

# ACCOUNTABILITY FRAMEWORK

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## GGGI Accountability Framework

### Background and Purpose

1. The mission of the Global Green Growth Institute (GGGI) is to support partner governments in moving their countries towards a model of green growth that simultaneously achieves poverty reduction, social inclusion, environmental sustainability and economic growth.
2. In pursuit of this mission, GGGI commits to be **transparent**<sup>1</sup> in and **accountable**<sup>2</sup> for its decisions and actions, and practice **integrity**<sup>3</sup> in all aspects of its operations. This commitment is shared across GGGI and with each staff member through an Accountability Framework (the “Framework”) that links the various regulations, rules, directives, and processes adopted by GGGI.
3. GGGI ensures that all policies and procedures for internal auditing, corporate procurement, financial management, evaluation and reporting to its stakeholders, conflict resolution, and whistleblower protection are founded on this Framework. In furtherance of the Framework, GGGI also seeks to constantly improve its governance and anti-corruption practices, increase disclosure and accountability in its activities and operations, and mainstream other mechanism to measure and report results and all other aspects of performance vis-à-vis its standards and applicable regulations and rules.
4. This document presents the Framework that sets the enabling environment for its staff to achieve transparency, accountability, and integrity in all aspects of its operation.
5. This Accountability Framework is founded on the Agreement on the Establishment of the Global Green Growth Institute (the “Establishment Agreement”) from which GGGI’s mission and accountability emanate. The Member States provide guidance and oversight through: the Assembly as the supreme organ; (ii) the Council as the executive organ of GGGI; and (iii) the Management and Program Sub-Committee (the “MPSC”) which assists the Council in its oversight function. Under the Establishment Agreement, the Director-General, as head of the Secretariat, is accountable to the Assembly and the Council, and the staff members are responsible to the Director-General. The Council approves regulations and broad policies, while the Director-General approves rules to implement the regulations, and the Deputy Director-General approves directives, processes, and guidelines.

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<sup>1</sup> Transparency refers to an organization’s openness about its activities, providing information on what it is doing, where and how this takes place, and how it is performing. “Accountability Frameworks in the United Nations System”, JIU/REP/2011/5 (2011).

<sup>2</sup> Accountability is the obligation of the Secretariat and its staff members to be answerable for all decisions made and actions taken by them, and to be responsible for honouring their commitments, without qualification or exception. UN General Assembly Resolution 64/259, sect. A, para. 8, definition adopted by the General Assembly (2010).

<sup>3</sup> Integrity includes honesty, truthfulness, impartiality, reliability, and incorruptibility, as well as the duty to live up to the promise made by staff members in the declaration of office required by Staff Regulation 2.10 to exercise their functions in all loyalty, discretion and conscience. GGGI Staff Code of Conduct, para. 6.

## Key Elements

6. The Framework is founded on the following key elements:

- Transparency
- Clear roles and responsibilities
- Effective management and use of resources
- Accountability for results
- Compliance and Redress of Grievance
- Integrity

## Transparency

- Disclosure Policy

7. GGGI believes that public access to information promotes transparency. Access to decisions and operational activities of GGGI is a key component of effective participation of all stakeholders and will increase understanding and support of GGGI's mission. As such, it is the policy of the GGGI to publicly disclose information concerning its decisions and operational activities except if the information is confidential. This policy is contained in the [Disclosure Policy](#).

- Rules on Record Management

8. To complement the Disclosure Policy, GGGI has established rules and procedures for registering, storing, managing and disposing of documents and records under its [Rules on Records Management](#). GGGI recognizes that it is critical to create and maintain authentic, reliable and useable records, and protect the integrity of those records for as long as required for operational, accountability and compliance purposes.

## Clear Roles and Responsibilities

- Rules of Procedures of the Assembly and the Council

9. The governance function of the Assembly and the Council is critical to the operations of GGGI. The exercise of this function by these governance bodies is reflected in the [Rules of Procedures of the Assembly](#) and the [Rules of Procedures of the Council](#), which set out the rules and practices governing their work, including their composition and procedures for deliberation, decision-making, and appointing and replacing their members.

- Terms of Reference of the MPSC

10. The Council established the [Terms of Reference of the MPSC](#) to clearly set out the extent of the role of the MPSC in assisting the Council in its oversight function. The Terms of Reference also provide for the operational aspects and processes regarding the work of the MPSC.

- Delegation of the Authority

11. All authority within the Secretariat of GGGI is derived from the authority of the Director-General as head of the Secretariat. However, for the effective administration of GGGI's operations, levels of authority have been established and specific staff members have been delegated to sign written instruments or take other actions in the name of and on behalf of GGGI.

12. To foster accountability, GGGI facilitates the effective devolution of activities, transfer of required decision-making powers and better segregation of duties and responsibilities that will provide a strong foundation for a country-based operations model, while ensuring that the necessary control measures are in place.

13. This policy is set in the [Delegation of Authority](#).

### **Effective Management and Use of Resources**

14. Accountability entails effective, efficient, and economical use and management of financial resources entrusted to GGGI, as well as safeguarding of assets rooted in sound internal controls. To this end, GGGI ensures that the actions and decisions of staff members at levels are guided by the following regulations and rules:

- **Procurement Regulations and Rules for Procurement of Goods, Works and Services from Firms**

15. The [Procurement Regulations](#), together with the [Rules for Procurement of Goods, Works and Services from Firms](#), govern the procurement by GGGI of goods, works and services and ensure that procurement activities are carried out in a manner that adheres to the principles of value for money, transparency, ethical behavior and professionalism, and with due regard to the mission and objectives of GGGI.

- **Rules Concerning the Engagement and Use of Individual Consultants**

16. The [Rules Concerning the Engagement and Use of Individual Consultants](#) contain the policies and procedures for the selection, contracting, management and monitoring of individual consultants in line with the guiding principles of promotion of GGGI objectives, need for high-quality services, fairness, integrity and transparency, economy and efficiency, and value for money.

- **Financial Regulations and Finance Policies and Procedures**

17. The [Financial Regulations](#), together with the [Finance Policies and Procedures](#), govern the financial administration of all GGGI offices and activities. These regulations, policies, and procedures comprise the measures adopted by the GGGI to safeguard its assets, secure the accuracy and reliability of its accounting data, promote operational efficiency and standardization across GGGI.

- **Investment Guidelines**

18. The [Investment Guidelines](#) govern the investment management activities of GGGI, and provide guidance to all persons involved in GGGI's investment management activities in pursuit of an effective and efficient management of its financial resources.

- **Risk Management Framework**

19. The [Risk Management Framework](#) provides a system for the management and control of financial and other types of risks, including the identification, evaluation, and measurement of possible impact on GGGI, and the selection and maintenance of various solutions to mitigate risk.

- **Travel Rules**

20. The [Travel Rules](#) provide policies, procedures and conditions applicable to official travel within GGGI. Since GGGI is a green organization and its operational travel impacts on the environment and represents a significant component of GGGI's costs, the Travel Rules seek to maintain an appropriate balance among: cost-effectiveness and value for money; concern for the security and safety of individuals travelling; environmental sustainability of travel; and transparency and consistency in the application of the Travel Rules.

## Accountability for Results

21. Accountability mandates that GGGI knows which results it has achieved and how these results are linked to GGGI's overall mission. This information gives an indication of progress towards the achievement of results and the effective use of financial and human resources, builds trust in GGGI's relevance and ability to deliver. A framework that promotes accountability for results also helps GGGI to focus on building partnerships and collaboration with organizations that are aligned with its values, and ensures greater coherence in its activities. The following policies, regulations, and rules promote accountability for results:

- **Corporate Results Framework**

22. The [Corporate Results Framework](#) provides a guidepost by which GGGI will monitor, evaluate, and improve its performance to achieve the goals set out in the current Strategic Plan 2015-2020.

- **Project Cycle Management Manual**

23. The [Project Cycle Management Manual](#) describes in clear terms the key processes, responsibilities and tools for managing GGGI projects in an effective and efficient way.

- **Evaluation Rules**

24. The [Evaluation Rules](#) describe key governance and operational requirements for GGGI's evaluation function. Evaluation in GGGI is guided by the following principles: independence, credibility, utility, participation, transparency, and value for money.

- **Charter for Internal Audit and Integrity**

25. The [Charter for Internal Audit and Integrity](#) provides for the creation of the Office of Internal Audit and Integrity (OIAI) which (i) conducts internal audits and reviews; (ii) assists the Council in its internal oversight of GGGI through assessment of GGGI's governance, operational, risk management and internal control activities; and (iii) provides advice to mitigate risks and strengthen internal controls.

- **Sustainability and Safeguards Rules**

26. The [Sustainability and Safeguards Rules](#) outline the operational principles and core environmental and social safeguard standards that GGGI seeks to uphold in the conceptualization, design and implementation of its programs and projects. These Rules are meant to ensure accountability in terms of results towards inclusive green growth by enhancing sustainability benefits from GGGI's programs and projects, while avoiding unnecessary harm to the environment and people. These Rules highlight the linkages between accountability and impacts, and offer particular guidance on the enhancement of positive outcomes for, among others, gender equality, child protection, poverty reduction and social inclusion.

- **Rules for Private Sector Engagement**

27. The [Rules for Private Sector Engagement](#) guide GGGI's efforts to engage with the private sector in a systematic and strategic way to deliver programmatic results, and outline the necessary processes for developing, implementing and managing engagements with the private sector. This set of rules provides focus and coherence on partnerships and collaboration activities with private sector organizations.

## **Compliance and Redress of Grievance**

28. Accountability requires a well-established mechanism that receives and responds to complaints and feedback from stakeholders, and ensures that these are also properly reviewed and acted upon within established procedures. This system will prompt GGGI and its staff to comply with its policies, regulations, and rules, and hold GGGI ultimately accountable for actions and decisions that are non-compliant. Conflict resolution is promoted in the following manner:

- **Compliance Review Mechanism**

29. The [Compliance Review Mechanism](#) addresses issues of possible non-compliance by GGGI with any of its own regulations, rules, policies and procedures, other than procurement rules, integrity violations, and employment matters. The Compliance Review Mechanism is an accountability tool available to a person or group of persons who believes that GGGI failed to comply with any of its regulations, rules, policies and procedures and that this failure has or threatens to adversely affect such person(s).

- **Arbitration Rules**

30. The [Arbitration Rules](#) are available to staff members and former staff members with respect to a final decision taken by the Director-General on employment terms and conditions, including pertinent Staff Regulations and Staff Rules. These Arbitration Rules complement the internal appeals process provided in the Staff Rules and provide the final avenue for staff members and former staff members to hold GGGI accountable for employment related decisions and actions.

## Integrity

Integrity is a critical element of the Framework. To promote a culture of accountability and transparency, it is equally important that policies, regulations, and rules articulate the standards of behavior expected of staff members. Staff members are encouraged to live up to the highest standards of integrity, and take prompt and appropriate action to deal with improper behavior in the work place through these following policies:

- **Staff Regulations and Staff Rules**

31. The [Staff Regulations](#), together with the [Staff Rules](#), express the internal law of GGGI governing the employment relationship between staff members and GGGI. These include all the obligations of staff in the performance of their functions, including the consequences for failure to comply with such obligations.

- **Code of Conduct**

32. The [Code of Conduct](#) elaborates on the requirements set out in the Staff Regulations and Staff Rules governing a staff member's professional conduct and personal behavior. The Code of Conduct is founded on Article 10.7 of the Establishment Agreement, which provides that "efficiency, competence, merit and integrity shall be the necessary considerations in the recruitment and employment of the staff, taking into account the principle of gender equality". To this end, staff are expected to respect the diversity of the workforce and not engage in discrimination.

- **Anti-Corruption Policy**

33. The [Anti-Corruption Policy](#) promotes a zero tolerance policy against fraud, corruption, coercion and collusion perpetrated against GGGI, and provides guidance on the prevention, investigation, reporting and responding to all incidents of integrity violations.

- **Whistleblower Policy**

34. The [Whistleblower Policy](#) supports the Anti-Corruption Policy by aiming to create an environment where staff members and external persons feel safe to report any misconduct or activities that work against the best interests of GGGI without the fear of retaliation.

- **Guidelines for GGGI Anti-Corruption Policy and Whistleblower**

35. The [Guidelines for GGGI Anti-Corruption Policy and Whistleblower Policy](#) provide for procedures for reporting and investigation of instances of misconduct, retaliation or integrity violation, including violation of the Anti-Corruption Policy.

### **Implementation and Continuous Improvement**

36. The consistent application and effective integrated management of the elements of the Framework into the current and future regulations, rules, and directives will lead to more transparency, accountability and integrity within GGGI.

37. The Framework will be reviewed periodically to ensure continued relevance, and will be updated to reflect new requirements or improvements arising from new initiatives or lessons learned. GGGI will ensure that the Framework remains relevant to the mandate and objectives of GGGI.