and its implementing partners	All participating RoLCRG members / Unit				X on-ward		Costs to be determined based on mapping of funding of department and agency activities at operational level in selected pilot countries
OUTPUT 2.2: Joint RoL Programmes guided, monitored and evaluated by RoLCRG	2.2.1 Decide on baseline data for monitoring of Joint Programmes in 3 pilot countries	All RoLCRG members / Unit			JP1		Key benchmarks of Joint Programme implementation reached	
					JP2			
						JP3		
	2.2.2 Agree common monitoring tool for Joint Programmes	All RoLCRG members / Unit	UN field offices and operations		X	X on-ward	Positive feedback received from national stakeholders, partners and Joint Programme implementers	
	2.2.3 Conduct joint field missions to assess implementation of Joint Programmes	All RoLCRG members / Unit			X	X on-ward		
	2.2.4 Address issues in implementation of Joint Programmes at RoLCRG expert level meetings as needed	RoLCRG expert level			X	X on-ward		
	2.2.5 Brief RoLCRG principals periodically on implementation of Joint Programmes by programme heads in the field	Lead entities with participating RoLCRG members and corresponding field presences		National stakeholders	X	X		
2.2.6 Conduct final review of pilot Joint Programmes by RoLCRG to assess effectiveness of joint programming model for rule of law	All RoLCRG members / Unit				X on-ward	Mission reports and final evaluation reflect that Joint Programmes improved quality of RoL assistance provided in pilot countries		

OUTCOME 3: Member States reaffirm the importance of the rule of law								
INDICATORS: GA holds High-Level Segment on the Rule of Law by 2011; Chair’s conclusions emphasize the importance of the rule of law at the national and the international levels								
OUTPUTS	ACTIVITES	IMPLEMENTERS	PARTNERS	TIMEFRAME			INDICATORS	COST
				2009	2010	2011		
OUTPUT 3.1: Successful (informal) High-level segment (HLS) on RoL held during GA 66th session	3.1.1 Recruitment of eminent personalities and high level government reps. for advocacy	Unit / All RoLCRG members	Member States NGOs		X		# of eminent persons involved	None foreseen
	3.1.2 Liaise with PGA office to discuss scheduling of HLS during 66th session	Unit	Member States		X		HLS held during the GA 66th session	
	3.1.3 Develop non-paper on arrangement of HLS (speakers, format etc.)	Unit / All RoLCRG members			X	X	# of civil society side events	
	3.1.4 Develop and implement EOSG communication strategy with Permanent Missions and DPI on HLS	Unit			X	X	# of references to HLS in SG/DSG statements, speeches etc.	
	3.1.5 Organize HLS with DGACM & PGA office and DPI & support side events	Unit / All RoLCRG members		Member States NGOs			X	
OUTPUT 3.2: Chair’s conclusions drafted and disseminated	3.2.1 Series of consultations within UN system, and with Member States, NGOs, etc	Unit / All RoLCRG members	Member States NGOs	X			Chair’s Conclusions finalized and published	None foreseen
	3.2.2 Drafting of non-paper for discussion (based on results of consultations)	Unit / All RoLCRG members			X		# of references to chairs conclusions in SG/DSG statements, in GA resolutions etc.	
	3.2.3 Series of stakeholder workshops to develop elements of Chair’s Conclusions (regionally based)	Unit / All RoLCRG members			X			Workshop-related costs
	3.2.4 Support drafting and finalization of Chair’s Conclusions	Unit / All RoLCRG members			X	X		None foreseen
	3.2.5 Disseminate widely Chair’s Conclusions	Unit				X		Cost of dissemination