



THE ESSENTIAL GUIDEBOOK FOR SENIOR LEADERS OF THE UNITED NATIONS SECRETARIAT



United Nations

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United Nations

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FOREWORD TO THE ESSENTIAL GUIDEBOOK FOR SENIOR LEADERS OF THE UNITED NATIONS SECRETARIAT

I am pleased to present *The Essential Guidebook for Senior Leaders of the United Nations Secretariat*. This resource is intended to provide newly-appointed senior leaders with information and guidance on their new role as an Under-Secretary-General or Assistant Secretary-General in the United Nations Secretariat.

The mandate of the United Nations spans the globe and encompasses the concerns and aspirations of all humanity. Our Organization seeks to improve social and economic well-being for present and future generations, promote international cooperation, human rights and the peaceful resolution of disputes, and support the protection and sustainable management of the planet's environment and natural resources. UN senior leaders are key actors in advancing those goals and in managing, leading and inspiring a global staff of talented individuals from all regions.

This endeavour requires vision, dedication and perseverance. I count on the contributions of new senior leaders who have agreed to join us in serving the United Nations at a time of such great challenge and opportunity, and wish you success in your new roles.

BAN Ki-moon
United Nations Secretary-General

UNITED NATIONS ACRONYMS

ACABQ	Advisory Committee on Administrative and Budgetary Questions
AGG	Advisory Group on Gender
AI	Administrative Instruction
AOJ	Administration of Justice
ASEAN	Association of Southeast Asian Nations
ASG	Assistant Secretary-General
AU	African Union
BINUCA	United Nations Integrated Peacebuilding Office in the Central African Republic
BOA	Board of Auditors
BNUB	United Nations Office in Burundi
CAAC	Children and Armed Conflict
CAP	Consolidated Appeal Process
CARICOM	Caribbean Community
CEB	Chief Executives Board
CBD	Convention on Biological Diversity
CEDAW	Convention on the Elimination of all forms of Discrimination Against Women
CEIT	Eastern European Group
CHAP	Consolidated Humanitarian Appeal Process
CIVPOL	United Nations Civilian Police
CMP	Capital Master Plan
CMT	Crisis Management Team
CNMC	Cameroon Nigeria Mixed Commission
CONGO	Conference on Non-Governmental Organizations in Consultative Status
CPA	Comprehensive Peace Agreement
CPC	Committee for Programme and Coordination
CRB	Central Review Body
CTBTO	Comprehensive Nuclear-Test-Ban Treaty Organization
CTITF	Counter-Terrorism Implementation Task Force
DD	Disarmament and Demobilization
DDR	Disarmament, Demobilization and Reintegration
DDRR	Disarmament, Demobilization, Rehabilitation and Reintegration
DDRRR	Disarmament, Demobilization, Repatriation, Reintegration and Resettlement
DESA	Department of Economic and Social Affairs
DFS	Department of Field Support
DG	Director General
DGACM	Department for General Assembly and Conference Management
DHSSS	Division of Headquarters of Security and Safety Services
DM	Department of Management
DO	Designated Official
DOCO	Development Operations Coordination Office
DPA	Department of Political Affairs
DPI	Department of Public Information
DPKO	Department of Peacekeeping Operations
DSG	Deputy Secretary-General
DSRSG	Deputy Special Representative of the Secretary-General
DSS	Department of Safety and Security
ECA	Economic Commission for Africa
ECE	Economic Commission for Europe
EC-ESA	Executive Committee on Economic and Social Affairs
ECHA	Executive Committee for Humanitarian Affairs
ECLAC	Economic Commission for Latin America and the Caribbean

ECOSOC	Economic and Social Council
ECOWAS	Economic Community of West African States
ECPS	Executive Committee for Peace and Security
ED	Executive Director
EO	Executive Office
EOD	Entrance on Duty
EOSG	Executive Office of the Secretary-General
e-PAS	Electronic Performance Appraisal System
ERC	Emergency Relief Coordinator
ESCAP	Economic and Social Commission for Asia and the Pacific
ESCWA	Economic and Social Commission for Western Asia
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FPD	Field Personnel Division
FRO	First Reporting Officer
FWA	Flexible Working Arrangement
GA	General Assembly
GJP	Generic Job Profile
GRULAC	Latin American and Caribbean Group
HC	Humanitarian Coordinator
HCT	Humanitarian Country Team
HLCM	High Level Committee on Management
HLCP	High Level Committee on Programmes
HR	Human Resources
HRC	Human Rights Council
HRM	Human Resources Management
IAAC	Independent Audit Advisory Committee
IAEA	International Atomic Energy Agency
IAP	Integrated Assessment and Planning
IASMN	Inter-Agency Security Management Network
IBRD	International Bank for Reconstruction and Development
IC	Information Circular
ICAO	International Civil Aviation Organization
ICJ	International Court of Justice
ICSC	International Civil Service Commission
ICSID	International Center for Settlement of Investment Disputes
ICT-EC	Information Communications Technology Executive Committee
ICTR	International Criminal Tribunal for Rwanda
ICTY	International Criminal Tribunal for the former Yugoslavia
IDA	International Development Association
IDP	Internally Displaced Person
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IGAD	Inter-Governmental Authority on Development
ILO	International Labour Organization
IMDIS	Integrated Monitoring & Documentation Information System
IMF	International Monetary Fund
IMIS	Integrated Management Information System
IMO	International Maritime Organization
IMPP	Integrated Mission Planning Process
INCB	International Narcotics Control Board
ISF	Integrated Strategic Framework
ISG	Integration Steering Group

ITF	Integrated Task Force
IOT	Integrated Operational Team
ITU	International Telecommunication Union
JIU	Joint Inspection Unit
JSR	Joint Special Representative
LAS	League of Arab States
LOA	Letter of Appointment
NMD	News and Media Division
MC	Management Committee
MDG	Millennium Development Goal
MEU	Management Evaluation Unit
MIGA	Multilateral Investment Guarantee Agency
MILOB	Military Observer
MINURSO	United Nations Mission for the Referendum in Western Sahara
MINUSTAH	United Nations Stabilization Mission in Haiti
MONUSCO	United Nations Organization Stabilization Mission in the Democratic Republic of the Congo
MINUSMA	United Nations Multidimensional Integrated Stabilization Mission in Mali
MPB	Management Performance Board
MSD	Medical Services Division
NAM	Non-Aligned Movement
NCE	National Competitive Examinations
NCRE	National Competitive Recruitment Examinations
NGO	Non-Governmental Organization
OAH	Office Away from Headquarters
OAJ	Office of Administration of Justice
OCHA	Office for the Coordination of Humanitarian Affairs
OCSS	Office of Central Support Services
OD	Outreach Division
ODA	Office for Disarmament Affairs
ODS	Official Document System
OHCHR	Office of the United Nations High Commissioner for Human Rights
OHRM	Office of Human Resources Management
OHRLS	Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States
OIC	Organization of the Islamic Cooperation
OICT	Office of Information and Communications Technology
OIOS	Office of Internal Oversight Services
OLA	Office of Legal Affairs
OPPBA	Office of Programme Planning, Budget and Accounts
OPWC	Organisation for the Prohibition of Chemical Weapons
ORMS	Organisational Resilience Management System
OSAA	Office of the Special Adviser on Africa
OSAPG	Office of the Special Adviser on the Prevention of Genocide
OSSG	Office of the Spokesperson for the Secretary-General
PAS	Performance Appraisal System
PBC	Peacebuilding Commission
PBF	Peacebuilding Fund
PBSO	Peacebuilding Support Office
PC	Policy Committee
PCNA	Post-Conflict Needs Assessment
PDSRSG	Political Deputy Special Representative of the Secretary-General
PHP	Personal History Profile
POC	Protection of Civilians

PPBD	Programme Planning and Budget Division
PPME	Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation
PRSP	Poverty Reduction Strategy Paper
QCPR	Quadrennial Comprehensive Policy Review
QUIP	Quick Impact Project
RBB	Results Based Budget
RBM	Results Based Management
RC	Resident Coordinator
RR	Rehabilitation and Reintegration
RR	Resident Representative
RRR	Relief, Recovery and Rehabilitation
SASG	Special Adviser to the Secretary-General
SEA	Sexual Exploitation and Abuse
SCAD	Security Council Affairs Division
SCD	Strategic Communications Division
SG	Secretary-General
SGB	Secretary-General's Bulletin
SMG	Senior Management Group
SMT	Security Management Team
SPM	Special Political Mission
SRA	Security Risk Assessment
SRM	Security Risk Management
SRO	Second Reporting Officer
SRSG	Special Representative of the Secretary-General
SSAFE	Safe and Secure Approaches to Field Environments
SVC	Sexual Violence in Conflict
TCPR	Triennial Comprehensive Policy Review
UNAIDS	Joint United Nations Programme on HIV/AIDS
UNAMA	United Nations Assistance Mission in Afghanistan
UNAMI	United Nations Assistance Mission for Iraq
UNAMID	African Union/United Nations Hybrid operation in Darfur
UNAT	United Nations Appeals Tribunal
UNBISnet	United Nations Bibliographic Information System
UNCDD	United Nations Convention to Combat Desertification
UNCDF	United Nations Capital Development Fund
UNCT	United Nations Country Team
UNCTAD	United Nations Conference on Trade and Development
UNDAF	United Nations Development Assistance Framework
UNDG	United Nations Development Group
UNDOF	United Nations Disengagement Observer Force
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFCCC	United Nations Framework Convention on Climate Change
UNFICYP	United Nations Peacekeeping Force in Cyprus
UNFIP	United Nations Fund for International Partnerships
UNFPA	United Nations Population Fund
UN-Habitat	United Nations Human Settlements Programme
UNHCR	Office of the United Nations High Commissioner for Refugees
UNIC	United Nations Information Centre
UNICEF	United Nations Children's Fund
UNICRI	United Nations Interregional Crime and Justice Research Institute

UNICTRAL	United Nations Commission on International Trade Law
UNIDIR	United Nations Institute for Disarmament Research
UNIDO	United Nations Industrial Development Organization
UNIFIL	United Nations Interim Force in Lebanon
UNIFSA	United Nations Interim Security Force for Abyei
UNIOGBIS	United Nations Integrated Peacebuilding Support Office in Guinea-Bissau
UNIPSIL	United Nations Integrated Peacebuilding Office in Sierra Leone
UNISDR	United Nations International Strategy for Disaster Reduction
UNITAR	United Nations Institute for Training and Research
UNJSPF	United Nations Joint Staff Pension Fund
UNLB	United Nations Logistics Base
UNMIK	United Nations Interim Administration Mission in Kosovo
UNMIL	United Nations Mission in Liberia
UNMISS	United Nations Mission in the Republic of South Sudan
UNMOGIP	United Nations Military Observer Group in India and Pakistan
UNOCA	United Nations Regional Office for Central Asia
UNOCI	United Nations Operation in Côte d'Ivoire
UNODC	United Nations Office on Drugs and Crime
UNDT	United Nations Dispute Tribunal
UNOG	United Nations Office at Geneva
UNOMIG	United Nations Observer Mission in Georgia
UNON	United Nations Office at Nairobi
UNOPS	United Nations Office for Project Services
UNOV	United Nations Office at Vienna
UNOWA	United Nations Office for West Africa
UNRCCA	United Nations Regional Centre for Preventive Diplomacy for Central Asia
UNRISD	United Nations Research Institute for Social Development
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UNSCO	Office of the United Nations Special Coordinator for the Middle East Peace Process
UNSCOL	Office of the United Nations Special Coordinator for Lebanon
UNSCR	United Nations Security Council Resolution
UNSMIL	United Nations Support Mission in Libya
UNSOM	United Nations Mission in Somalia
UNSSC	United Nations System Staff College
UNTSO	United Nations Truce Supervision Organization
UNU	United Nations University
UNV	United Nations Volunteers
UNWTO	World Tourism Organization
UPR	Universal Periodic Review
UPU	Universal Postal Union
USG	Under-Secretary-General
VAW	Violence Against Women
WAFF	Women Associated with Fighting Forces
WEOG	Western European and Other Groups
WFP	World Food Programme
WHO	World Health Organization
WIPO	World Intellectual Property Organization
WMO	World Meteorological Organization
WTO	World Trade Organization
XB	Extra-budgetary
YPP	Young Professionals Programme

1

THE UNITED NATIONS CHARTER AND PRINCIPAL ORGANS

We the peoples of the United Nations determined

to save succeeding generations from the scourge of war,
which twice in our lifetime has brought untold sorrow
to mankind, and

to reaffirm faith in fundamental human rights, in
the dignity and worth of the human person, in the equal rights
of men and women and of nations large and small, and

to establish conditions under which justice and respect for
the obligations arising from treaties and other sources of
international law can be maintained, and

to promote social progress and better standards of life
in larger freedom,

and for these ends

to practice tolerance and live together in peace with one
another as good neighbours, and

to unite our strength to maintain international peace and
security, and

to ensure, by the acceptance of principles and the institution
of methods, that armed force shall not be used, save in the
common interest, and

to employ international machinery for the promotion of the
economic and social advancement of all peoples,

**have resolved to combine our efforts to accomplish
these aims.**

Accordingly, our respective Governments, through
representatives assembled in the city of San Francisco, who
have exhibited their full powers found to be in good and
due form, have agreed to the present Charter of the United
Nations and do hereby establish an international organization
to be known as the United Nations.

Preamble, Charter of the United Nations

UNITED NATIONS CHARTER: PURPOSES AND PRINCIPLES

The UN Charter is the treaty upon which the Organization was founded. It was signed by 51 nations on June 26, 1945 and entered into force on October 24 of the same year. Today, the United Nations has 193 Member States, which - as such - are bound by the provisions of the Charter. In its essence, the Charter reflects the universal aspirations of the international community and sets out the purposes and principles of the UN. Only key aspects of the Charter are touched upon in this chapter.

KEY QUESTIONS

i. What are the key purposes and principles of the UN in the Charter?

The key purposes of the UN are:

- To maintain international peace and security
- To develop friendly relations among nations based on respect for the principle of equal rights and self-determination of peoples, and to take other appropriate measures to strengthen universal peace
- To achieve international co-operation in economic, social, cultural, or humanitarian matters, and in promoting and encouraging respect for human rights and for fundamental freedoms for all
- To be a centre for harmonizing the actions of nations in the attainment of these common ends.

According to the Charter, the key principles of the UN and its Members are:

- To respect the sovereign equality of all Member States
- To fulfill in good faith the obligations under the Charter
- To settle disputes by peaceful means
- To refrain from the threat or use of force against the territorial integrity or political independence of any state
- To give the UN every assistance it takes in accordance with the Charter
- To ensure that non-member States act in accordance with these principles as far as may be necessary to ensure international peace and security
- Not to interfere in matters which are essentially within the domestic jurisdiction of any state (without prejudice the application of enforcement measures under Chapter VII).

ADVICE AND GUIDANCE

- The UN Charter lives on through the processes, policies and actions of the Organization. Every action has its root in the Charter, but not every action was necessarily envisaged in the Charter. It is, therefore, highly advisable to **undertake a close reading of the Charter**.
- Given its significance for the work of the UN, it is recommended that the **Universal Declaration of Human Rights** be read along with the UN Charter. The declaration has become accepted as an influential statement of standards, setting out the content of the human rights and fundamental freedoms referred to in the Charter. Most, if not all, of its provisions have become part of international customary law.

ROLE OF THE INTERNATIONAL CIVIL SERVANT

The role of international civil servants is outlined in Article 100 of the Charter, which states that "the Secretary-General and his staff shall not seek or receive instructions from any government or from any other authority external to the Organization. They shall refrain from any action which might reflect on their position as international officials responsible only to the Organization." In turn, "each Member of the UN undertakes to respect the exclusively international character of the responsibilities of the Secretary-General and the staff and not to seek to influence them in the discharge of their responsibilities."

KEY QUESTIONS

i. What are my obligations as an international civil servant¹?

International civil servants must embody the mandate of the UN as outlined in the Charter and, at all times, faithfully serve the Organization. UN officials shall carry out their duties with only the interests of the UN in mind. This is reflected in the Oath of Office, which you have signed upon joining the UN.

I solemnly declare and promise to exercise in all loyalty, discretion and conscience the functions entrusted to me as an international civil servant of the United Nations, to discharge these functions and regulate my conduct with the interests of the United Nations only in view, and not to seek or accept instructions in regard to the performance of my duties from any Government or other source external to the Organization.

Upon his arrival to New York following his election to office in 1953, the second Secretary-General (SG) of the UN, Dag Hammarskjöld, summarized this principle as follows:

I – like all of you, like all engaged in diplomatic or political activity – have my views and ideas on the great international issues facing us. But those personal views of mine are not – or should not be – of any greater interest to you today than they were just a couple of weeks ago. Those views are mine as a private man. In my new official capacity the private man should disappear and the international public servant takes his place. The public servant is there in order to assist, so to say from the inside, those who take the decisions which frame history. He should – as I see it – listen, analyse and learn to understand fully the forces at work and the interests at stake, so that he will be able to find the right advice when the situations calls for it. Don't think that he – in following this line of personal policy – takes but a passive part in the development. It is a most active one. But he is active as an instrument, a catalyst, perhaps an inspirer – he serves.²

ii. What are my rights as an international civil servant?

Under the Convention on the *Privileges and Immunities of the United Nations*, all officials enjoy functional immunity i.e. such privileges and immunities as are necessary for the independent exercise of their functions in connection with the Organization. The Secretary-General, Under-Secretaries-General (USGs) and Assistant Secretaries-General (ASGs) also enjoy diplomatic immunity.

Privileges and immunities are granted to officials in the interests of the UN and not for the personal benefit of the individuals themselves. The Secretary-General shall have the right and the duty to waive the immunity of any official in any case where, in his opinion, the immunity would impede the course of justice and can be waived without prejudice to the interests of the UN. In the case of the Secretary-General, the Security Council shall have the right to waive immunity.

iii. Why is working with Member States so important?

As representatives of the Organization, all UN Secretariat staff are accountable to Member States. Member States are responsible for making final decisions about the direction the Organization will take. When you have a new idea or proposal, Member States can assist with moving an idea to a decision and on to implementation³. It is therefore essential to build relationships with Member States, but it is also vital to do so equally. Each Member State of the Organization has one vote in the General Assembly (GA); as such, they should be respected and treated equally. In this spirit, you are a “mediator” for a particular proposal that you believe to be in the interests of the membership – and therefore

the Organization as a whole. Your task is to work with Member States to build trust and foster consensus for policies and actions that further the purposes and principles of the Charter.

ADVICE AND GUIDANCE

- It will need to be very clear to Member States that you **do not carry the agenda of your own or any other Member State or group of states**. Those entering the Organization from government service may have an especially challenging task ahead of them. It is advisable to make clear in all statements and actions from day one – both with your own staff and in interactions with the principal organs – that you represent the UN in its entirety.
- Remember to **always uphold the principles of the Organization and its Charter**. At times, you may need to say things that are disagreeable to Member States. You have a role in channeling civil society concerns to Member States, and also in bringing sensitive issues (for example on human rights) to the attention of relevant bodies if necessary.
- The Secretariat provides services to 193 Member States equally; one of the most common risks as Senior Leader is allowing yourself to be influenced by one Member State – not necessarily your own – or group of Member States. As a Senior Leader, you need to **maintain impartiality** to maintain the trust of Member States broadly and implement your mandate. Your **credibility is tied directly to your actual and perceived independence**.
- The need for Senior Leaders to maintain their independence goes hand-in-hand with the need to be **transparent and direct with Member States**. Do not shy away from stating the truth with regard to fulfilling your mandate and the ways in which a situation may be helping or hindering that endeavor.
- Wherever your duty station, you will need to keep the international community informed of your activities by **consulting Member States** as much as possible. They can provide essential support and guidance. Working more closely with Member States and building coalitions can help foster agreement on the way forward.
- Acquire an **in-depth understanding of the positions of Member States** as they relate to key issues, themes and countries. Keep in mind that the GA is a dynamic environment where positions evolve over time. As such, it can be useful to ensure that staff in your department/office are following and analyzing the policies of Member States.
- As a senior UN official, you should make yourself available to meet and discuss strategic issues with Member States. Consult widely among the Member States and Member State groups to promote the exchange of information and a more productive dialogue. Many Member States

complain that information emanating from the Secretariat is either insufficient on important issues, or too overwhelming in volume to be of use. Subject to confidentiality obligations, it is a key part of your role to **help all Member States gain access to relevant information in order to make informed decisions**⁴.

- While it is essential to inform Member States of your activities, it is equally important to ensure other parts of the Secretariat also have a good understanding of your mandate and how you intend to achieve it. The Secretariat functions as a whole, and it would not be uncommon for questions about your mandate to come up in interactions between Member States and other Secretariat entities. **Communicating internally**⁵, therefore, is vital. Around the time of the regular session of the GA in particular, you may want to prepare a short briefing with key messages for the information of Secretariat colleagues, so that if your issue comes up in interactions with visitors, other parts of the Secretariat are able to give informed answers.
- The use of **"Groups of Member States"** around specific topics is a useful and effective vehicle for improving targeted communication and information exchange and for supporting specific change agendas. Such open-ended groups, where membership is voluntary and self-defined depending upon the interests of each Member State, have helped to rebuild trust and confidence among Member States, as well as between Member States and the Secretariat⁶. For example, in the peacemaking context, these groups are often referred to as "Friends of the Secretary-General", and can be a source of "intellectual ideas, resources, and diplomatic or monetary assistance"⁷.

PRINCIPAL ORGANS

The UN operates through six principal organs : the GA, the Security Council, the Economic and Social Council (ECOSOC), the International Court of Justice (ICJ), the Trusteeship Council and the Secretariat. All the principal organs are briefly described below, focusing on those aspects that are essential for all Senior Leaders upon assuming their position⁹.

General Assembly

Established in 1945 under the UN Charter, the GA occupies a central position as the chief deliberative, policymaking and representative organ of the UN. Comprising all 193 Members, it provides a unique forum for multilateral discussions of the full spectrum of international issues covered by the Charter. It also plays a significant role in the process of standard setting and the codification of

international law. The GA meets intensively from September to December each year in its regular session, in resumed sessions in March and May, and then as required until the next annual, regular session. It may also be convened in "special" and "emergency special sessions", in accordance with the Rules of Procedure¹⁰.

The functions and powers of the GA are outlined in Chapter IV of the UN Charter. Article 10 states that the GA "may discuss any questions or any matters within the scope of the present Charter or relating to the powers and functions of any organs provided for in the present Charter, and, except as provided in Article 12¹¹, may make recommendations to the Members of the United Nations or to the Security Council or to both on any such questions or matters".

A common misconception - perhaps emanating from different interpretations and inconsistent application of Article 12 - is that the GA may not consider matters related to peace and security. Under Article 11 and subject to Article 12, unless the Security Council is "exercising" its functions on a particular matter, the GA is permitted to make recommendations, including on general principles of co-operation in the maintenance of international peace and security. These comprise the principles governing disarmament and the regulation of armaments, as well as any other questions relating to the maintenance of international peace and security¹².

Unlike the Security Council, which can impose binding obligations on all states, the GA is generally limited to making recommendations to Member States. The power of the GA comes instead from being the only universal platform for dialogue – with global reach - currently in existence. As such, the GA reflects the collective conscience and will of the international community. The GA also maintains the authority to approve budgets, playing a critical role in ensuring that resources are available for the implementation of mandates.

The GA has established a large number of subsidiary bodies that deal with the administrative and substantive areas of the UN's work¹³. The GA is also responsible for:

- Appointing the Secretary-General (based on the recommendation of the Security Council)
- Supervising the work of ECOSOC
- Electing the members of ECOSOC, the non-permanent members of the Security Council and judges for the ICJ
- Broad supervision of the work of the Secretariat, especially in terms of budget; staff regulations and the appointment of senior staff; and other important functions.

The GA has a dual function: it provides a deliberative forum for Member States to discuss the work of the Organization on the one hand, and oversees the work of the Secretariat on the other¹⁴. Secretariat support to the GA is provided directly through the Department for General Assembly and Conference Management (DGACM).

KEY QUESTIONS

i. How does the General Assembly reach agreement on its recommendations?

The GA power structure is based on the principle of "one state, one vote", which means that each Member State has one vote of equal weighting, irrespective of geopolitical, strategic or other considerations.

GA resolutions are normally adopted by a simple majority, or by a two thirds majority for "important questions"¹⁵. Resolutions are normally drafted in subsidiary bodies, and then sent to the full assembly for final vote. In recent years, a special effort has been made to reach decisions by consensus, rather than by formal vote. The President, after having consulted and reached a consensus among all delegations, can propose that a resolution be adopted without a vote.

While all states are equal, some seats within the General Assembly, such as the Presidency, various Committees and sub-Committees, are allocated on the basis of "elective seats". Elective seats are distributed among five regional groups: Africa, Asia, Eastern Europe, Latin America and the Caribbean, as well as "Western European and Other States Group" (WEOG). Other groups and configurations have since morphed into an informal, broader selection of fluid, dynamic and often internally-divided "blocs", including the:

- G77 and China
- Non-Aligned Movement (NAM)
- JUSCANZ¹⁶.

The Holy See and the State of Palestine are non-member States with observer status in the GA. A number of inter-governmental organizations also enjoy observer status¹⁷, including but not limited to the:

- Caribbean Community (CARICOM)
- Commonwealth Secretariat
- Economic Community of West African States (ECOWAS)
- International Organization of la Francophonie

- League of Arab States (LAS)
- African Union (AU)
- European Union (EU), which enjoys enhanced participation rights
- Organization of Islamic Cooperation (OIC)

ii. What have been some of the prominent activities of the General Assembly in recent years?

These include:

- The Millennium Declaration of 2000, which led to the development of the Millennium Development Goals.
- The 2005 World Summit Outcome Document, which led to the creation of the Peacebuilding Commission, the establishment of the UN Human Rights Council, the acceptance by the international community of text on the Responsibility to Protect and broad UN management reform.
- The outcome of the above processes led to the formulation of the “Delivering as One” concept, which has been piloted and is being rolled out across the Organization¹⁸.
- The Future We Want Outcome Document, adopted at the UN Conference on Sustainable Development (often referred to as “Rio +20”), held in June 2012. The conference gathered world leaders, participants from governments, the private sector, NGOs and other groups, who came together to shape policies aimed at reducing poverty, advancing social equity and ensuring environmental protection on an ever-more crowded planet.
- The World Conference Against Racism, Racial Discrimination, Xenophobia and Related Intolerance in 2001¹⁹, and the Durban Review Conference in 2009²⁰.

iii. What will be the nature of my interactions with the General Assembly?

As a Senior Leader, you are expected to interact regularly with Member States on a wide range of administrative and political themes/issues as they relate to Headquarters, Offices Away from Headquarters, regional commissions and the field. You will interact most frequently with the governing body or bodies relevant to your own department. All Senior Leaders interact with the Fifth Committee, and its Advisory Committee on Administrative and Budgetary Questions (ACABQ).

iv. What is the “ACABQ”? What does the ACABQ expect of me?

The ACABQ examines and reports on the regular and peacekeeping budgets, the accounts of the UN and the administrative budgets of specialized agencies. It also advises the GA on other administrative and financial matters referred to it, such as human resources reform. The ACABQ has 16 members, who are elected by the GA on the basis of broad geographical representation, personal qualifications and experience. ACABQ members thus serve in their personal capacity and do not represent the interests of any government. The rules of procedure state that the ACABQ shall include at least three financial experts of recognized standing; members rotate after three years.

The ACABQ is an advisory body; its reports include observations, conclusions and recommendations to the Fifth Committee on the proposals of the Secretary-General.

As a Senior Leader, you are expected to present and defend the strategic framework of your programme, as outlined and submitted in the form of a Report of the Secretary-General/proposals of the Secretary-General to the ACABQ. You should be able to clearly articulate the priorities, expected accomplishments, strategy, benchmarks, deliverables and deadlines of your programme.

v. What is the Fifth Committee? What does the Fifth Committee expect of me?

The Fifth Committee of the General Assembly, comprised of all 193 Member States, is responsible for administrative and budgetary matters. The Fifth Committee meets during the main part of the GA session, which takes place from September to December, as well as during its resumed sessions in March and May. The May session is primarily devoted to peacekeeping issues.

Fifth Committee delegates speak on behalf of their governments, but tend to negotiate in regional groups – G77, EU, CANZ, etc., although sometimes certain other groupings negotiate particular issues, such as the African Group of the Group of Latin American and Caribbean Countries. There are often major differences of view between groups, including on how the UN should be managed and how resources should be spent. The Committee traditionally only adopts resolutions by consensus rather than vote, and thus negotiations can often be lengthy.

The Fifth Committee reviews proposals submitted by the Secretary-General, which are accompanied by a report from the ACABQ. As a Senior Leader, you are expected to present and defend your programme before both the ACABQ and the Fifth Committee, and to answer questions and critiques. You should be able to clearly articulate the

priorities, expected accomplishments, strategy, benchmarks, deliverables and deadlines of your programme, as well as defend it and any changes to it, when challenged.

The Fifth Committee has the authority to accept, reject or revise the proposals of the Secretary-General and the recommendations of the ACABQ as it sees fit.

vi. What is the Committee on Programme and Coordination?

Whereas the Fifth Committee reviews the budget and administrative matters of the proposed programme, the Committee on Programme and Coordination (CPC) reviews the substantive programme content. The Fifth Committee and the CPC are supported by the Secretariat of the Fifth Committee and the Committee for Programme and Coordination in the Department of Management (DM).

ADVICE AND GUIDANCE

- **Budget process A-Z:** When your department proposes a change with budget implications, the following steps should be followed:
 1. Discuss the proposal with the Controller.
 2. Discuss the proposal with the Executive Office of the Secretary-General (EOSG), if appropriate.
 3. If the proposal is approved, a report of the Secretary-General should be prepared.
 4. As head of department, you present and defend the proposal before the ACABQ, who will send its report with observations and recommendations to the Fifth Committee.
 5. Build support for the initiative with Member States, including the Chair of the Fifth Committee.
 6. Present and defend the proposal before the Fifth Committee, taking the below guidance into account.
- The budget process is as **political** as any other work of the Organization; as such, it should be approached diplomatically, and with careful preparation. You should expect national/regional dynamics to play out in decision-making processes related to financial questions. Each topic you present may have political sensitivities that you will need to be aware of in advance.
- For each proposal submission, the ACABQ will review the strategic framework, budget outline, as well as prior **audits, proposals and GA decisions** on those or similar proposals. Ensure you are prepared to answer questions on a wide range of issues related to your department, not only the specific proposal you have submitted.

- Any **disagreements** you may have on the content of the Secretary-General's report should be aired within the walls of the Secretariat. The proposal does not "belong" to you; you are there to defend it on behalf of the Secretary-General. As such, what is written in the document is final and should not be disputed by you once it has reached the ACABQ/Fifth Committee. It is counter-productive to raise issues or put forth additional ideas that are not contained in the proposal.
- To be effective when you reach the ACABQ/Fifth Committee, much of the groundwork should already have been completed. Ensure you have done sufficient broad and inclusive **outreach** among Member States regarding your strategic direction.
- The **timeline** from starting to develop a new budget to getting it approved in the Fifth Committee is long and preparations should be undertaken well in advance. Every other year is a regular budget year²¹. Regular budget "business" takes place in May and June of odd years, with preparations beginning one year in advance and accelerating around January/February of the budget year. Support Account meetings take place in May of each year. Only half of the reports received by the ACABQ can be planned for in advance. The other reports tend to be produced in response to a request by the GA, a proposal of the Secretary-General, a change in a Security Council mandate or new GA resolution.
- Trust is an important component of this process. There will be formal and informal sessions: the informal sessions are an opportunity for Members to ask questions and obtain greater clarity from the Secretariat regarding the proposals. **You can build trust by knowing your material well**, answering precisely, briefly and respectfully, and by offering to provide follow-up information in the rare occasions that you do not know the answer to one of their questions. It is important not to make promises you cannot deliver. Furthermore, it is essential to make yourself available for questions and answers following the formal reading of your statement. Should Members wish you to return at a later time, then they will make that known.
- **Protocol** can be an important element of both the ACABQ and Fifth Committee. The Fifth Committee formal meetings are now webcast and are part of the official public record of the Organization. Some key guidelines are as follows:
 - The ACABQ is formal in nature and members should be addressed by their honorific (e.g. Mr. X, Ms. Y, Ambassador or Chair Z); Fifth Committee representatives should be referred to as "distinguished representative of X country", not by their names.

- When referring to any country, it is important to use its official name, not a shortened form, no matter how common.
- For formal meetings, it is advisable to provide copies of introductory statements in advance to the Secretary of the Committees²². Keep introductory statements to 15 minutes or less; the rest of the three-hour session will be used for questions and answers (Q&A) and for consideration of other agenda items. Most Q&A takes place during the informal consultations.
- Speak only when you have been given the floor (you will be given an opportunity to respond by the Chair of the Committee, if and when necessary).
- As new Senior Leader, it is recommended that you meet the Chair of ACABQ in advance of official committee proceedings if possible.

Security Council

The Security Council²³ has primary responsibility for the maintenance of international peace and security. In discharging these duties, the Security Council shall act in accordance with the purposes and principles of the UN. Its main functions and powers include²⁴:

- Maintaining international peace and security
- Investigating any dispute or situation
- Seeking the pacific settlement of disputes
- Determining the existence of any threat to the peace, breach of the peace, or act of aggression
- Making recommendations or deciding on measures to maintain or restore international peace and security, including provisional measures and other measures not involving the use of armed force
- Establishing and overseeing UN peacekeeping operations and special political missions
- Authorizing the use of force to maintain or restore international peace and security.

The Security Council is organized so as to be able to function continuously, and a representative of each of its members must be present at UN Headquarters at all times. While other organs of the UN make recommendations to governments, the Council alone has the power to take decisions which Member States are obligated, under the Charter, to carry out.

Ten non-permanent members are elected by the GA for two-year terms and are not eligible for immediate re-election. The number of non-permanent members was increased from six to ten by an amendment of the Charter, which came into force in 1965. The five permanent members (China, France, the Russian Federation, the United Kingdom and the United States of America) and ten non-permanent (or elected) members are often referred to as the P5 and E10, respectively. The Presidency of the Security Council is held in turn by the members of the Security Council, rotating alphabetically by country. Each member holds the Presidency for one calendar month. Secretariat support to the Security Council is provided by the Security Council Affairs Division in the Department of Political Affairs (DPA).

KEY QUESTIONS

i. How are decisions taken in the Security Council?

Each Security Council (hereafter "Council") member has one vote. Decisions on procedural matters are made by an affirmative vote of at least nine of the 15 members. Decisions on substantive matters require nine votes, including the concurring votes ("yes" or abstention) of all five permanent members. A "no" vote by any one of the five permanent members constitutes a veto. A Member State of the UN whose interests are affected by a question before the Council, or a non-Member State who is a party to a dispute being considered by the Council, may be invited to take part in the Council's discussions on that question; they may dispute but cannot vote. The Council sets the conditions for participation by a non-Member State.

When a complaint concerning a threat to peace is brought before it, the Council's first action is usually to recommend to the parties that they try to reach agreement by peaceful means. In some cases, the Council itself undertakes an investigation and/or mediation. It may appoint a Special Representative or request the Secretary-General to do so, or to use his good offices. It may also set forth principles for a peaceful settlement.

When a dispute leads to a threat to the peace, breach of the peace, or act of aggression, the Council's first concern is to bring it to an end as soon as possible. On many occasions, the Council has issued ceasefire directives that have been instrumental in preventing wider hostilities. It also approves the establishment of UN peacekeeping forces to help reduce tensions in troubled areas, keep opposing forces apart and create conditions of calm in which peaceful settlements may be sought. The Council may decide on enforcement measures, economic or targeted sanctions (e.g. travel bans, asset freezes and

arms embargos) or authorize military action. The Council's powers are without prejudice to Member States inherent right of individual or collective self-defense if an armed attack occurs against a Member of the UN.

The Secretariat often has a role in advising and preparing a set of recommendations to the Security Council regarding action on a particular issue. However, unlike in the ACABQ/Fifth Committee, Council decisions are taken without the input of the Secretariat.

ii. **Where does the process of reforming the Security Council currently stand?**

Discussions concerning reform of the Security Council have been on-going for decades, with the latest intergovernmental negotiation process launched in 2008. Recent negotiations have focused on five key issues: categories of membership, the question of the veto, regional representation, the size of an enlarged Council and its working methods, and the relationship between the Council and the General Assembly.

The Small Five Group (S5 – Costa Rica, Jordan, Liechtenstein, Singapore and Switzerland) have been leading discussions on improving the working methods of the Council. A strong push for reform also emanates from troop-contributing countries. Members opposing such proposals argue that the Charter allows the Security Council to decide on its own procedures, and that the proposed changes would make the Council less effective²⁵.

The G4 (India, Germany, Brazil and Japan) proposal for Council enlargement calls for a “reform of the Council to include an expansion in both the permanent and non-permanent membership of the Council as well as improvements in its working methods”²⁶. The group “Uniting for Consensus” (Italy, Spain, Argentina, Mexico, Pakistan, Republic of Korea, and others) has been an outspoken opponent of the G4 proposal, also proposing the establishment of “semi-permanent” seats. Finally, the African Group seeks an increase in membership, because of the great weight of Africa on the Council's agenda.

Any changes to the composition or working methods of the Council that require an amendment of the Charter also require agreement from the P5. The debates around reform tend to centre around the concepts of legitimacy (e.g. greater/better representation) on the one hand, and effectiveness on the other.

ADVICE AND GUIDANCE

- Briefings normally occur immediately following the publication of the Secretary-General's report on a particular issue. However, members can request briefings by senior officials at any time, especially if they believe a situation constitutes a threat to international peace and security. When briefing the Security Council, summarize what has been submitted in the Secretary-General's report (if applicable), and **focus on providing an update on recent events/processes**.
- When briefing the Council, **brevity is key** – normally, most briefings should last no more than ten minutes²⁷. The Council is dealing with multiple crises worldwide, and its time to dedicate to any one issue is limited.
- **Bilateral meetings** with those on the Council prior to the briefing session are acceptable, and should be coordinated with your department. This can help sensitize the Council members to a particular challenge or problem, and ensure a greater degree of cooperation during the session.

In-depth details regarding the working methods of the Security Council can be found at S/2010/507.

Economic and Social Council

The Economic and Social Council (ECOSOC)²⁸, which has 54 members each serving a three-year term, was created to coordinate and mediate among the different bodies of the UN system. ECOSOC makes policy recommendations to the GA and other parts of the UN. It meets for four-week sessions annually in July. The high-level part of the meeting is a forum for ministers, executive heads of international institutions and high-ranking officials, as well as civil society and private sector representatives to discuss key issues on the international agenda in the area of economic, social and environmental development. The 2005 World Summit Outcome Document, for example, mandated ECOSOC to hold annual ministerial reviews to assess progress on implementing outcomes of the major UN conferences and summits of the past one-and-a-half decade, including the internationally-agreed development goals²⁹. Secretariat support to ECOSOC is provided through the Department of Economic and Social Affairs (DESA).

KEY QUESTIONS

i. How are decisions taken at ECOSOC?

Decisions are generally taken by consensus; only on rare occasions is voting needed. The decisions of ECOSOC are not binding on Member States.

ii. What is the role of ECOSOC?

ECOSOC makes or initiates studies and reports on international economic, social, cultural, educational, health and human rights-related matters. It makes recommendations on these to the GA and is charged with bringing greater coherence to the work of the specialized agencies and the rest of the UN system. It also makes recommendations for the purpose of promoting respect for, and observance of, human rights. ECOSOC prepares draft conventions for submission to the GA and convenes international conferences when necessary. It enters into agreements with specialized agencies and makes arrangements for consultations with non-governmental organizations (NGOs).

iii. What is ECOSOC's relationship with NGOs?

ECOSOC is the key intermediary between the UN and NGOs. In accordance with the Charter, ECOSOC has made arrangements for consultations with NGOs. There are currently over 3,000 NGOs enjoying general or special consultative or roster status with ECOSOC. This status gives them the right to participate in certain UN meetings, studies and projects and to submit reports to ECOSOC. NGOs, however, have their own liaison body, the Conference on Non-Governmental Organizations in Consultative Status (CONGO).

International Court of Justice

The International Court of Justice (ICJ)³⁰ is the UN's principle judicial organ, and its statute is an integral part of the UN Charter. The Court's principle function is to decide, in accordance with international law, cases that are submitted to it by States. It is directed to apply:

- International conventions establishing rules expressly recognized by the contesting states
- International custom, as evidence of a general practice accepted as law
- The general principles of law recognized by civilized nations
- Judicial decisions, and the teachings of the most highly-qualified international law experts, as subsidiary means for the determination of rules of law.

The decision of the Court has no binding force except between the parties and in respect of that particular case. The Court also gives advisory opinions to the GA and Security Council on legal questions, and advisory opinions to other organs of the UN and specialized agencies that are authorized by the GA to request them.

The ICJ has 15 members who are elected by the GA and by the Security Council, no two of whom may be nationals of the same state.

Trusteeship Council

The Trusteeship Council was set up under Chapters XII and XIII of the UN Charter to ensure that non-self-governing territories were administered to further international peace and security and to promote the political, economic, social, and educational advancement of the inhabitants of the trust territories, and their progressive development towards self-government or independence. The Trusteeship Council suspended operation on 1 November 1994, one month after the last remaining UN trust territory, Palau, became independent.

Secretariat

The Secretariat is headed by the UN Secretary-General. The main Charter provisions concerning the Secretariat are contained in Chapter XV (Articles 97-101). The Secretariat has an important servicing and implementing role in the system, and is in constant dialogue with the GA, the Security Council, ECOSOC and, as such, with all Member States. The Secretariat is covered in detail in "Chapter 3 - The Secretariat".

OTHER RELEVANT BODIES

While not principal organs, two recently created bodies – the Peacebuilding Commission (PBC) and the Human Rights Council (HRC) – are noteworthy and perform important functions within the Organization.

KEY QUESTIONS

i. What is the Peacebuilding Commission?

Established in 2005 by concurrent resolutions of the GA and the Security Council, the PBC is a key intergovernmental advisory body that supports peacebuilding efforts in countries emerging from conflict. The PBC was

established following the *High-Level Panel on Threats, Challenges and Change* and the report of the Secretary-General *In Larger Freedom*. The PBC was intended to address a critical void in post-conflict assistance, focusing attention on reconstruction and institution-building necessary for recovery from conflict and laying the foundation for sustainable development. Its main purpose, therefore, is to improve the coordination of all relevant actors within and outside the UN who are involved in post-conflict peacebuilding and reconstruction, and to bring together relevant actors to marshal resources, support the development of integrated strategies, identify best practices, and help to ensure predictable financing³¹.

The PBC Organizational Committee is composed of seven members selected by the Security Council, including five permanent members; seven members elected by the GA; seven members elected by ECOSOC; the five top providers of assessed contributions to UN budgets and voluntary contributions to UN Agencies, Funds and Programmes; and the five top providers of military personnel and civilian police to UN field missions.

ii. What is the Human Rights Council?³²

Established in 2006, the HRC is a subsidiary, intergovernmental body of the GA. The HRC is responsible for promoting universal respect for the protection of human rights and fundamental freedoms for all, without distinction of any kind and in a fair and equal manner. It is mandated to consider violations of human rights, including gross and systemic violations, and to make recommendations. The HRC is also expected to promote effective coordination and mainstreaming of human rights within the UN system.

The HRC has several components.

- The Universal Periodic Review (UPR) is a unique process involving a review of the human rights records of all UN Member States. The UPR is a state-driven process, under the auspices of the Human Rights Council, which provides the opportunity for each state to declare what actions they have taken to improve the human rights situations in their countries and to fulfill their human rights obligations. The UPR is designed to ensure equal treatment for every country when their human rights situations are assessed.
- The Advisory Committee serves as the "think tank" of the HRC, providing it with expertise and advice on thematic human rights issues.

- The revised Complaint Procedure mechanism allows individuals and organizations to bring complaints about human rights violations to the HRC's attention.
- The special procedures of the Human Rights Council are independent human rights experts with mandates to report and advise on human rights from a thematic or country-specific perspective.

The HRC meets for at least 10 weeks a year over 3 regular sessions and can convene special sessions if necessary. It comprises 47 members elected by the majority of GA Members for a period of three years, based on equitable geographic distribution. The GA takes into account the candidate States' contribution to the promotion and protection of human rights, as well as their voluntary pledges and commitments in this regard.

ANNEX ONE: SUBSIDIARY ORGANS OF THE GENERAL ASSEMBLY

Committees

- First Committee (Disarmament and International Security Committee)
- Second Committee (Economic and Financial Committee)
- Third Committee (Social, Humanitarian and Cultural Committee)
- Fourth Committee (Special Political and Decolonization Committee)
- Fifth Committee (Administrative and Budgetary Committee)
- Sixth Committee (Legal Committee)

Boards

- Trade and Development Board [established by GA resolution 1995 (XIX)]
- United Nations Joint Staff Pension Board [established by GA resolution 248 (III)]
- Advisory Board on Disarmament Matters [established by GA resolution 37/99 K]

Executive Boards

- Executive Board of the United Nations Children's Fund [established by GA resolution 57 (I) and 48/162]
- Executive Board of the United Nations Development Programme and of the United Nations Population Fund [established by GA resolution 2029 (XX) and 48/162]
- Executive Board of the World Food Programme [established by GA resolution 50/8]

Commissions

- Disarmament Commission [established by GA resolution 502 (VI) and S-10/2]
- International Civil Service Commission [established by GA resolution 3357 (XXIX)]
- International Law Commission [established by GA resolution 174 (II)]
- United Nations Commission on International Trade Law (UNCITRAL) [established by GA resolution 2205 (XXI)]
- United Nations Conciliation Commission for Palestine [established by GA resolution 194 (III)]
- United Nations Peacebuilding Commission [established by GA resolution 60/180 and UN Security Council resolution 1645(2005)]

Advisory Commission

- Advisory Commission on the United Nations Relief And Works Agency for Palestine Refugees in the Near East [established by GA resolution 302 (IV)]

Committees

- Investments Committee [established by GA resolution 155 (II)]
- United Nations Staff Pension Committee [established by GA resolution 248 (III)]
- Committee for the United Nations Population Award [established by GA resolution 36/201]
- Committee on Contributions [established by GA resolution 14 (I) A]
- Committee for Programme and Coordination [established by GA resolution 31/93 and ECOSOC Resolution 2008 (LX)]
- Committee on Conferences [established by GA resolution 43/222B]
- Committee on Information [established by GA resolution 33/115 C]
- Committee on Relations with the Host Country [established by GA resolution 2819 (XXVI)]
- Committee on the Exercise of the Inalienable Rights of the Palestinian People [established by GA resolution 3376 (XXX)]
- Committee on the Peaceful Uses of Outer Space [established by GA resolution 1472 A (XIV)] [established by GA resolution 913 (X)]

Ad Hoc Committees

- Ad Hoc Committee on the Administration of Justice at the United Nations [established by GA decision 62/519]
- Ad Hoc Committee on Criminal Accountability of United Nations Officials and Experts on Mission [established by GA resolution 61/29]
- Ad Hoc Committee Established by General Assembly Resolution 51/210 [established by GA resolution 51/210]
- Ad Hoc Committee of the General Assembly for the Announcement of Voluntary Contributions to the Programme of the United Nations High Commissioner for Refugees [established by GA resolution 1729 (XVI)]
- Ad Hoc Committee of the General Assembly for the Announcement of Voluntary Contributions to the United Nations Relief and Works Agency for Palestine Refugees in the Near East [established by GA resolution 1729 (XVI)]
- Ad Hoc Committee on a Comprehensive and Integral International Convention on Protection and Promotion of the Rights and Dignity of Persons with Disabilities [established by GA resolution 56/168] *Note: The Ad Hoc Committee was last active during its seventh session from 16 January to 3 February 2006.*
- Ad Hoc Committee on the Elaboration of a Convention Against Corruption [established by GA resolution 55/61] *Note: The Ad Hoc Committee was last active during its 13th session from 26 January to 6 February 2004.*
- Ad Hoc Committee on the Indian Ocean [established by GA resolution 2992 (XXVII)]
- Ad Hoc Committee on the Scope of Legal Protection under the Convention on the Safety of United Nations and Associated Personnel [established by GA resolution 56/89] *Note: The Ad Hoc Committee was last active during the 60th session of the General Assembly from 4 to 10 October 2005.*

Advisory Committees

- Advisory Committee on Administrative and Budgetary Questions [established by GA resolution 173 (II)]

- Advisory Committee on the United Nations Programme of Assistance in the Teaching, Study, Dissemination and Wider Appreciation of International Law [established by GA resolution 2099 (XX)]
- Independent Audit Advisory Committee [established by GA resolution 60/248]

Executive Committee

- Executive Committee of High Commissioner's Programme (UNHCR) [established by GA resolution 1166 (XII)]

High-Level Committee

- High-level Committee on South-South Cooperation [established by GA resolution 33/134]

Special Committees

- Special Committee on Peace-keeping Operations [established by GA resolution 2006 (XIX)] (also referred to as the C-34)
- Special Committee on the Charter of the United Nations and on the Strengthening of the Role of the Organization [established by GA resolution 3349 (XXIX)]
- Special Committee on the Situation with regard to the Implementation of the Declaration on the Granting of Independence to Colonial Countries and Peoples [established by GA resolution 1654 (XVI)]
- Special Committee to Investigate Israeli Practices Affecting the Human Rights of the Palestinian People and Other Arabs of the Occupied Territories [established by GA resolution 2443 (XXIII)]

Councils

- Human Rights Council [established by GA resolution 60/251]
- Council of the United Nations University [established by GA resolution 3081 (XXVIII)]

Governing Councils

- Governing Council of the United Nations Environment Programme [established by GA resolution 2997 (XXVII)]
- Governing Council of the United Nations Human Settlements Programme, UN - Habitat [In its resolution 56/206, the GA decided to transform the Commission on Human Settlements to the Governing Council of the UN Human Settlements Programme, UN-Habitat. GA resolution 32/162 states the objectives, functions and responsibilities of the Governing Council.]

Panel

- Panel of External Auditors of the United Nations, the Specialized Agencies and the International Atomic Energy Agency [established by GA resolution 347 (IV) and 1438 (XIV)]

Working Groups

- Working Group on the Finance of the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) [established by GA resolution 2656 (XXV)]

Ad Hoc Working Group

- Ad Hoc Working Group on the Revitalization of the General Assembly [established by GA resolution 64/301]

Open-ended Ad Hoc Working Groups

- Open-ended Ad Hoc Working Group of the General Assembly on the Integrated and Coordinated Implementation of and Follow-up to the Major United Nations Conferences and Summits in the Economic and Social Fields [established by GA resolution 57/270]. *Note: The Ad Hoc Working Group was last active during the 57th session of the General Assembly in 2003.*
- Ad Hoc Open-ended Informal Working Group on Marine Biological Diversity beyond areas of national jurisdiction [established by GA resolution 59/24]
- Ad Hoc Open-ended Working Group of the General Assembly to follow up on the issues contained in the Outcome of the Conference on the World Financial and Economic Crisis and its Impact on Development [established by GA resolution 63/305]
- Open-ended Working Group towards an Arms Trade Treaty: establishing common international standards for the import, export and transfer of conventional arms [established by GA resolution 63/240]

Open-Ended Working Groups

- Open-ended Working Group on the Causes of Conflict and the Promotion of Durable Peace and Sustainable Development in Africa [established by GA resolution 54/234]. *Note: The Working Group was last active during the 55th session of the General Assembly in 2001.*
- Open-ended Working Group on the Question of Equitable Representation on and Increase in the Membership of the Security Council and Other Matters Related to the Security Council [established by GA resolution 48/26]
- Open-ended Working Group to consider the objectives and agenda, including the possible establishment of the Preparatory Committee, for the Fourth Special Session of the General Assembly devoted to disarmament or "Open-ended Working Group on SSOD-IV" [established by GA resolution 57/61]
- Open-ended working group on Ageing for the purpose of strengthening the protection of the human rights of older persons [established by GA resolution 65/182]

Other

- United Nations Appeals Tribunal [established by GA resolution 62/228] *Note: As a result of the decision of the General Assembly to establish a new system of administration of justice, the UN Administrative Tribunal was abolished as of 31 December 2009 (See also GA resolution 61/261).*
- United Nations Dispute Tribunal [established by GA resolution 62/228] *Note: As a result of the decision of the General Assembly to establish a new system of administration of justice, the UN Administrative Tribunal was abolished as of 31 December 2009 (See also GA resolution 61/261).*
- Joint Inspection Unit [established by GA resolution 2150 (XXI)]
- United Nations Open-ended Informal Consultative Process on Oceans and the Law of the Sea [established by GA resolution 54/33 and 57/141]

ANNEX TWO: SUBSIDIARY BODIES OF THE SECURITY COUNCIL

Standing Committees

There are three committees at present, and each includes representatives of all Security Council Member States:

- Security Council Committee of Experts
- Security Council Committee on Admission of New Members
- Security Council Committee on Council meetings away from Headquarters

Ad Hoc Committees

They are established as needed, comprise all Council members and meet in closed session:

- Governing Council of the United Nations Compensation Commission [established by Security Council resolution 692 (1991)]

Counter-Terrorism and Non-Proliferation Committees

- Committee established pursuant to resolution 1373 (2001) concerning Counter-Terrorism
- Committee established pursuant to resolution 1540 (2004) – regarding the non-proliferation of weapons of mass destruction

Sanctions Committees

- Security Council Committee pursuant to resolutions 751 (1992) and 1907 (2009) concerning Somalia and Eritrea
- Security Council Committee pursuant to resolution 1267 (1999) and 1989 (2011) concerning Al-Qaida and associated individuals and entities
- Security Council Committee established pursuant to resolution 1518 (2003)
- Security Council Committee established pursuant to resolution 1521 (2003) concerning Liberia
- Security Council Committee established pursuant to resolution 1533 (2004) concerning the Democratic Republic of the Congo
- Security Council Committee established pursuant to resolution 1572 (2004) concerning Côte d'Ivoire
- Security Council Committee established pursuant to resolution 1591 (2005) concerning the Sudan
- Security Council Committee established pursuant to resolution 1636 (2005)
- Security Council Committee established pursuant to resolution 1718 (2006)
- Security Council Committee established pursuant to resolution 1737 (2006)
- Security Council Committee established pursuant to resolution 1970 (2011) concerning Libya
- Security Council Committee established pursuant to resolution 1988 (2011)

Working Groups

- Security Council Working Group on Peacekeeping Operations
- Security Council Ad Hoc Working Group on Conflict Prevention and Resolution in Africa
- Security Council Working Group established pursuant to resolution 1566 (2004)
- Security Council Working Group on Children and Armed Conflict
- Security Council Informal Working Group on Documentation and Other Procedural Questions

Peacekeeping Operations

- Since 1948 there have been more than 65 United Nations peacekeeping operations³³.

Special Political Missions

- Including peacebuilding missions, there have been more than 25 field-based United Nations political missions³⁴.

International Tribunals

- International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991 - established by S/RES/808 (1993) - known as the International Criminal Tribunal for the Former Yugoslavia (ICTY)
- International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of Rwanda and Rwandan Citizens Responsible for Genocide and Other Such Violations Committed in the Territory of Neighbouring States between 1 January and 31 December 1994 - established by S/RES/955 (1994) - known as the International Criminal Tribunal for Rwanda (ICTR)
- International Residual Mechanism for Criminal Tribunals – established by S/RES/1966 (2010)

Advisory Subsidiary Body

- Peacebuilding Commission (PBC)

ANNEX THREE: SUBSIDIARY BODIES OF THE ECONOMIC AND SOCIAL COUNCIL

Functional Commissions

- Commission on Narcotic Drugs
- Commission on Population and Development
- Commission on Science and Technology for Development
- Commission on Sustainable Development (to be replaced by the High-level Political Forum)
- Commission on the Status of Women
- Statistical Commission
- Commission for Social Development
- Commission on Crime Prevention and Criminal Justice
- United Nations Forum on Forests

Regional Commission

- Economic Commission for Africa (ECA) (based in Ethiopia)
- Economic and Social Commission for Asia and the Pacific (ESCAP) (based in Thailand)
- Economic Commission for Europe (UNECE) (based in Switzerland)
- Economic Commission for Latin America and the Caribbean (ECLAC) (based in Chile)
- Economic and Social Commission for Western Asia (ESCWA) (based in Lebanon)

Standing Committees

- Committee for Programme and Coordination (CPC)
- Committee on Non-Governmental Organizations
- Committee on Negotiations with Intergovernmental Agencies

Expert Bodies

- Committee of Experts on International Cooperation in Tax Matters
- Committee for Development Policy
- Committee of Experts on the Transport of Dangerous Good and on the Globally Harmonized System of Classification and Labeling of Chemicals
- Committee on Economic, Social and Cultural Rights
- Committee of Experts on Public Administration
- Permanent Forum on Indigenous Issues
- Group of Experts on Geographical Names
- Committee of Experts on Global Geospatial Information Management

ENDNOTES

- ¹ An international civil servant is usually a civilian employee of an international organization. Within the UN, this is defined as a staff member, or other personnel holding a letter of appointment with a valid signature. For seconded military or police officers, the status as staff and therefore as international civil servant depends on the nature of the contractual arrangement; some receive a letter of appointment, some operate under different agreements and therefore are not regarded as staff.
- ² Dag Hammarskjöld, Statements After Election to Office, *The International Public Servant*, Statement to the press on arrival at International Airport, New York, 9 April 1953 in Foote, Wilder (ed.), *Servant of Peace, A Selection of the Speeches and Statements of Dag Hammarskjöld*, Harper and Row Publications, New York and Evanston, 1962, p. 354.
- ³ Peck, Connie, *On being a Special Representative of the Secretary-General*, United Nations Institute for Training and Research (UNITAR), 2006, chapter 17.
- ⁴ "The Change Plan", Proposals by the Change Management Team to the Secretary-General, New York, December 2011, United Nations, page 13.
- ⁵ Internal and external communications will be covered in more detail in Chapter 9.
- ⁶ Ibid.
- ⁷ Peck (2006), page 486.
- ⁸ A useful way to keep abreast of developments in the main organs is the *Journal of the United Nations*; the Journal is a resource which informs all UN staff of the meetings scheduled to take place on a given day and summarizes actions taken at the previous day's meetings. It is available on i-seek.
- ⁹ For more information on the governance structure that your particular department interacts with, you should attend the briefings offered by OHRM or ask for more information from your department.
- ¹⁰ See A/520/Rev.17 or <http://www.un.org/en/ga/about/ropga/index.shtml>.
- ¹¹ Article 12 states: "While the Security Council is exercising in respect of any dispute or situation the functions assigned to it in the present Charter, the General Assembly shall not make any recommendation with regard to that dispute or situation unless the Security Council so requests".
- ¹² Pursuant to its "Uniting for Peace" resolution of November 1950 (resolution 377 (V)), the Assembly may also take action if the Security Council fails to act, owing to the negative vote of a permanent member, in a case where there appears to be a threat to the peace, breach of the peace or act of aggression. The Assembly can consider the matter immediately with a view to making recommendations to Members for collective measures to maintain or restore international peace and security.
- ¹³ See Annex One for a breakdown of the subsidiary bodies of the GA.
- ¹⁴ M. J. Peterson, "General Assembly" in Thomas Weiss and Sam Daws (ed.), *The Oxford Handbook on The United Nations*, Oxford University Press, 2007, Chapter 5.
- ¹⁵ "Important questions" are outlined in Article 18 of the Charter as being "recommendations with respect to the maintenance of international peace and security, the election of the non-permanent members of the Security Council, the election of the members of the Economic and Social Council, the election of members of the Trusteeship Council in accordance with paragraph 1 of Article 86, the admission of new Members to the United Nations, the suspension of the rights and privileges of membership, the expulsion of Members, questions relating to the operation of the trusteeship system, and budgetary questions".
- ¹⁶ JUSCANZ is usually comprised of 14 or 15 UN Member States: Japan, the United States, Canada, Australia, New Zealand, Switzerland, Norway, Iceland, Andorra, Korea, Liechtenstein, Mexico, San Marino, Turkey and sometimes Israel.
- ¹⁷ <http://www.un.org/en/members/intergovorg.shtml>.

- ¹⁸ The concepts and mechanisms for system-wide coherence will be explored more thoroughly in "Chapter 4 - Agencies, Funds, Programmes, Related Organizations, and System-wide Coordination".
- ¹⁹ Held in Durban.
- ²⁰ Held in Geneva.
- ²¹ The UN regular budget provides funding for the General Assembly, the Secretariat including its special political missions and Offices Away from Headquarters, the Security Council, the Economic and Social Council, and the International Court of Justice. Additionally, the regular budget provides partial funding for certain UN operations, such as the United Nations High Commissioner for Refugees and the UN Environment Programme. This funding comes from Member States, whose contributions are assessed annually. Refer to "Chapter 7 - Budget and Finance" for more information.
- ²² In the case of the Fifth Committee, 25 copies are needed for the interpreters and officials on the podium, as well as an electronic copy.
- ²³ For an overview of the subsidiary bodies of the Security Council, see Annex Two.
- ²⁴ <http://www.un.org/en/sc/about/>.
- ²⁵ <http://www.centerforunreform.org/node/473>.
- ²⁶ Security Council procedures indicate that briefers' initial remarks should be limited to 15 minutes. Refer to Note by the President of the Security Council (S/2010/507).
- ²⁷ Refer to Note by the President of the Security Council (S/2010/507).
- ²⁸ For an overview of the subsidiary bodies of ECOSOC, see Annex Three.
- ²⁹ Paragraph 155 of the World Summit Outcome Document.
- ³⁰ For more information about the ICJ and its members, see the *United Nations Handbook 2011-2012*, produced by the New Zealand Mission to the UN.
- ³¹ Gert Rosenthal, "Economic and Social Council", in Thomas Weiss and Sam Daws (ed.) (2007), *The Oxford Handbook on The United Nations*, Oxford University Press, 2007, Chapter Seven. See also A/60/180-S/1645/2005; A/64/868-S/2010/393.
- ³² This description is taken largely from the *United Nations Handbook 2011/12* produced by the New Zealand Permanent Mission to the United Nations; see pages 25-29 for more information.

2

THE SECRETARY- GENERAL AND HIS EXECUTIVE OFFICE

“With our fates ever more entwined, our future must be one of ever deeper cooperation... Let us find new ways of governing, partnering and problem-solving. Let us empower the United Nations to be more than a first responder or a last resort.”

Secretary-General Ban Ki-moon
In address to the General Assembly, September 2013

UNITED NATIONS SECRETARY-GENERAL

Equal parts diplomat and advocate, civil servant and administrator, the Secretary-General is a symbol of UN ideals and a spokesperson for the interests of the world's peoples, in particular the poor and vulnerable among them. The role of the Secretary-General is described briefly in the UN Charter, but has evolved by precedent and in accordance with the personality of the individual, world events at the time, the nature of the relationships with – and among – Member States during the course of tenure, and the specifics of the situation being addressed.

In 1945, six functions of the Secretary-General were identified including: “The organization of the Secretariat, general administrative and executive tasks, and technical, financial, political and representative function”¹. Each of the previous Secretaries-General placed a somewhat different emphasis on one or more of the functions.

Prior to the current Secretary-General, Ban Ki-moon, who took office on 1 January 2007, there were seven Secretaries-General:

- Trygve Lie, 1946-1952 (Norway)
- Dag Hammarskjöld, 1953-1961 (Sweden)
- U Thant, 1961-1971 (Burma)
- Kurt Waldheim, 1972-1981 (Austria)
- Javier Perez de Cuellar, 1982-1991 (Peru)
- Boutros Boutros-Ghali, 1992-1996 (Egypt)
- Kofi A. Annan, 1997-2006 (Ghana).

KEY QUESTIONS

i. How does the UN Charter define the position of the Secretary-General?

The Charter states that the Secretariat is one of the principal organs of the UN (Article 7), with the Secretary-General at its head (Article 97). This provides a degree of independence and authority to the position, alongside, rather than as a subsidiary to, the other principal organs². The importance of independence is underscored in Article 100, which refers to the obligation not to "seek or receive instructions from any government or authority external to the Organization". Despite having a degree of independence, the Secretary-General is expected to "perform such other functions as are entrusted to him" by the other principal organs. This also places the Secretary-General in the position of "implementer" and interpreter of sometimes conflicting mandates.

The Secretary-General can "bring to the attention of the Security Council any matter that in his opinion may threaten the maintenance of international peace and security" (Article 99). This provides the Secretary-General with specifically political functions, including, but not limited to, the responsibility to carry out preventive diplomacy, often through the appointment of Special Representatives and Envoys to undertake his good offices.

ii. What does the role of the Secretary-General look like in practice?

The UN Charter sets out a framework within which the Secretary-General can work, but in reality the position is extremely dynamic. Indeed, the Secretary-General "can be a significant force in promoting the principles and objectives of the Organization, and mediating between powerful and sometimes conflicting interests in international politics"³.

The Secretary-General traditionally has moral suasion and legitimacy as the voice of the international community. The power of that voice, however, is often constrained by international politics of the day, and the extent to which the Secretary-General has the backing of the UN membership for specific initiatives.

EXECUTIVE OFFICE OF THE SECRETARY-GENERAL: INTEGRATED LEADERSHIP

The Executive Office of the Secretary-General (EOSG) was established in 1946. Co-located with the Secretary-General, its purpose is to assist the Secretary-General with relations with Member States and organs of the UN, and with specialized agencies and non-governmental organizations (NGOs), as well as to assist with policy and coordination of the Secretariat⁴.

The composition of the EOSG tends to change according to the vision and priorities of the Secretary-General. A significant re-structuring of the EOSG occurred in 2012, in order to better integrate its various functions and elements. An organizational chart of the EOSG can be found in Annex One.

KEY QUESTIONS

i. How is the Executive Office of the Secretary-General organized today?

The EOSG is headed by the Secretary-General, followed by the Deputy Secretary-General and the Chef de Cabinet. Responsibilities have been divided into two distinct but complementary portfolios: substantive and managerial.

The **Deputy Secretary-General**⁵, supported by a front office, Chief of Staff and Special Assistant, is responsible for providing guidance and supervision over the following key areas/posts in the EOSG:

- Strategic planning
- Economic and social affairs
- Political, peacekeeping and humanitarian affairs
- Policy and planning
- Rule of Law Unit
- Special Adviser for Post-2015 Development Planning (on the Millennium Development Goals (MDGs)).

The following entities report through the Deputy Secretary-General:

- Department of Political Affairs (DPA)
- Department of Peacekeeping Operations (DPKO)
- Department of Economic and Social Affairs (DESA)
- Office for the Coordination of Humanitarian Affairs (OCHA)

- Office of the High Commissioner for Human Rights (OHCHR)
- Office for Disarmament Affairs (UNODA)
- Peacebuilding Commission (PBC) and the Peacebuilding Support Office (PBSO)
- UN-Women
- Funds and Programmes; and, Specialized Agencies.

The **Chef de Cabinet**, supported by a front office, Director of Office and Special Assistant, is responsible for providing guidance and supervision over the following key areas/posts in the EOSG:

- Management
- Senior appointments
- Director of Office (including the scheduling office, central records unit, and administrative unit)
- Speech-writing/Correspondence unit
- Spokesperson
- Chief of Protocol.

The following entities report through the Chef de Cabinet:

- Department for General Assembly and Conference Management (DGACM)
- Department of Field Support (DFS)
- Department of Public Information (DPI)
- Department of Management (DM)
- Department of Safety and Security (DSS)
- Office of Internal Oversight Services (OIOS)
- Office of Legal Affairs (OLA)
- Ethics Office
- Office of the Ombudsman
- Office for the Administration of Justice (AOJ).

The Chef de Cabinet is charged with ensuring coherence/integration between the political and management “sides” of the Organization.

ii. How do these entities work together?

While heads of departments/offices are required to coordinate with relevant counterparts on daily issues, the EOSG has responsibility for ensuring overall coherence between the work of the different parts

of the Organization, and that issues are addressed appropriately. To this end, the Deputy Secretary-General and Chef de Cabinet co-chair daily planning meetings with senior representatives of the EOSG.

ADVICE AND GUIDANCE

- While all Senior Leaders are accountable to the Secretary-General and report to him directly, for more informal guidance and advice, you can address **the Deputy Secretary-General or the Chef de Cabinet**, as appropriate (see above). Both have a duty to act as honest intermediaries between the Secretary-General, Member States and Secretariat Staff and convey efficiently and faithfully.
- If you have a **new idea** that you would like to present to the Secretary-General, it is best to first **share it informally with the Chef de Cabinet or Deputy Secretary-General**. They can provide invaluable advice on the proposal and indicate when you can develop a formal proposal to present to the Secretary-General for consideration.
- A key guiding principle for the work of all Senior Leaders is **integration**. The Organization has been making a concerted effort to work across portfolios and to move away from working in “silos”. Senior Leaders are tasked with breaking down walls internally between UN entities, and externally between Member States, the private sector, public sector and others. You are strongly encouraged to think consistently in terms of how best to work “across the system” to ensure that the best possible results are delivered.
- The **Office of the Spokesperson of the Secretary-General and the Speech-writing Unit** form part of the EOSG. Keep them abreast of all subjects on which the Secretary-General may be required to make internal or external statements.
- As Senior Leaders, there will be moments when you need to bring together multiple actors to discuss challenging topics. You can take advantage of the Deputy Secretary-General’s **convening power** to do so, if it could prove sensitive or difficult for you to bring actors together yourself.
- **Maintain a relationship with the Chairpersons of the various Committees**, as well as an on-going dialogue with the broad membership of those committees.
- When traveling abroad, it can be useful **to coordinate your trips with other Senior Leaders**, both to ensure that field offices are not overburdened and to coordinate messaging and achieve maximum impact.
- **Share information!** Information is only power when it is shared with other Senior Leaders. You must work as a team.

SECRETARY-GENERAL BAN KI-MOON: FIRST- AND SECOND- TERM PRIORITIES

On 21 June 2011, Secretary-General Ban Ki-moon was unanimously re-elected by the General Assembly and will continue to serve until 31 December 2016. In his second term, Ban Ki-moon has put a strong emphasis on implementation and delivering results: "Mere statistics will not do. We need results that people can see and touch, results that change lives, make a difference."⁶

KEY QUESTIONS

i. What were some of the Secretary-General's first-term priorities?

Ban Ki-moon's priorities for his first term were wide-ranging on both the political and management sides of the house. Many of the results of these priorities, as he stated himself, will only come to fruition later. His first term, however, prioritized at least nine key issues:

- Climate change
- Nuclear disarmament
- Voices of the vulnerable (e.g. those already, or at risk of, falling below the poverty line)
- Gender equality and empowerment, and the protection of women in armed conflicts
- Peacemaking, preventive diplomacy and mediation
- Peace and security
- Protection of civilians (POC)
- Strengthening of the rule of law
- Institutional reforms (e.g. creation of DFS, creation of the Office of Rule of Law and Security Institutions (OROLSI) within DPKO, re-configuration of the Department for Disarmament Affairs (DDA) into the UN Office for Disarmament Affairs (UNODA), and the creation of UN-Women).

ii. What is the Secretary-General's vision for his second term?

In his second term, the Secretary-General envisages a focus on: how policies affect "individuals and everyday lives"; the idea that change is achieved through "powerful partnerships"; and, the belief that the

Organization should be judged on “results, not effort” – results that are tangible and sustainable. In his five-year action agenda, released at the beginning of 2012, he outlined five “generational opportunities”:

- First, achieving sustainable development by “connecting the dots” among climate change, the food crisis, water scarcity, energy shortages, women’s empowerment and global health issues. As such, climate change continues to be a significant priority, along with ensuring the fulfillment of the MDGs and the Post-2015 UN Development Framework.
- Second, prevention of conflict and natural disasters.
- Third, making the world safer and more secure, focusing on less resource-heavy mediation and facilitation activities, where feasible.
- Fourth, a focus on support to countries in transition, emphasizing respect for human rights and basic dignities.
- Fifth, empowerment of women and youth.

Key enablers are foundations for achieving results against these generational challenges. These include improving UN capacity for engaging in partnerships, establishing of the Enterprise Resource Planning system *Umoja*, implementing International Public Sector Accounting Standards (IPSAS), and adopting a staff mobility framework.

ADVICE AND GUIDANCE

- It is important to ensure that **your vision and public statements/comments** are fully in line with those of the Secretary-General. Remember that **you always represent the Secretary-General**. If you have any doubts or questions, you can discuss this with the Deputy Secretary-General or Chef de Cabinet, as appropriate. Familiarize yourself with the views of the Secretary-General through a close reading of the Annual Reports of the Secretary-General to the General Assembly (2007-2011), the *Secretary-General’s Five-Year Action Agenda*⁷ and his speeches, articles and statements to the press.
- One of the essential roles of all Senior Leaders within the Secretariat is to **act as a catalyst for positive dialogue and impartial solutions**. The UN is an inherently political organization; it is your job to move away from divisive politics, towards constructive outcomes.

EXECUTIVE MANAGEMENT BODIES: THE NUTS AND BOLTS OF THE EXECUTIVE OFFICE OF THE SECRETARY-GENERAL

A number of committees support the executive decision-making process in the Secretariat by enabling an exchange of advice and guidance between the Secretary-General and members of his senior management team on issues of a strategic or policy nature. There are several executive bodies that you need to be aware of including the:

- Senior Management Group⁸
- Policy Committee⁹
- Management Committee¹⁰
- Management Performance Board
- UN System Chief Executive Board for Coordination (CEB).

All of these bodies are covered in this chapter, with the exception of the CEB, which is covered in Chapter 4.

SENIOR MANAGEMENT GROUP

The Senior Management Group (SMG) ensures strategic coherence and direction to the work of the Organization. The Secretary-General uses the forum, which he normally convenes every two weeks, to raise issues and provide guidance on important cross-cutting matters as well as to increase opportunities for sharing best practices among members of the SMG. It was created in 1997 and modified in 2005.

KEY QUESTIONS

i. What are the key roles of the Senior Management Group?

The SMG allows senior managers to plan together, share information, pool efforts, coordinate activities, avoid duplication, and work towards common objectives. Video-conferencing enables senior officials from Offices Away from Headquarters, regional commissions etc. to take part in the meetings. Your attendance, or that of your designate, is mandatory, and you are responsible for communicating the themes and relevant outcomes of each SMG to all your staff.

ii. Who participates in the Senior Management Group?

The SMG is chaired by the Secretary-General and comprises senior officials from the EOSG and the heads/deputy heads of Secretariat departments/offices, Offices Away from Headquarters, regional commissions, and a number of funds and programmes. A full listing of its members can be found in Annex Two. The Under-Secretary-General (USG) for OIOS participates as an observer in the SMG meetings.

POLICY COMMITTEE

The Policy Committee (PC), chaired by the Secretary-General, is a decision-making mechanism of the Secretary-General on key thematic and geographic issues, with a transparent and predictable preparatory process. The PC, established in 2005, is the highest-level, internal decision-making body of the Organization on policy matters. It has a strategic forward agenda corresponding to the Secretary-General's priorities. As a result of each meeting, the Secretary-General issues a signed decision with clear tasking and deadlines. The committee typically meets several times per month.

KEY QUESTIONS

i. Who participates in the Policy Committee meetings?

The PC is chaired by the Secretary-General. Its members consist of senior officials from the EOSG, the Chairs of the four Executive Committees¹¹ (ECPS, ECHA, EC-ESA and UNDG) covering the main streams of UN work, and the heads of OHCHR, OLA, DPI, UNODA and UN-Women. A full listing of its members can be found in Annex Three. Substitutes may participate by invitation in case a member is unavailable. The Special Adviser on Africa may participate for Africa-related items, and other senior officials may be invited depending on the topic under discussion.

ii. What is the preparatory process for Policy Committee meetings?

The items for discussion in any given session are known in advance. This allows for broad consultation with non-members who may have a stake in the issue, and the airing of alternative views prior to the meeting. Consultation takes place in stages:

- A first draft for comments is circulated to PC members and guests three weeks before the meeting and a second draft is circulated a week thereafter.

- Informal discussions and brainstorming may be organised in parallel.
- The lead department(s) is/are responsible for reconciling inputs and ensuring adequate consultation. Where necessary, dissenting opinions and substantive differences should be recorded.
- One week prior to the meeting, the final draft, cleared by the lead department, must be submitted to the Policy Committee Secretariat who oversees the process.
- The Policy Committee secretariat proceeds to final edits and seeks clearance from the Secretary-General before sharing the final submission with Policy Committee members.

The preparatory process therefore provides an opportunity for constructive debate on policy options and for a wide range of views to be aired. The PC's relatively small membership allows for more efficient and confidential discussions.

iii. What types of issues are discussed in the Policy Committee?

PC meetings can focus on either thematic or country/region-specific issues. The Secretary-General typically uses the Committee to deal with major political crises, transitions and opportunities; to take major decisions about UN field missions (e.g. new and transitioning field missions); to agree on UN strategies for major intergovernmental conferences; to develop new system-wide policies (e.g. Human Rights Due Diligence Policy, and action plans such as on women in peacebuilding, change management etc.); to resolve institutional roles and responsibilities; to agree on and create clear tasking for system-wide action plans; and to task and orchestrate the UN system's different actors and voices on complex issues and situations.

ADVICE AND GUIDANCE

- The very inclusion of an item on the Policy Committee agenda tends to create incentives for cooperation. Managers are expected to **bring solutions**, not only problems, before the Secretary-General.
- When an item is included on the PC's agenda, this is a sign that the matter is a **priority of the Secretary-General**. Keep this in mind when you are considering whether to request an agenda item for inclusion.
- Issues should only be put on the table when ready for high-level decision-making; the meeting is not intended to be a brainstorming or debating forum. It is important to ensure that all concerned have been widely consulted and that most disagreements have been aired and settled prior to the meeting, so that **constructive solutions and options can be presented** to the Secretary-General.

- Both the Policy Committee and Management Committees represent important opportunities for all senior managers; members are requested to **participate consistently**. If members are unavailable, they are encouraged to send their Officers-in-Charge. The meetings are closed, with no backbenchers aside from the PC secretariat, so that there is only one written outcome and no competing read-outs.

MANAGEMENT COMMITTEE

The Management Committee (MC) considers internal reform and management-related initiatives and issues, including change management processes requiring strategic direction from the Secretary-General. It also ensures that findings and recommendations of the Board of Auditors (BoA), the Joint Inspection Unit (JIU) and OIOS are effectively fed into the executive management processes and that accepted recommendations are followed up and implemented in a timely manner. Lastly, the MC also reviews key management reports for consideration by the General Assembly, so as to ensure oversight and coherence of management issues. The MC normally meets once a month.

KEY QUESTIONS

i. Who participates in the Management Committee meetings?

The MC is chaired by the Chef de Cabinet on behalf of the Secretary-General. For a listing of its members, see Annex Four. The USG for OIOS participates as an observer in all oversight meetings of the Committee. Heads of departments and offices who are not members of the MC may propose items for consideration by the Committee, which may invite them to participate as required.

ii. What types of processes and actors typically inform the Management Committee meetings?

The agenda and forward agenda of the MC are formulated by the Secretary, in close consultation with various Secretariat entities¹² and the oversight bodies, including the Independent Audit Advisory Committee (IAAC). Priority consideration is given to the resolution and decisions of the Fifth Committee, as well as reports and recommendations of the Advisory Committee on Administrative and Budgetary Questions (ACABQ) and oversight bodies. Particular attention is paid to identifying risks and challenges.

To ensure greater coherence, integration of messages and strategic oversight on all critical management issues, the MC now receives regular reports from all management-related steering committees¹³. The Committee also has quarterly meetings with the oversight bodies on implementation of the oversight bodies' recommendations.

iii. What types of issues are discussed in the Management Committee?

Past agenda include, for example:

- Follow-up to the outcomes of the senior managers retreat in Turin
- Dialogue Oversight meetings with OIOS and IAAC
- Consideration of the issue of support to staff, affected families and survivors of malicious acts, natural disasters or other emergencies (previously handled by the PC)
- Consideration of funding trends and future implications for the Secretariat
- Backstopping and funding arrangements for special political missions.

MANAGEMENT PERFORMANCE BOARD

The Management Performance Board (MPB), chaired by the Chef de Cabinet, performs an advisory role to the Secretary-General. Its key functions include:

- Monitoring the performance of senior managers and heads of UN field missions in achieving the objectives, results and targets contained in their compacts, human resources management scorecards and the programme and planning documents.
- Reviewing the outcome of the Administration of Justice (AOJ) proceedings in the Secretariat for management performance and accountability purposes, with a particular focus on the judgments of the United Nations Dispute Tribunal (UNDT) and the United Nations Appeals Tribunal (UNAT).
- Conducting yearly reviews of the performance appraisal system within the Secretariat.

SENIOR MANAGER AND HEAD OF MISSION COMPACTS

The Senior Managers' Compacts are annual agreements that the Secretary-General signs with his senior-most officials⁴. Compacts set specific programmatic objectives and managerial targets for a given year, thereby ensuring accountability at the highest levels. For each senior manager, they include key objectives related to the specific mandate of each department, office, Office Away from Headquarters, regional commission, and UN field mission (hereafter "mission") including objectives from relevant budget documents. Compacts identify strategic goals that are shared by all departments/offices/missions, such as the efficient management of financial resources and the implementation of oversight body recommendations.

KEY QUESTIONS

i. Why are senior management compacts so important?

The Compacts form an essential element of the Secretary-General's drive for accountability and transparency in the Organization, starting with his most senior managers; this is a priority shared by Member States, as made clear by the General Assembly. The Compact should demonstrate your obligations to your staff, to the mandate of your department/office/mission, to the Secretary-General and to the Organization as a whole. Most important, it is a highly visible and public demonstration of your commitment to the populations the Organization serves. Lastly, the Compacts represent an inherent commitment to teamwork.

ii. How do the Senior Management Compacts work?

The Compacts require you to set - at the beginning of the year - your programme priorities together with departmental/office/mission targets and indicators. In addition, the MPB selects the management objectives that apply to all senior managers, such as implementation of oversight body recommendations, gender representation and reduction of vacancy rates. Once agreement is reached on its content, you are requested to sign your Compact with the Secretary-General.

The targets set in your Compact should cascade down through the work plans of all offices, units and individual staff members, thereby aligning work at all levels.

At the end of each calendar year, the MPB assesses your performance against the targets in your Compact using the ratings "satisfactorily met", "partially met" and "did not meet". The Chef de Cabinet informs

the Secretary-General of the results and then notifies you about your performance. Innovative approaches are shared with the other senior managers in order to strengthen individual as well as organizational performance.

You will be held accountable for your own performance, and the performance of your department/office/mission. If your targets are not met by the end of the year, you must take necessary action to remedy possible shortcomings. The Secretary-General will take appropriate action, where necessary. To promote a climate of transparency within the Secretariat, the Compacts and performance assessments are now posted online¹⁵.

iii. On what types of issues am I being assessed?

You will be assessed on overall targets such as implementation of oversight body recommendations, gender representation and reduction of vacancy rates, as well as areas that are specific to your department/office/mission.

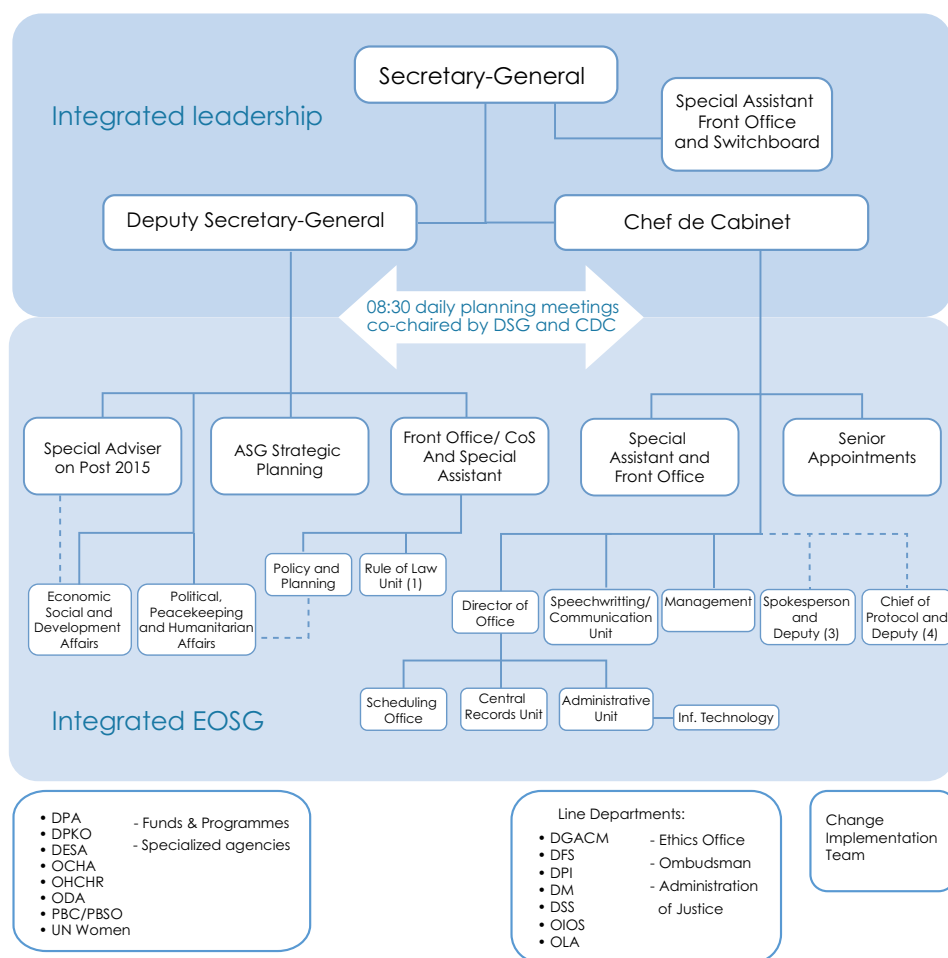
See the MPB review of the 2012 Senior Management Compacts for examples of the types of issues on which you will be assessed.

ADVICE AND GUIDANCE

- As a Senior Leader, you are accountable for the successes and shortcomings of your Compact. However, you cannot be expected to achieve the targets on your own. You must rely on your senior managers, directors and your staff. USGs are required to sign a compact with their Assistant Secretaries-General, and to **encourage all senior managers and staff to take seriously the performance appraisal system**¹⁶. While this can be time-consuming, it is a critical exercise that, if done properly, will greatly improve overall programme delivery.
- As a Senior Leader, you are an “emissary” of the Secretary-General, a political leader, and a manager. **Management** in the UN context (e.g. management of staff, their performance, budgets, etc.) presents particular challenges and opportunities that you may not be familiar with if you are new to the UN, or new to senior positions in the UN Secretariat. Mentoring and Executive Coaching is available to support you, and you are encouraged to make use of this support in order to meet the objectives set out in the Compacts¹⁷.

ANNEX ONE: ORGANIZATIONAL CHART OF THE EOSG

EXECUTIVE OFFICE OF THE SECRETARY-GENERAL (EOSG)



Notes:

- (1) Substantively report to DSG / Administered by OLA
 (2) Dotted reporting line to CDC Director of Office for operational integrity
 (3) Under Sect. 28 of the Regular Budget (DPI)
 (4) Under Sect. 2 of the Regular Budget (DGACM)

Last updated 30 August 2012

ANNEX TWO: MEMBERS OF THE SENIOR MANAGEMENT GROUP (SMG)

The following senior officials and UN entities are members of the Senior Management Group:¹⁸

- The Secretary-General,
- The Deputy Secretary-General
- The Chef de Cabinet (Secretary)
- Special Advisor (SA) to the Secretary-General (SASG)
- SA to the Secretary-General on Change Implementation
- Assistant Secretary-General (ASG) for Policy Coordination and Strategic Planning
- Under-Secretary-General (USG) for the Office of Legal Affairs (OLA)
- USG for the Department of Political Affairs (DPA)
- USG for the Department of Peacekeeping Operations (DPKO)
- USG for the Department of Field Support (DFS)
- USG for the Office for the Coordination of Humanitarian Affairs (OCHA) and Emergency Relief Coordinator (ERC)
- USG for the Department of Economic and Social Affairs (DESA)
- USG for the Department of Public Information (DPI) and Coordinator for Multilingualism
- USG for the Department of Safety and Security (DSS)
- USG for the Department for General Assembly and Conference Management (DGACM)
- USG for Management (DM)
- USG for Legal Affairs (OLA)
- High Commissioner for Human Rights (OHCHR)
- High Commissioner for Refugees (UNHCR)
- High Representative for the Office for Disarmament Affairs (UNODA)
- High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States
- ASG for the Peacebuilding Support Office (PBSO)
- Executive Director (ED) of the UN Office on Drugs and Crime (UNODC) and Director General (DG) of the UN Office at Vienna (UNOV)
- ED of the UN Environment Programme (UNEP)
- ED of the UN Human Settlements Programme (UN-Habitat)
- SA to the Secretary-General on Myanmar
- SA to the Secretary-General on Africa
- SA on the Prevention of Genocide
- Special Representative of the Secretary-General (SRSG) for Children and Armed Conflict
- SA on Sexual Violence in Conflict

- DG of the UN Office at Geneva (UNOG)
- DG of the UN Office at Nairobi (UNON)
- Executive Secretary of the Economic Commission for Africa (ECA)
- Executive Secretary of the Economic Commission for Europe (ECE)
- Executive Secretary of the Economic Commission for Latin America and the Caribbean (ECALC)
- Executive Secretary of the Economic and Social Commission for Asia and the Pacific (ESCAP)
- Executive Secretary of Western Asia (ESCWA)
- ED of the UN Children's Fund (UNICEF)
- Administrator of the UN Development Programme (UNDP)
- ED of the UN Population Fund (UNFPA)
- ED of the World Food Programme (WFP)
- Secretary-General (SG) of the UN Conference on Trade and Development (UNCTAD)
- USG and ED of the UN Entity for Gender Equality and the Empowerment of Women (UN-Women).
- Observer: USG for the Office of Internal Oversight Services (OIOS)

ANNEX THREE: MEMBERS OF THE POLICY COMMITTEE

The following senior officials and UN entities are members of the Policy Committee:

- The Secretary-General (Chair)
- Deputy Secretary-General
- Chef de Cabinet
- Chair of the Executive Committee on Peace and Security (ECPS) (who is the USG of DPA)
- Alternate ECPS Chair (who is the USG of DPKO)
- Chair of the United Nations Development Group (UNDG)
- Chair of the Executive Committee on Economic and Social Affairs (EC-ESA) (who is the USG of DESA)
- Chair of the Executive Committee on Humanitarian Affairs (ECHA) (who is the USG of OCHA/Emergency Relief Coordinator)
- Head of OHCHR
- Head of OLA
- Head of DPI
- Head of UNODA
- Head of UN-Women.

ANNEX FOUR: MEMBERS OF THE MANAGEMENT COMMITTEE

The following senior officials and UN entities are members of the Management Committee (as of 20 May, 2013):

- Chef de Cabinet (Chair)
- Under-Secretary-General (USG) for Management
- Special Adviser (SA) on Change Implementation
- Assistant Secretary-General (ASG) for Strategic Planning
- USG for Field Support
- ASG for Human Resources Management
- ASG for Programme Planning, Budget and Accounts, Controller
- ASG for Central Support Services
- Chief Information Technology Officer
- ASG, Enterprise Resource Planning Project
- USG for Economic and Social Affairs
- Acting Head, Department for General Assembly and Conference Management
- USG for Legal Affairs, Legal Counsel
- ASG for Peacekeeping Operations
- ASG for Political Affairs¹⁹
- ASG for Safety and Security
- Executive Secretary, Economic and Social Commission for Asia and the Pacific (representing the regional commissions in her capacity as Coordinator of the Regional Commissions)
- Director General (DG), United Nations Office at Geneva
- DG, United Nations Office at Nairobi
- DG, United Nations Office at Vienna
- USG for Internal Oversight Services²⁰

ENDNOTES

- ¹ Thant Myint-U and Amy Hill, *The UN Secretariat, A Brief History (1945-2006)*, International Peace Academy, New York, 2007, page 3.
- ² Thomas Weiss and Sam Daws (ed.), *The Oxford Handbook on the United Nations*, Oxford University Press, Oxford, 2007, page 176.
- ³ Ibid. pp. 175-176.
- ⁴ From 1946 and through the 1950s, the EOSG was responsible for protocol and liaison with diplomatic representatives, as well as relationships with NGOs, and communications with Member States, as well as for the coordination and support of General Assembly activities.
- ⁵ The post of Deputy Secretary-General was established by the General Assembly at the end of 1997 as part of the reform of the UN, to help manage Secretariat operations and to ensure coherence of activities and programmes. The purpose was also to elevate the Organization's profile and leadership in the economic and social spheres.
- ⁶ http://www.un.org/apps/news/infocus/sgspeeches/search_full.asp?statID=1227.
- ⁷ <http://www.un.org/sg/priorities/index.shtml>.
- ⁸ For a list of Senior Management Group members, see Annex Two.
- ⁹ For a list of Policy Committee members, see Annex Three.
- ¹⁰ For a list of Management Committee members, see Annex Four.
- ¹¹ The four Executive Committees are: the Executive Committee on Peace and Security (ECPS), the Executive Committee on Humanitarian Affairs (ECHA), the Executive Committee on Economic and Social Affairs (EC-ESA) and the United Nations Development Group (UNDG). See "Chapter 4: Agencies, Funds and Programmes, and System-wide Coordination Mechanisms" for more information on these committees.
- ¹² These are the DM, OHRM, Office of Programme Planning, Budget and Accounts (OPPBA), DPKO and DFS.
- ¹³ These include the Umoja Steering Committee, International Public Sector Accounting Standards (IPSAS) Steering Committee, Senior Advisory Group on Mobility, Steering Committee on Civilian Capacities (CivCap), Working Group on Associated Costs of the Capital Master Plan (CMP), and the Information and Communications Technology Executive Committee (ICT-EC).
- ¹⁴ Heads of departments/offices/Offices Away from Headquarters/regional commissions, heads of UN field missions, and Special Representatives of the Secretary-General.
- ¹⁵ ST/SGB/2010/4, 15 April 2010. See http://iseek.un.org/webpgdept1940_51.asp#.
- ¹⁶ Performance management is discussed in "Chapter 6 - Human Resources".
- ¹⁷ More on management in the UN context and mentoring/executive coaching is available in "Chapter 10 – Leadership and Management".
- ¹⁸ <http://www.un.org/sg/management/index.asp>.
- ¹⁹ This refers to the Assistant Secretary-General for Political Affairs responsible for overseeing the regional divisions of DPA working on the Americas, Asia and the Pacific, Europe, and the Middle East and West Asia, as well as the Decolonization Unit and the Division for Palestinian Rights.
- ²⁰ Participates as an observer in all meetings.

3

THE SECRETARIAT

“The Secretariat shall comprise a Secretary-General and such staff as the Organization may require [...] In the performance of their duties the Secretary-General and the staff shall not seek or receive instructions from any government or from any other authority external to the Organization.”

*The United Nations Charter
Chapter XV*

NATURE OF THE UNITED NATIONS SECRETARIAT

The Secretariat, one of the principle organs¹ of the UN, carries out the diverse day-to-day work of the Organization in duty stations around the world. It services the other principal organs and administers their programmes and policies. At its head is the Secretary-General, who is appointed by the General Assembly on the recommendation of the Security Council for a five-year, renewable term².

The duties carried out by the Secretariat are as varied as the challenges dealt with by the UN. These range from administering peacekeeping operations to mediating international conflicts, and from surveying economic and social trends to reporting on human rights and sustainable development. Secretariat staff also communicate the work of the UN, organize international conferences on issues of worldwide concern, and interpret speeches and meetings and translate documents into the Organization's six official languages³. The Secretariat includes departments and offices at UN Headquarters in New York, Offices Away from Headquarters, regional commissions and UN field missions and presences.

KEY QUESTIONS

i. What does the UN Charter say about the Secretariat?

Chapter XV of the Charter provides the basis for the role and character of the Secretariat as follows:

- Article 97 states that the Secretariat “shall comprise a Secretary-General and such staff as the Organization may require”. This has enabled the size of the staff of the Secretariat to expand and contract in accordance with needs, priorities and constraints.

- Article 100 outlines an independent role for the Secretariat, specifying that staff “shall not seek or receive instructions from any government or from any other authority external to the Organization”.
- Additionally, staff should “refrain from any action which might reflect on their position as international officials responsible only to the Organization”¹⁴. Similarly, Member States must “respect the exclusively international character of the responsibilities of the Secretary-General and the staff” and not “seek to influence them in the discharge of their responsibilities”¹⁵.
- Lastly, the Charter insists upon “the highest standards of efficiency, competence, and integrity” when employing staff, and, furthermore, that due regard must be paid “to the importance of recruiting the staff on as wide a geographical basis as possible”¹⁶.

ii. What is the role of the Secretariat in practice?

The Secretariat is independent and international, with a complex role and relationship with Member States. It is, after all, a political institution where “the UN’s member states compete for power and influence”¹⁷.

Indeed, the Secretariat’s standing at the “nexus of competing and conflicting international agendas can often be the content as well as the context of its work”¹⁸. The interests of Member States and groups of Member States, as outlined in Chapter 1, play a significant part in the work of the principle organs. The Secretariat is an organ in its own right, but one which is intimately tied - and responsible to - the General Assembly (GA), the Economic and Social Council (ECOSOC) and the Security Council.

It has been said that the Secretariat has five “personalities” which play out in different ways at different times, depending on the international political environment and the personality of the Secretary-General at the time¹⁹:

- First, the Secretariat acts as a “sort of parliamentary clerk to the GA and other intergovernmental organs, helping to organize meetings, prepare documents, take notes and so on”.
- Second, the Secretariat is also “a collector and provider of information, such as statistics on various social and economic trends or legal information related to the proper running of the UN, all generally at the request of member states”.
- Third, the “Secretariat performs certain executive functions, implementing the resolutions of the intergovernmental bodies”.

- Fourth is the Secretary-General's role, not explicit in the Charter, of "preventing or mediating conflicts through his 'good offices'".
- Fifth is the role, not in the Charter at all, of the Secretary-General as a "global agenda setter, formulating and promoting new ideas, say on human rights or environmental protection".

The majority of the time, the Secretariat is responsible for faithfully carrying out the decisions of the membership; but it may also ask the Secretariat to put forward a proposal. In other situations of concern¹⁰, where Member States are not taking action, the Secretariat may bring these situations to the attention of Member States through the appropriate organ. The extent to which any initiative is seen as credible is partially dependent on the quality of the idea itself, as well as the relationships between the Secretariat and Member States.

iii. How is the Secretariat financed?

In general, the Secretariat – unlike many of the UN Agencies, Funds and Programmes – does not raise its own funds. The Secretariat proposes a budget that is amended or approved by the GA and receives "assessed contributions" from Member States based on the approved budget. And while it is important to note that some departments/offices within the Secretariat receive extra-budgetary funding, access to assessed contributions is often used to highlight an essential difference between the Secretariat and the Agencies, Funds and Programmes, which depend largely on voluntary contributions from donors¹¹. Since UN Member States fund the Secretariat, the Secretariat is requested to consistently account for, and report on, the activities and spending of the Organization.

The financing of the Secretariat is covered in greater detail in "Chapter 7 - Budget and Finance".

iv. To what extent is the international civil servant 'independent'?

The concept of an independent civil service goes back to the League of Nations and the vision of an international civil service "composed of men and women from different nations, nationalities, ideologies, and cultures but devoted to a common international cause"¹². Since the birth of the UN, the Organization has strived to consistently maintain that independence.

The Secretary-General, and thereby his management team and staff, carry out the decisions and policies adopted by the other principal organs. The Secretary-General undertakes this task on the basis of "his exclusively international responsibility and not in the interest of any particular state or groups of States". It is his duty to take a stand to uphold the principles of the Charter to which all Member States – and UN staff – are beholden.

Javier Perez de Cuellar summed up what it meant to join the Secretariat:

I put my nationality in the freezer. I felt that morally, ethically, I couldn't be an Under-Secretary-General of the United Nations and at the same time act as a Peruvian and try to be in touch with my ambassador... I changed nationality in a way. In a sense, I was no longer Peruvian. I was international.¹³

See also "The Role of the International Civil Servant" in "Chapter 1 – The United Nations Charter and Principal Organs" of this guidebook.

v. Why is geographical representation in the Secretariat so important?

The international composition and international responsibilities gives the Secretariat its unique character. To help maintain the international character, recruitment of professional staff to regular budget posts is subject to recruitment by geographical distribution. To achieve this goal, the GA has approved what is referred to as a desirable range for the geographical distribution of staff, which is gauged by membership, geography and level of financial contributions¹⁴.

vi. Why is reform of the Secretariat an ongoing issue?

The Secretariat is under constant pressure to reform due to multiple factors, including but not limited to: the perception that the Secretariat is not as efficient, flexible, modern and effective as it needs to be to meet the growing demands placed on it by complex global challenges; as well as the global economic downturn and the resulting pressure to reduce the UN budget, while continuing to deliver on mandates.

One of the Secretariat's biggest challenges is juggling these competing, sometimes contradictory, demands. It must also meet the challenge of reforming internally while continuing to meet the demands of populations in need around the world.

ADVICE AND GUIDANCE

- The responsibility for ensuring cost effectiveness and the geographical distribution and efficiency of staff falls on Senior Leaders within the Organization. To maintain the independence of the Secretariat, **pressure from Member States** seeking to influence decisions (ranging from the political to hiring and procurement) **must be resisted**, and transparent procedures promoted.
- Close cooperation with Member States is, however, essential. **Building trust with Member States** is vital. When engaging with Member States, focus on the challenges, and utilize the functions of the Secretariat as a whole – not just those of your own department/office – to meet these challenges¹⁵.

- As a Senior Leader, you have a responsibility to **make sure that your staff at all levels fully understand the notion of building equal relationships with Member States**¹⁶.

ROLE AND PURPOSE OF MANDATE

Mandates are at the heart of the work of the Organization and play an important role in the work of the Secretariat. Legislative mandates express the will of the Member States and are the means through which the membership grants authority and responsibility to the Secretary-General to implement its decisions. It is through these mandates that UN entities, including the one you manage and oversee as a Senior Leader, receive their authority to exist and develop programmes and activities. Mandates emanating from the principal organs range from conflict prevention including the provision of good offices, to peacebuilding and development.

KEY QUESTIONS

i. How is a mandate defined? How are mandates generated?

In the context of a review of mandates conducted by former Secretary-General Kofi Annan, mandates were defined as “a request or a direction for action by the UN Secretariat or other implementing entities that derives from a resolution of the GA or one of the other relevant organs”¹⁷.

Resolutions often signify directives for action by employing words such as “decides”, “requests”, “calls upon”, or “encourages”, but an assessment to distinguish the level of legal obligation arising from the use of these different words has yielded no definitive answers. Such ambiguity in resolutions may be deliberate “to make it easier for Member States to reach decisions”¹⁸. As such, mandates are generated by the GA, ECOSOC, or the Security Council.

In many cases, such as in the establishment of a peacekeeping or special political mission, the Secretariat makes recommendations for elements of a mission’s mandate through the issuance of a Secretary-General’s report, often following a strategic assessment and/or technical assessment of the country/mission in question. Members of the Security Council deliberate, accept, amend or reject recommendations, often in consultations with the relevant department(s).

ii. What is the purpose of a mandate?

Most of the work of the Secretariat is undertaken on the basis of mandates received from the GA, the Security Council, ECOSOC, or the Human Rights Council. However, certain activities, such as the role

of the Secretariat in international norm-setting or some of the good offices work of the Secretary-General do not require a mandate from the other principal organs, but derive their legitimacy from the Secretariat's own status as a principal organ or the Secretary-General's personal role and how it has evolved over time.

Mandates serve various functions. Mandates are both conceptual and specific; they can articulate newly developed international norms, provide strategic policy direction on substantive and administrative issues, or request specific conferences, activities, operations and reports¹⁹. The adoption of many layers of mandates over the decades of existence of the UN has resulted in the operational structure, programmes and field missions that we see today. Many of those structures have not changed, despite new priorities.

A mandate should give a direction or make a request, to be carried out by an implementing entity. A constitutive mandate establishes a new Secretariat or intergovernmental body, mechanism or process, or changes the terms of reference of an existing body, mechanism or process. A recurrent mandate is a mandate that calls for recurrent action (e.g. reporting back to the GA annually, twice a year, every three months, etc.) or on a continuous basis (e.g. tracking or supporting a peace process but with no end date stated). Recurring mandates may not appear again in future resolutions although they remain ongoing.

Most mandates denote an "issue area" and/or are linked to an agenda item; some mandates may also have a geographical focus. Issue areas – or "thematic cluster" as they are sometimes referred to – form the basis of the work of the Organization. There are currently nine main issue area²⁰:

- Maintenance of international peace and security
- Promotion of sustained economic growth and sustainable development
- Development of Africa
- Promotion of human rights
- Effective coordination of humanitarian assistance efforts
- Promotion of justice and international law
- Disarmament
- Drug control, crime prevention and combating international terrorism
- Organizational, administrative and other matters.

iii. How are mandates translated into programme planning documents?

Once Member States have adopted a mandate, the Secretariat formulates planning documents to implement it.

- In the case of activities funded by the regular budget, mandates are translated into the Strategic Framework, which serves as the highest-level programme plan and is the starting point for the formulation of the regular budget.
- In the case of UN field missions, planning and budget documents for each mission are prepared on the basis of the GA or Security Council resolutions that detail its mandate.
- The Organization's work is planned, budgeted, monitored and evaluated against the objectives stated in these documents, and the Secretariat is accountable to the Member States for achieving the objectives contained in them.

iv. What are some of the challenges in working with mandates in the UN system?

Over the course of the UN's history, the principal organs have adopted numerous mandates which the Organization has been responsible for implementing. This has led to a series of challenges:

- Hundreds of mandates are adopted every year, many which must be implemented without additional resources. Member States confer additional responsibilities on top of current activities, but do not always provide corresponding funds, or guidance as to how existing resources should be reallocated.
- The proliferation of resolutions adopted has led to multiple parts of the UN system being responsible for mandate implementation, which in some cases has resulted in overlapping or unclear roles and responsibilities amongst UN entities. This sometimes leads to inefficient use of resources.
- Each mandate comes with significant reporting requirements. Staff must spend large amounts of time and resources producing, translating and processing numerous reports to Member States. This is an important function of Secretariat staff, but often reduces the amount of time spent on implementing existing mandates.
- Once an intergovernmental organ has adopted a resolution, there is no subsequent process to analyse how best to implement it or the effectiveness of the mandate. It is relatively difficult to have a mandate terminated, especially if the original mandate does not specify an end-date.

ADVICE AND GUIDANCE

- Reporting requirements from the principal organs for specific mandates can be demanding for all involved. Try to **keep reports short and concise**.

- Working with multiple mandates and translating them into something coherent and operational can be challenging. As much as possible, **seek the views of all those concerned by a particular theme or country**, including relevant colleagues around the globe. The informed advice of peers or former leaders and managers can be an invaluable source of support.
- UN staff often remark that "everyone wants coordination, but no one wants to be coordinated". However, coordination is not a choice, it is an imperative. Because the large number of related mandates can be unwieldy, it is the responsibility of Senior Leaders to **ensure collaboration**. This can prevent overlap, address gaps and ensure system-wide expertise is drawn-upon. Multiple coordination mechanisms have been put in place to facilitate coordination; it is your responsibility to ensure that these mechanisms are fully utilized²¹.
- The success of the UN system depends upon the ability of Senior Leaders to build partnerships, both across the system and with Member States. **Partnership-building should be considered a key strategic priority** for all Senior Leaders. It can be helpful to seek advice about partnership-building early on from peers and staff.

SECRETARIAT STRUCTURE AND PURPOSE: HEADQUARTERS, OFFICES AWAY FROM HEADQUARTERS, REGIONAL COMMISSIONS²²

The UN is headquartered in New York but has a presence all over the world:

- Headquarters (HQ) in New York
- Offices Away from Headquarters in Geneva, Vienna and Nairobi
- Regional Commissions for Asia and the Pacific (ESCAP – Bangkok), Western Asia (ESCWA - Beirut), Africa (ECA – Addis Ababa), Europe (ECE - Geneva) and Latin America and the Caribbean (ECLAC - Santiago)
- UN field missions, including peacekeeping operations (PKOs) and special political missions (SPMs)²³, and field presences of OCHA and OHCHR.

Secretariat departments/offices provide direction, guidance and support to the intergovernmental bodies. Thematically, the work of the Secretariat can be arranged into five key areas: peace and security, development, human rights, humanitarian affairs, and international law. Despite these thematic divisions, the departments/offices work together to ensure the coordination, efficiency and effectiveness of the Organization as a whole.

KEY QUESTIONS

i. Which departments and offices at Headquarters are responsible for providing overall direction, guidance and support to the Secretariat?

The following departments/offices provide direction, guidance and support to the Organization as a whole, irrespective of the thematic or geographic focus of the issue in question, working closely with the principal organs and other parts of the Organization:

- Executive Office of the Secretary-General (EOSG): provides senior leadership to the Secretariat and wider UN²⁴.
- Department of General Assembly and Conference Management (DGACM): provides the physical and deliberative framework for conferences and meetings of Member States through the provision of technical support and advice. Includes the Secretariats of the Disarmament and International Security Committee (First Committee) and Peacebuilding Commission, ECOSOC and the Economic and Financial Committee (Second Committee), the Social, Cultural and Humanitarian Committee (Third Committee), and the Special Political and Decolonization Committee (Fourth Committee).
- Department of Management (DM): provides services to backstop the day-to-day operations of the global UN Secretariat. Formulates policies and procedures for implementation by individual departments' executive offices and provides strategic guidance, direction and support in three broad management areas: Human Resources; Finance and Budget; and, Central Support Services²⁵. Includes the Office of Information and Communications Technology, and the Secretariat of the Fifth Committee and the Committee on Programme Coordination.
- Department of Public Information (DPI): ensures strategic communication internally and externally to a worldwide audience, conveying the work of the UN through the UN website, campaigns, publications, press releases, radio and television programmes, special events, etc²⁶.
- Department of Safety and Security (DSS): provides leadership, operational support and oversight of the UN security management system, ensuring maximum security for UN personnel and eligible family members to enable the safest and most efficient conduct of UN programmes²⁷.
- Ethics Office: assists the Secretary-General in ensuring that all staff members perform their functions consistent with the highest standards of integrity as required by the Charter of the United Nations. Services include: confidential ethics advice; ethics awareness and education; protection against retaliation for reporting misconduct; financial disclosure programme; promotion of coherence and common ethics standards across the UN family²⁸.

- Office of Internal Oversight Services (OIOS): assists the Secretary-General in fulfilling his oversight responsibilities in respect of the resources and staff of the Organization through the provision of audit, investigation, inspection and evaluation services²⁹.
- The internal justice system, which includes the Office of the Ombudsman and Mediation Service, the Office of Staff Legal Assistance, the Management Evaluation Unit, the UN Dispute Tribunal, and the UN Appeals Tribunal: responsible for dealing with employment-related issues of all UN staff (e.g. disputes and decisions alleged to be in non-compliance with their terms of appointment or conditions of service)³⁰.

ii. What is the role of an Office Away from Headquarters?

Offices Away from Headquarters (OAHs) have been established in Geneva, Vienna and Nairobi. They have been granted considerable delegation of authority – along with responsibility and accountability - to serve as the representative offices of the Secretary-General. The Offices serve as strategic entry points for representation and liaison functions with permanent missions and regional organizations, the host-country authorities and other governments, intergovernmental and non-governmental organizations. These Offices facilitate and maintain the cooperation between the UN and specialized agencies and programmes based in Switzerland, Kenya, Austria and elsewhere, and with other intergovernmental and non-governmental organizations and established institutions. The OAHs are headed by a Director General at the level of Under-Secretary-General, who is directly accountable to the Secretary-General.

The OAHs were also created to lessen the administrative burden on New York HQ, and to provide local and cost-efficient administrative and conference management support to the UN entities present in Geneva, Vienna and Nairobi. In their administrative and support role, the OAHs operate under different degrees of delegation of authority. The responsibilities of the Directors of Administration include, but are not limited to:

- Providing direction in human and financial resources management, information and communications technology, and central support services;
- Overseeing and coordinating the provision of administrative and other support services to Secretariat departments and offices and to UN funds and programmes, specialized agencies and other organizations of the UN common system in the duty station³¹;
- Liaising with the specialized agencies in the duty station on administrative matters of common concern;
- Assisting the Director General in negotiations with host-country governmental authorities on administrative, financial and other issues relating to the implementation of the headquarters agreement;

- Supervising the day-to-day operation of the Security and Safety Section of the duty station³²;
- Ensuring the business continuity of administrative support at the duty station in case of emergency.

The United Nations Office at Geneva (UNOG), with some 1,600 personnel, is the largest UN duty station outside of New York and illustrates the various functions of an OAH. UNOG is a centre for multilateral diplomacy, servicing more than 8,000 meetings every year. It is also a centre for on-going cultural exchange, organizing over 100 events yearly in partnership with Member States and international organizations. UNOG ensures the delivery of integrated administrative, support and library services to more than 30 UN entities in Geneva, Bonn and Turin, as well as more than 125 field offices in over 80 countries.

iii. What is the role of a regional commission?

The regional commissions were founded with the purpose of contributing to the economic and social development of Asia and the Pacific, Western Asia, Africa, Europe, and Latin America and the Caribbean. They coordinate governmental and non-governmental actions directed towards this end, and seek to reinforce economic ties among countries within their respective regions, and with other nations of the world.

To achieve their objectives, the regional commissions promote multilateral dialogue, knowledge sharing and networking at the regional level, and work together to promote intra- regional and inter-regional cooperation, both among themselves and through collaboration with other regional organizations.

The Economic Commission for Europe, for example, works closely with specialized agencies such as the International Labour Organization (ILO) and the Food and Agriculture Organization of the UN (FAO), with other intergovernmental organizations, and with non-governmental organizations. The Economic Commission for the Caribbean and Latin America carries out its work in close cooperation with the UN Development Programme (UNDP), UN Conference on Trade and Development (UNCTAD), United Nations Educational, Scientific and Cultural Organization (UNESCO), International Maritime Organization (IMO), United Nations Children's Fund (UNICEF) and the International Telecommunication Union (ITU).

The regional commissions are headed by Executive Secretaries at the level of Under-Secretary-General, who are accountable to the Secretary-General. The commissions are supported by executive officers, who are accountable to both the Executive Secretary and the Under-Secretary-General for Management for ensuring compliance with regulations, rules, policies and procedures pertaining to administration and management matters.

ADVICE AND GUIDANCE

- The heads of OAHs and regional commissions are representative of the Secretary-General. **Building relationships with Senior Leaders across duty stations** is an important component of cooperation and integration, and for ensuring that the UN is a global organization.

PEACE AND SECURITY

The Organization covers a wide range of issues in the domain of peace and security, including: peacemaking and preventive action; peacekeeping; peacebuilding; disarmament; counter-terrorism; electoral assistance; decolonization; children and armed conflict; women, peace and security; mine action; protection from sexual exploitation and abuse; and, organized crime.

The UN bodies that provide authority, oversight and guidance for the work of the Organization in this field include: the Security Council; the GA First Committee on Disarmament and International Security; the GA Fourth Committee on Special Political and Decolonization (including the Special Committee on Peacekeeping Operations, otherwise known as the "C-34"); the Peacebuilding Commission; the Disarmament Commission; and the Conference on Disarmament.

KEY QUESTIONS

- What are the major roles and responsibilities of some of the Secretariat departments and offices in the area of peace and security?**
 - The Department of Political Affairs (DPA): provides advice and support to the Secretary-General and the UN system with regard to the prevention, control and resolution of conflicts. DPA is the UN lead for political analysis, mediation and political guidance as related to the Organization's efforts towards preventive diplomacy, peacemaking and post-conflict peacebuilding. The department provides support and guidance to UN peace envoys and planning, manages political missions and peacebuilding offices in the field, and also contributes to peacekeeping operations through electoral support, mediation support and regional and other longer-term perspectives. DPA serves Member States directly through electoral assistance and support to the Security Council and other UN bodies; and, by using the Secretary-Generals "good offices" to prevent, limit or resolve armed conflict. The Counter-Terrorism Implementation Task Force (CTITF) Office is also located in this department. The Security Council Affairs Division (SCAD) provides support to the Security

Council and its subsidiary bodies, including preparation of meetings and documents, and the identification of suitable candidates to serve on groups of experts, sanctions committees and monitoring groups, and non-sanctions committees³³.

- The Department of Peacekeeping Operations (DPKO): directs, manages and provides political and policy guidance and strategic direction to all operations under its responsibility, which comprise all traditional and multidimensional peacekeeping operations with military and/or police components and which may include elements of peacemaking and peacebuilding, as well as certain special political missions as determined by the Secretary-General. DPKO maintains contact with the Security Council, troop and financial contributors, and parties to the conflict in the implementation of Security Council mandates. The department works to integrate the efforts of UN, governmental and non-governmental entities in the context of peacekeeping operations. DPKO also provides guidance and support on military, police, mine action and other relevant issues to UN special political missions³⁴.
- The Department of Field Support (DFS): provides dedicated support to UN peacekeeping operations, field-based special political missions and peacebuilding offices, including in the areas of personnel, finance, budget, logistics, procurement, communications, information technology and administration³⁵.
- The Office for Disarmament Affairs (UNODA): promotes the goals of nuclear disarmament and non-proliferation, and the strengthening of the disarmament and non-proliferation regimes for other weapons of mass destruction, chemical and biological weapons. It also promotes disarmament efforts in the area of conventional weapons, especially small arms and light weapons, land mines, cluster munitions and other types of weapons that are considered to cause unnecessary or unjustifiable suffering to combatants or to affect civilians indiscriminately. It supports preventive disarmament measures, such as dialogue, transparency and confidence building on military matters, while encouraging regional disarmament efforts through UNODA regional centers as well as other regional forums³⁶.
- The Peacebuilding Support Office (PBSO): assists and supports the Peacebuilding Commission (PBC) with strategic advice and policy guidance, administers the Peacebuilding Fund (PBF) and serves the Secretary-General in bringing together UN entities on peacebuilding efforts.
- The area of peace and security also includes, among others:
 - Special Representatives and Personal Representatives, and Envoys of the Secretary-General, and their offices³⁷
 - The Office on Drugs and Crime (UNODC)

Coordination amongst these and other UN actors in this field is provided by country-specific integrated task forces (ITFs) chaired by DPA and DPKO, as well as the Executive Committee on Peace and Security³⁸. Coherence and direction is also provided by the Policy Committee of the Secretary-General, which is also a decision-making body on key strategic issues³⁹.

DEVELOPMENT

The Organization covers a wide range of issues in the domain of development, including: the advancement of women; countries in special situations; governance and institution-building; international trade; macroeconomics and finance; population; sciences, technology and productive sectors; social development, statistics, and sustainable development, human settlements and energy. The Organization also promotes the implementation of internationally-agreed development goals, including the Millennium Development Goals.

The UN organs that provide authority, oversight and guidance for the work of the Organization in this field include the GA and ECOSOC.

KEY QUESTIONS

i. What are the roles and responsibilities of key Secretariat departments and offices in the area of development?

- The Department of Economic and Social Affairs (DESA): promotes and supports international cooperation to achieve development for all, and assists governments in agenda-setting and decision-making on development issues at the global level, as well as in capacity-building. DESA provides a broad range of analytical products and policy advice that serve as valuable reference and decision-making tools for developed and developing countries. DESA's Office of ECOSOC Support and Coordination provides substantive support to ECOSOC.
- The Office of the Special Advisor on Africa (OSAA): enhances international support for Africa's development and security through its advocacy and analytical work; assists the Secretary-General in improving coherence and coordination of the UN system support to Africa; and facilitates intergovernmental deliberations on Africa at the global level, in particular relating to the New Partnership for Africa's Development (NEPAD).
- The Office of the High Representative for the Least Developed Countries, Landlocked Development Countries and Small Island Development States (UN-OHRLS): facilitates, conducts, advocates and coordinates

programmes to meet the special needs and problems of least developed countries, landlocked developing countries, and small island developing states.

- The Economic Commission for Africa (ECA); Economic and Social Commission for Asia and the Pacific (ESCAP); Economic Commission for Latin American and the Caribbean (ECLAC); and Economic and Social Commission for Western Asia (ESCWA): promote the economic and social development of the Member States of the region in question and foster intra-regional integration. The ECA also promotes international cooperation for Africa's development.

Other UN entities working in the area of development include, for example: UNCTAD, the UN Environment Programme (UNEP), the UN Human Settlements Programme (UN-HABITAT), UNDP, and OHCHR.

Coordination amongst development entities and UN agencies, funds and programmes is provided by the UN Development Group (UNDG)⁴⁰ and by the Executive Committee on Economic and Social Affairs.

HUMAN RIGHTS

The Organization covers a wide range of human rights issues. The High Commissioner for Human Rights is the UN official with the principal responsibility for human rights activities, but a number of other offices and mechanisms also cover human rights issues.

The UN bodies that provide authority and guidance for the human rights work of the Organization include: the GA; the GA Third Committee (Social, Humanitarian and Cultural), the Human Rights Council and its related mechanisms, and human rights treaty bodies.

KEY QUESTIONS

i. What is the major role and responsibility of the Office of the UN High Commissioner for Human Rights?

The Office of the United Nations High Commissioner for Human Rights (OHCHR) leads global human rights efforts and speaks out objectively in the face of human rights violations worldwide. OHCHR provides a forum for identifying, highlighting and developing responses to today's human rights challenges, and acts as the principal focal point of human rights research, education, public information, and advocacy activities in the UN system.

The work of OHCHR is focused on human rights standard-setting, human rights monitoring and supporting human rights implementation at the country level. The office provides support to human rights treaty bodies and mechanisms, has field offices in various countries and promotes global and national level advocacy for adherence to human rights norms and standards.

OHCHR works closely with other parts of the Secretariat, such as the Office of the Special Adviser on the Prevention of Genocide, the Office of the Special Representative of the Secretary-General for Children and Armed Conflict, the Office of the Special Representative on Sexual Violence, OCHA, DPKO and DPA, as well as with the wider UN system.

As part of its mandate, OHCHR works to mainstream human rights principles and standards in UN policies, guidelines and operational tools⁴¹.

ii. What is the importance of human rights to the work of other parts of the Secretariat?

Human rights is a cross-cutting topic with implications for a wide range of issues at the forefront of the UN's agenda. As such, human rights - together with peace and security, and development - are key pillars of UN action. Human rights work is critical to early warning and is often at the core of efforts to prevent or end armed conflict and deal with its consequences.

Most multidimensional peace operations today have a human rights component supported by OHCHR. The head of the human rights component, who is the representative of the High Commissioner for Human Rights, acts as the human rights adviser to the Head of Mission⁴².

The Human Rights Due Diligence Policy sets out principles and measures to mainstream human rights in support provided by UN entities to non-UN security forces globally⁴³.

The integration of human rights in humanitarian action provides for a holistic, norm-based and effective humanitarian response, and works to empower the affected population as rights-holders and to strengthen the capacity of duty-bearers to meet their obligations. The Humanitarian Coordinator at country level has a specific obligation to promote the respect of international humanitarian and human rights law by all parties, including non-state actors. Support to mainstreaming of human rights in humanitarian preparedness and response is available through OHCHR⁴⁴.

Other entities working on human rights include: the UN High Commissioner for Refugees (UNHCR), UNICEF, UNODC, and the UN Entity for Gender Equality and the Empowerment of Women (UN-Women).

HUMANITARIAN AFFAIRS

The Organization covers a wide range of issues under the humanitarian affairs branch including: climate change; early warning; global food security; humanitarian response coordination; human rights; human security; human settlements; impact of sanctions; internally displaced persons; and, the protection of civilians in armed conflict, among other issues.

The intergovernmental bodies that provide authority, oversight and guidance for the work of the Organization in his field are: the GA (Third Committee on Social, Humanitarian and Culture), and ECOSOC.

KEY QUESTIONS

i. What are some of the roles and responsibilities of the Secretariat department in the lead for humanitarian affairs?

The UN Office for the Coordination of Humanitarian Affairs (OCHA) coordinates, leads, and advocates for improved, principled, humanitarian action. Its key task is to improve the speed and effectiveness of emergency response efforts. It provides a host of tools and services relating to coordination, policy, advocacy, information management and humanitarian financing. OCHA is led by the Under-Secretary-General for Humanitarian Affairs, who also serves as the Emergency Relief Coordinator, heading the Inter-Agency Standing Committee (IASC) and overseeing all emergencies requiring UN humanitarian assistance.

Other UN entities working in this domain include: UNHCR, UNICEF, UNDP, the World Food Programme (WFP), FAO, OHCHR, among others.

Coordination amongst these entities and others is provided by both the IASC, which also coordinates the work of non-UN humanitarian partners, and the Executive Committee on Humanitarian Affairs (ECHA)⁴⁵.

INTERNATIONAL LAW

The Organization covers a wide range of issues under international law, including the codification and progressive development of international law; oceans and law of the sea; treaties; the internal justice system at the UN; and, other legal areas. The intergovernmental bodies that provide authority, oversight and guidance for the legal work of the Organization include: the GA (Sixth Committee - Legal).

KEY QUESTION

i. What are the roles and responsibility of the Secretariat's Office of Legal Affairs?

The UN Office for Legal Affairs (OLA) provides a unified, central legal service for the Secretariat and the organs of the UN. It provides Secretariat functions to all UN bodies at HQ and in the field, including UN field missions, as well as the various sanctions mechanisms. It also provides advice and support, as appropriate, to the International Court of Justice (ICJ) and the Secretary-General's Trust Fund to Assist States in the Settlement of Disputes through the ICJ.

Upon request, OLA also assists the International Criminal Tribunal for the Former Yugoslavia; the International Criminal Tribunal for Rwanda; the Special Court for Sierra Leone; the Extraordinary Chambers in the Courts of Cambodia; the Special Tribunal for Lebanon and the International Criminal Court.

ADVICE AND GUIDANCE

- With regard to legal issues, Senior Leaders should **work closely with OLA** to ensure their activities are consistent with the Charter and their respective mandates, and that they do not expose the Organization to liability. This is essential for the credibility, legitimacy and effectiveness of the Organization.

UNITED NATIONS FIELD MISSIONS

Recognizing the complex nature of conflicts and the concerted approach required for a broad range of conflict and post-conflict situations, the UN has developed multifaceted approaches to peacekeeping, peacemaking and peacebuilding. No one operation resembles another, reflecting the vital importance of tailoring the approach to the specific context at hand. While DPA and DPKO lead on these activities, the multidimensional approach required means that the UN system as a whole is involved in supporting these operations.

Political and Peacebuilding Missions

DPA is normally the lead agency for special political missions (SPMs), including peacebuilding offices. DPA supports the Secretary-General through the use of peacemaking, preventive diplomacy and peacebuilding measures to prevent and resolve deadly conflict around the world, while simultaneously promoting lasting peace in societies emerging from war.

Each DPA mission is different, and can involve, for example:

- Facilitation of political processes and dialogue, preventive diplomacy, mediation
- National reconciliation and local conflict resolution
- Monitoring of political developments and implementation of peace agreements
- Electoral and constitutional support
- Promotion, protection and monitoring of human rights
- Support to rule of law, transitional justice, security sector reform, and disarmament, demobilization and reintegration (DDR) of former combatants
- Support to institution-building and civil society
- Establishment of territorial control, border monitoring and demarcation
- Support to regional organization and other international actors.

SPMs also implement a range of thematic mandates issued by the Security Council, such as those concerning women and peace and security, sexual violence and conflict, and children in armed conflict. SPMs are among the tools that the UN can deploy to address threats to international peace and security. Other tools include preventive diplomacy, the establishment of regionally- or nationally-based political offices; and expert groups on sanctions.

Peacekeeping Operations

UN peacekeeping is a unique global partnership. It brings together the GA, the Security Council, the Secretariat, troop and police contributors from around the globe, regional organizations and host governments in a combined effort to maintain international peace and security.

Over the years, the range of tasks assigned to UN peacekeeping operations has expanded significantly in response to shifting patterns of conflict and to best address threats to international peace and security. Each UN peacekeeping operation is different, and depending on their mandate, peacekeeping operations may be required to:

- Deploy to prevent the outbreak of conflict or the spill-over of conflict across borders
- Stabilize conflict situations after a ceasefire, to create an environment for the parties to reach a lasting peace agreement
- Assist in implementing comprehensive peace agreements
- Lead states or territories through a transition to stable government, based on democratic principles, good governance and economic development.

Peacekeeping operations also implement a range of thematic mandates issued by the Security Council, such as those concerning women and peace and security, sexual violence and conflict, and children in armed conflict. DPKO is the lead entity for UN peacekeeping operations and for the UN system in a number of thematic areas, such as military expertise and policing and can be a resource for others in the system.

DFS supports a wide area of DPKO-led peacekeeping operations and DPA-led SPMs in various states of operation or drawdown. It also provides support to non-field based political missions such as the Special Adviser to the Secretary-General on Cyprus, and direction to the Global Service Center in Brindisi and the Regional Service Center in Entebbe. Each case presents its own set of challenges and opportunities for improved business processes. DPKO, DPA and DFS need to work closely together, as the lead responsibility for a country can shift from one department to another over the course of a conflict and to ensure coordination and continued support during a transition.

OHCHR provides guidance and support to human rights components in field missions.

KEY QUESTIONS

i. What is an “integrated UN presence”? What does integration entail?⁴⁶

An **integrated UN presence** is the configuration of the UN system in all conflict and post-conflict situations where the UN has a country team and a multidimensional peacekeeping operation or special political mission/office, regardless of whether this presence is structurally integrated or not⁴⁷. The purpose of integration is to maximize the individual and collective impact of the UN's response, in particular with regard to activities required to consolidate peace. At a minimum, this means:

- Joint conduct of Strategic Assessments
- Articulation of a common UN vision, priorities and respective responsibilities
- Establishment of integrated mechanisms for joint analysis, planning, coordination, monitoring and decision-making at both field and Headquarters (HQ) levels
- Conduct of integrated monitoring and reporting on the implementation of Integrated Strategic Frameworks.

The Headquarters-based senior-level **Integration Steering Group** oversees the development and implementation of integration policies, guidelines, and tools⁴⁸. There are **integrated task forces** (ITFs) for all countries with integrated presences⁴⁹.

ADVICE AND GUIDANCE

- It is important to **keep in mind the pressures of field mission personnel** when working with them. They face a number of challenges, including working in volatile, insecure environments, living in difficult conditions, dealing with emergencies, and having to respond to tight deadlines. Similarly, understanding the situation of Headquarters staff is also useful for field-based personnel, including the pressures of meeting Member State requests on the one hand, while delivering and responding to the needs of the field on the other.
- **Headquarters staff at all levels are encouraged to spend time in the field**, and vice versa. This can assist with a deeper understanding of overall dynamics, as well as differences in processes, controls and oversight mechanisms.
- HQ is tasked with providing strategic guidance to missions, and providing them with support. Remember, however, that field colleagues may often be better placed to decide on the "how" of implementing a particular policy or mandate.
- **Task forces** are an important mechanism for developing relationships and addressing a particular problem. Request a briefing on the task forces currently in operation to assess which would benefit from your participation, or to identify where the creation of a new task force may be useful.
- It is essential that **all requests to field missions be channeled through the lead department (DPKO or DPA) at HQ** – who will refer the request to the desk officer concerned - instead of contacting the mission directly.

WHERE TO GO FOR MORE INFORMATION

Special Representatives, Personal Representatives, and Envoys of the Secretary-General

- <http://www.un.org/sg/srsg/africa.shtml>

Field Missions and Offices

- Special Political Missions
 - DPA Intranet: <http://dpaintranet.un.org/dpaintranet/pages/home.aspx>
 - DPA Extranet: http://www.un.org/wcm/content/site/undpa/main/about/field_operations
- Peacekeeping Operations
 - DPKO Intranet: <http://point.un.org/UNHQ/SitePages/POHome.aspx>
 - DPKO Extranet: <http://www.un.org/en/peacekeeping/about/dpko/>
- OCHA (humanitarian coordination) regional and field offices:
 - OCHA Extranet: <http://www.unocha.org/where-we-work/all-countries>
- OHCHR (human rights) regional and field offices:
 - OHCHR Extranet: <http://www.ohchr.org/EN/Countries/Pages/WorkInField.aspx>
- UNODC (drugs and crime) offices:
 - UNODC Extranet: <http://www.unodc.org/unodc/en/field-offices.html?ref=menutop>

Contact Information

Information is updated regularly on the Secretariat's Intranet. Go to i-seek (<http://iseek.un.org>). Under "Find a Colleague", click "Advanced Search", followed by relevant link:

- UNHQ New York, including departmental sub-units and staff titles: <http://iseek.un.org/LibraryDocuments/PhoneDirectory/ENGLISH/UNHQ%20Yellow%20Pages.pdf>
- UN Office at Geneva , including departmental sub-units and staff titles: <http://iseek.un.org/LibraryDocuments/UNOGYellowPages.pdf>
- Specialized Agencies and Other International Organizations: <http://iseek.un.org/LibraryDocuments/PhoneDirectory/ENGLISH/Specialized%20Agencies%20and%20Other%20International%20Organizations.pdf>
- Permanent Missions to the United Nations: <http://iseek.un.org/LibraryDocuments/PhoneDirectory/ENGLISH/Permanent%20Missions%20to%20the%20United%20Nations.pdf>
- Councils, Commissions and Other Organs: <http://iseek.un.org/LibraryDocuments/PhoneDirectory/ENGLISH/Councils,%20Commissions,%20Committees%20and%20Other%20Organs.pdf>
- UNHQ Services, Information and Clubs: <http://iseek.un.org/LibraryDocuments/PhoneDirectory/ENGLISH/UNHQ%20Services,%20Information%20Media%20&%20Clubs.pdf>

ANNEX ONE: SECRETARIAT STRUCTURE⁵⁰

Departments at UN Headquarters in New York

- Executive Office of the Secretary-General (EOSG)
- Department of Economic and Social Affairs (DESA)
- Department of Field Support (DFS)
- Department for General Assembly and Conference Management (DGACM)
- Department of Management (DM)
- Department of Peacekeeping Operations (DPKO)
- Department of Political Affairs (DPA)
- Department of Public Information (DPI)
- Department of Safety and Security (DSS)
- Office for the Coordination of Humanitarian Affairs (OCHA)
- Office for Disarmament Affairs (UNODA)
- Office of Internal Oversight Services (OIOS)
- Office of Legal Affairs (OLA)
- Peacebuilding Support Office (PBSO)

Internal Justice Bodies

- Office of the United Nations Ombudsman (OUNO)
- Office of Administration of Justice
- UN Dispute Tribunal (UNDT)
- UN Appeals Tribunal (UNAT)

International Criminal Tribunals

- International Tribunal for Rwanda (ICTR)
- International Tribunal for the Former Yugoslavia (ICTY)

Special Advisers, Representatives and Envoys

- Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (OHRLLS)
- Office of the Special Adviser on Africa (OSAA)
- Office of the Special Adviser to the Secretary-General on the Prevention of Genocide
- Office of the Special Representative of the Secretary-General for Children and Armed Conflict (OSRSG-CAC)
- Office on Sport for Development and Peace
- Special and Personal Representatives and Envoys of the Secretary-General

Offices Away From Headquarters

- United Nations Office at Geneva (UNOG)
- United Nations Office at Nairobi (UNON)
- United Nations Office at Vienna (UNOV)

Regional Commissions

- Economic and Social Commission for Asia and the Pacific (ESCAP)
- Economic and Social Commission for Western Asia (ESCWA)
- Economic Commission for Africa (ECA)
- Economic Commission for Europe (ECE)
- Economic Commission for Latin America and the Caribbean (ECLAC)

Other Offices

- Office of the United Nations High Commissioner for Human Rights (OHCHR)
- Office of the United Nations High Commissioner for Refugees (UNHCR)
- United Nations Conference on Trade and Development (UNCTAD)
- United Nations Environment Programme (UNEP)
- United Nations Human Settlements Programme (UN-Habitat)
- United Nations Office on Drugs and Crime (UNODC)
- United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)

ANNEX TWO: UNITED NATIONS FIELD MISSIONS

(as of December 2013)

UN Peacekeeping Operations⁵¹

- African Union-UN Hybrid Operation in Darfur (UNAMID)
- UN Disengagement Observer Force (UNDOF)
- UN Interim Force in Lebanon (UNIFIL)
- UN Interim Security Force for Abyei (UNISFA)
- UN Mission in Liberia (UNMIL)
- UN Military Observer Group in India and Pakistan (UNMOGIP)
- UN Mission for the Referendum in Western Sahara (MINURSO)
- UN Mission in the Republic of South Sudan (UNMISS)
- UN Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO)
- UN Multidimensional Integrated Stabilization Mission in Mali (MINUSMA)
- UN Operation in Côte d'Ivoire (UNOCI)

- UN Peacekeeping Force in Cyprus (UNFICYP)
- UN Stabilization Mission in Haiti (MINUSTAH)
- UN Truce Supervision Organization (UNTSO)
- UN Interim Administration Mission in Kosovo (UNMIK)

UN Field-based Special Political Missions⁵²

- Office of the Special Representative of the Secretary-General for West Africa (UNOWA)
- Office of the United Nations Special Coordinator for Lebanon (UNSCOL)
- Office of the United Nations Special Coordinator for the Middle East (UNSCO)
- United Nations Assistance Mission in Afghanistan (UNAMA)
- United Nations Assistance Mission in Iraq (UNAMI)
- United Nations Integrated Peacebuilding Office in the Central African Republic (BINUCA)
- United Nations Integrated Peacebuilding Office in Guinea-Bissau (UNIOGBIS)
- United Nations Integrated Peacebuilding Office in Sierra Leone (UNIPSIL)
- United Nations Office in Burundi (BNUB)
- United Nations Assistance Mission in Somalia (UNSOM)
- United Nations Regional Centre for Preventive Diplomacy for Central Asia (UNRCCA)
- United Nations Regional Office for Central Africa (UNOCA)
- United Nations Support Mission in Libya (UNSMIL)

ENDNOTES

- 1 The principal organs include: the Security Council, the General Assembly, the Economic and Social Council (ECOSOC) and the International Court of Justice (ICJ), in addition to the Secretariat.
- 2 More information on the Secretary-General is provided in "Chapter Two - The Secretary-General and his Executive Office".
- 3 <http://www.un.org/en/mainbodies/secretariat/>.
- 4 UN Charter, Chapter XV, Article 100.
- 5 See also "The Role of the International Civil Servant" in "Chapter 1 - The United Nations Charter and Principal Organs".
- 6 UN Charter, Chapter XV, Article 101.
- 7 Thant Myint-U and Amy Hill, *The UN Secretariat, A Brief History (1945-2006)*, International Peace Academy, New York, 2007, page X.
- 8 Ibid.
- 9 Ibid.
- 10 For example, threats to peace and security and gross violations of human rights.
- 11 The Agencies, Funds and Programmes are covered in greater detail in "Chapter 4 - Agencies, Funds, Programmes, Related Organizations, and System-wide Coordination".
- 12 Thomas Weiss and Sam Daws (ed.), *The Oxford Handbook on The United Nations*, Oxford University Press, 2007, page 161.
- 13 Thomas George Weiss, *UN voices: the struggle for development and social justice*, United Nations Intellectual History Project, Indiana University Press, 2005, Chapter 9.
- 14 See "Chapter 6 - Human Resources" for additional information
- 15 See also "Advice and guidance" under "The Role of the International Civil Servant" in "Chapter 1 - The United Nations Charter and Principal Organs".
- 16 See also "Advice and guidance" under "The Role of the International Civil Servant" in "Chapter 1 - The United Nations Charter and Principal Organs".
- 17 See A/60/733.
- 18 Ibid.
- 19 Ibid.
- 20 As identified in the GA annotated agenda A/59/251 or the *Biennial programme plan and priorities for the period 2006-2007* (A/59/6 Rev.1).
- 21 Coordination mechanisms are covered in detail in "Chapter 4 - Agencies, Funds, Programmes, Related Organizations, and System-wide Coordination".
- 22 UN field missions are covered later on in this chapter.
- 23 See section "Secretariat Role and Purpose: UN Field Missions Political and Peacekeeping Missions and Peacebuilding Offices" in this chapter for further information as well as the annexes to this chapter for a full list.
- 24 See "Chapter 2 - The Secretary-General and his Executive Office" for more information.
- 25 See "Chapter 6 - Human Resources" for more information.
- 26 See "Chapter 9 - Internal and External Communications" for more information.
- 27 See "Chapter 8 - Security" for more information.
- 28 See "Chapter 5 - Ethics, Accountability and Oversight" for more information.
- 29 See "Chapter 5 - Ethics, Accountability and Oversight" for more information.
- 30 See "Chapter 5 - Ethics, Accountability and Oversight" and "Chapter 6 - Human Resources" for more information.

- 31 Services are provided to non-Secretariat entities on a reimbursable basis.
- 32 Under the delegated authority of the Director General, in his/her capacity as Designated Official.
- 33 See ST/SGB/2009/13 and ST/SGB/2009/13/Corr.1 for more detail.
- 34 See ST/SGB/2010/1 for more detail.
- 35 See ST/SGB/2010/2 for more detail.
- 36 See ST/SGB/2008/8 for more detail.
- 37 For a full list of the Special and Personal Representatives, and Envoys of the Secretary-General, see <http://www.un.org/sg/srsg/africa.shtml>
- 38 Information on the work of the Executive Committee on Peace and Security is provided, along with information on other system-wide coordination bodies, in "Chapter 4 - Agencies, Funds, Programmes, Related Organizations, and System-wide Coordination".
- 39 See this chapter's section of field missions as well as to Chapter 4 for more information on integration and coordination between Secretariat peace and security actors and the Agencies, Funds and Programmes. See "Chapter 2 - The Secretary-General and his Executive Office" for information on the Policy Committee
- 40 The UNDG is covered in greater detail in "Chapter 4 - Agencies, Funds, Programmes, Related Organizations, and System-wide Coordination".
- 41 Including system-wide efforts to meet the Millennium Development Goals, internationally-agreed development goals, as well as in the processes to define the post-2015 development agenda.
- 42 See joint OHCHR/DPKO/DPA/DFS Policy on Human Rights in UN Peace Operations and Political Missions, issued August 2011.
- 43 Adopted July 2011.
- 44 OHCHR provides human rights expert support to Resident Coordinators, Humanitarian Coordinators, and UN Country Teams, and works with the Inter-Agency Standing Committee and cluster system in this regard.
- 45 The work of the IASC and ECHA will be covered in Chapter 4.
- 46 See Secretary-General's Decision of 2012/1 on Special Circumstances and Decisions no. 2011/10 and no. 2008/24 on Integration. See also the 2013 UN Policy on Integrated Assessment and Planning, the 2010 UN Guidelines on Strategic Assessments, and the 2006 SG Note of Guidance on Integrated Missions.
- 47 Structural integration is generally when the Deputy Special Representative of the Secretary-General (DSRSG), Resident Coordinator (RC) and Humanitarian Coordinator (HC) are combined under a single person referred to as a "triple-hatted DSRSG/RC/HC".
- 48 See Secretary-General's Decision of 2012/1 on Special Circumstances and Decisions no. 2011/10 and no. 2008/24 on Integration. See also the 2013 UN Policy on Integrated Assessment and Planning, the 2010 UN Guidelines on Strategic Assessments, and the 2006 SG Note of Guidance on Integrated Missions.
- 49 The concept of integration is also covered in Chapter 4.
- 50 Not all sub-offices are listed. For example, front offices of the Under-Secretaries-General and executive offices are omitted.
- 51 See the latest factsheet for peacekeeping statistics: <http://www.un.org/en/peacekeeping/resources/statistics/factsheet.shtml>.
- 52 See the latest fact sheet for SPM statistics: <http://www.un.org/wcm/webdav/site/undpa/shared/undpa/pdf/July%20fact%20sheet.pdf>.

4

**AGENCIES, FUNDS,
PROGRAMMES,
RELATED
ORGANIZATIONS
AND SYSTEM-WIDE
COORDINATION**

“The true measure of the success for the United Nations is not how much we promise, but how much we deliver for those who need us most.”

*Secretary-General Ban Ki-moon
Acceptance Speech to the General Assembly upon election*

COMPONENTS OF THE UNITED NATIONS SYSTEM: AGENCIES, FUNDS AND PROGRAMMES, AND RELATED ORGANIZATIONS IN FOCUS

The UN system is often characterised as a “family” comprising the UN Secretariat and its funds and programmes, specialized agencies, and related organizations. The General Assembly (GA) and the Economic and Social Council (ECOSOC) are responsible for governing the work of UN funds, programmes, research and training Institutes, and related organizations. Funds and programmes have different types of governing bodies, including boards, committees, councils, commissions, panels and working groups. UN programmes tend to have small, regionally-balanced governing councils made up of around 30-60 members, though membership is officially open to all Member States. The heads of funds and programmes are appointed by the Secretary-General, with the GA's endorsement. The specialized agencies and related organizations are governed by separate legislative bodies.

The broader work of the United Nations is coordinated through Inter-Organizational Agreements with ECOSOC and the GA and through the United Nations System Chief Executives Board for Coordination (CEB).

KEY QUESTIONS

- i. **What are UN funds and programmes? How do they fit in with the rest of the UN system?**

Funds and programmes are established by resolutions and are subsidiary organs of the GA¹, which sets out mandates and determine reporting arrangements. All programmes are members of CEB, which coordinates the work of the funds and programmes with the work of the Secretariat and the agencies.

There are twelve funds and programmes:

- United Nations Development Programme (UNDP)
- Office of the United Nations High Commissioner for Refugees (UNHCR)
- United Nations Children's Fund (UNICEF)
- United Nations Environment Programme (UNEP)*
- United Nations Population Fund (UNFPA)
- United Nations Human Settlements Programme (UN-HABITAT)*
- Office of the United Nations High Commissioner for Human Rights (OHCHR)
- United Nations Children's Fund (UNICEF)
- United Nations Office on Drugs and Crime (UNODC)*
- United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA)
- United Nations World Food Programme (WFP)
- United Nations Entity for Gender Equality and the Empowerment of Women (UN-Women)

(*These organizations are also part of the UN Secretariat)

Funds and programmes receive funding through the UN regular budget (e.g. for staff posts) as well as voluntary contributions. Designated trust funds are also set up for the purposes of fulfilling the work of the programmes, or earmarked funds for specific projects undertaken by the programmes.

ii. What are specialized agencies and related organizations? How do they fit in with the rest of the UN system?

Specialized agencies are linked to the UN through sections of Articles 55-65 of the Charter. Established by an intergovernmental agreement, they are subject to the approval of the General Assembly². Their degree of autonomy is very much dependent on how they were established³. However, despite being autonomous, specialized agencies are required to coordinate their activities through the General Assembly, which can make recommendations that pertain to their activities⁴. The ECOSOC may request specialized agencies to report on steps taken to give effect to its recommendations, where the issue falls under its purview. The CEB is charged with coordinating the work of the specialized agencies.

Specialized agencies are established to help achieve: higher standards of living, full employment, conditions of economic and social progress and development; find solutions to international economic, social health, and related problems; international cultural and educational cooperation; and universal respect for, and observance of, human rights and fundamental freedoms for all without distinction as to race, sex, language, or religion⁵.

There are currently 15 agencies (listed in order of date of agreement with the UN):

- International Labour Organization (ILO)
- Food and Agriculture Organization of the United Nations (FAO)
- United Nations Educational, Scientific and Cultural Organization (UNESCO)
- International Civil Aviation Organization (ICAO)
- World Health Organization (WHO)
- World Bank Group (WB)
 - International Bank for Reconstruction and Development (IBRD)
 - International Centre for Settlement of Investment Disputes (ICSID)
 - International Development Association (IDA)
 - International Finance Corporation (IFC)
 - Multilateral Investment Guarantee Agency (MIGA)
- International Monetary Fund (IMF)
- Universal Postal Union (UPU)
- International Telecommunication Union (ITU)
- World Meteorological Organization (WMO)
- International Maritime Organization (IMO)
- World Intellectual Property Organization (WIPO)
- International Fund for Agricultural Development (IFAD)
- United Nations Industrial Development Organization (UNIDO)
- United Nations World Tourism Organization (UNWTO)

Related organizations are: The Bretton Woods Institutions – the World Bank (WB)⁶ and the International Monetary Fund (IMF) – are considered part of the UN system. Technically the Bretton Woods Institutions coordinate their activities through ECOSOC and are part of the Organization, however the relationship between the Bretton Woods entities is comparatively weaker than with specialised agencies.

The following institutions are treaty bodies:

- International Atomic Energy Agency (IAEA)
- World Trade Organization (WTO)
- Preparatory Commission for the Nuclear-Test-Ban Treaty Organization (CTBTO)
- Organisation for the Prohibition of Chemical Weapons (OPCW)

As with funds and programmes, specialized agencies have diverse governance structures. For example, WHO is governed by the World Health Assembly, which is the supreme decision-making body and composed of the whole membership of the UN. It also has an Executive Board of 34 members elected by the World Health Assembly. Within the WHO system, there are also six regional committees that have some autonomy for setting regional policy and priorities.

Core funding of specialized agencies is through assessed contributions. Specialized agencies do not receive any funds from the UN regular budget, but trust funds and voluntary funding are commonly used to supplement core funding. Bretton Woods Institutions, however, have their own financial contribution system, based on voting rights.

ADVICE AND GUIDANCE

- The challenges of the world have become increasingly interdependent. Consequently, **working across the UN system is essential to maximise impact**; you can play a catalytic role in bringing together different parts of the system to ensure they are working, thinking, planning and implementing projects together to full effect.⁷ As a Senior Leader, your ability to think and act in terms of how your department/office is **contributing and supporting the system as a whole**, will shape the way your staff think, behave and contribute.
- **Establish formal and informal relationships with the relevant heads of agencies, funds and programmes** as soon as possible, and ensure that your staff also have strong relationships with their counterparts. Agencies, funds and programmes allow for a degree of specialization and programming capacity not always available in Secretariat departments/offices. As such, they provide vital sources of knowledge and a wide range of expertise (and sometimes resources), which can be drawn upon to further the mandate of your department/office and the vision for your tenure and beyond. Especially when planning and implementing field-based activities, coordinating with organizations of the UN system is essential, as many of them have long-standing presences in the field⁸.

- The work of the UN and its affiliated Bretton Woods Institutions is complementary and you are strongly encouraged to **collaborate with Bretton Woods Institutions** as and when possible. Political, security and development frameworks should be integrated where feasible to continue the meaningful pursuit of the sustainable peace, development and human rights agenda. Delivering as One contexts and integrated UN presences provide excellent opportunities for collaboration with IFIs, but collaboration can include coordinated or joint strategic assessments, post-conflict needs assessments and recovery planning, as well as exchanges of expertise, advice and staff. The World Bank should be encouraged to participate in key meetings, such as those of the Peacebuilding Commission⁹.

THE UNITED NATIONS SYSTEM CHIEF EXECUTIVES BOARD FOR COORDINATION¹⁰

KEY QUESTIONS

i. What is the “UN system”?

The UN system consists of the UN Secretariat, the funds, programmes, specialized agencies, and related organizations. The term should not be confused with the “UN common system”, which is shorthand for the UN common system of salaries, allowances and other conditions of service, and is described in further detail in Chapter 5 on Human Resources.

ii. What is the “CEB”?

The United Nations System Chief Executives Board for Coordination (CEB) is the longest-standing and highest-level coordination forum of the UN¹¹. It was established as a standing committee of ECOSOC that is chaired by the Secretary-General and comprises 29 Executive Heads of the specialized agencies, including the Bretton Woods Institutions, UN funds, programmes, the IAEA and the WTO. While not a policy-making or operational coordination body, the CEB supports and reinforces the coordinating role of UN intergovernmental bodies on social, economic and related matters. Most important, the CEB allows for a collective response to global problems, such as climate change and the global financial crisis.

The CEB meets twice a year under the chairmanship of the UN Secretary-General and is supported by three committees:

- The High-Level Committee on Programmes (HLCP)
- The High-Level Committee on Management (HLCM)
- The United Nations Development Group (UNDG).

The CEB deals with a very wide set of issues, for example:

- Strengthening support for sustainable development (UN Conference on Sustainable Development, climate change, UN-Oceans, UN-Water, and UN-Energy).
- Accelerating the mainstreaming of gender equality and the empowerment of women; human rights and disaster risk reduction.
- Strengthening coordination for challenges related to population issues, international migration and development.
- Supporting preparations for the Post-2015 UN Development Framework, UN Development Assistance Frameworks (UNDAFs), and the UNDG management and accountability system.
- Harmonization and simplification of business practices at the country and global-levels.
- Improving international public sector accounting standards and staff safety and security.

iii. What is the High-Level Committee on Programmes (HLCP)?

The High-Level Committee on Programmes (HLCP) is the principle mechanism of the CEB for fostering coherence, cooperation and coordination on the programme dimensions of strategic issues for the UN system. It is chaired on a rotational basis by the Executive Heads represented in the CEB. The HLCP's main functions include:

- System-wide follow-up of intergovernmental decisions and major UN conferences.
- Identification of emerging programme issues requiring a system-wide response and common strategies, policies and tools.
- Serving as a forum for inter-agency dialogue and preparing for CEB sessions on issues of global significance.

System-wide global issues recently addressed by the HLCP have included:

- Rio+20 and beyond and the Secretary-General's High-Level Panel on Global Sustainability

- CEB's Climate Change Initiative; responses to the financial and economic crisis (CEB's Joint Crisis Initiatives) and "moving towards a fairer, greener, sustainable globalization"
- The Millennium Development Goals (MDGs)
- Disaster risk reduction
- The Fourth UN Conference on the Least Developed Countries
- Universal access to energy
- Biodiversity
- Gender mainstreaming and gender equality.

iv. What is the High-Level Committee on Management (HLCM)?

The High-level Committee on Management (HLCM) is responsible for ensuring coordination on administrative and management issues that require a system-wide response. Chaired on a rotational basis by one of the Executive Heads of the CEB, it is authorized to take decisions on behalf of the Executive Heads and to identify, promote and coordinate management reforms. In its work, HLCM is supported by five technical networks in the areas of:

- Finance and budget
- Human resources
- Information and communication technology
- Procurement
- Legal matters.

The networks bring together the most senior staff in the respective functional areas to inform and guide the HLCM decision-making processes. HLCM is also responsible for maintaining a dialogue with the Federations of Staff Associations on concerns of a system-wide nature.

Example areas of activity include:

- Staff safety and security
- Harmonization of business practices
- Human resources initiatives
- Financial management initiatives
- Feasibility study for putting in place common treasury services
- UN system-wide financial statistics database and reporting system
- ICT and knowledge-sharing initiatives

- Procurement and supply-chain initiatives
- Procurement process and practice harmonization in support of field operations.

v. How are the CEB, HLCP and HLCM supported?

The CEB Secretariat is a jointly financed office that supports the work of the CEB, HLCP and HLCM by:

- Supporting the development of structure, content, organization and follow-up of the CEB, HLCP and HLCM sessions, including support to the work of the chairs, working groups and networks of the HLCP and HLCM
- Assisting the CEB and its Committees in the development of analyses and system-wide strategies and methodologies in specific thematic areas
- Coordinating and facilitating knowledge-sharing among the organizations on major trends and developments of system-wide concern
- Strengthening engagement with intergovernmental bodies and providing Member States and the broader public with access to UN system information

vi. What is the United Nations Development Group (UNDG)?

The United Nations Development Group (UNDG) brings together 32 UN agencies, funds, programmes, departments, and offices that play a role in development. Within the CEB structure, the UNDG deals with operational activities for development, with a focus on country-level work. The UNDG's common objective is to deliver more coherent, effective and efficient support to countries seeking to attain internationally-agreed development goals, including the MDGs.

Established by the Secretary-General in 1997, the UNDG designs system-wide guidance to coordinate, harmonize and align UN development activities. The group strengthens the UN development system at the country-level, prepares it to meet future challenges and ensures that operations are conducted in accordance with mandates from UN governing bodies and the General Assembly.

The Administrator of UNDP chairs the UNDG. The UNDG Chair reports to the Secretary-General and the CEB on progress in implementing the UNDG strategic priorities and workplan, and on the management of the Resident Coordinator system. The Executive Director of one of the specialized agencies functions as Vice-Chair on a rotational basis¹².

vii. What is “DOCO”?

The UN Development Operations Coordination Office (DOCO) is the secretariat of the UNDG. DOCO helps UN organizations design better ways to deliver coherent, effective and efficient support to countries. DOCO supports the UNDG at all levels in assisting national partners to achieve internationally-agreed development goals, including the MDGs, and other critical national development priorities. Its main functions are to:

- Support the setting of the UNDG strategic priorities and global UNDG coordination.
- Support implementation of the UNDG strategic priorities at global, regional and country levels.
- Gather evidence and lessons learned from implementation to feed into UNDG decision-making and dissemination back to countries.

WORKING ACROSS THE SYSTEM: CROSS-CUTTING POLICY STREAMS OF WORK

A number of thematic and cross-cutting coordination mechanisms exist at the senior, director and working levels. These coordination mechanisms address issues such as: food security; HIV/AIDS; children and youth; sustainable development, environment and climate change; economic and social affairs; peace and security; peacebuilding, information and communication technology; humanitarian affairs and disaster risk reduction; evaluation and monitoring; and, civil society and the private sector. Examples of coordination mechanisms working across the UN system are provided in Annex Two. These include UN senior-level mechanisms such as the Executive Committees on Economic and Social Affairs; Humanitarian Affairs; and Peace and Security.

KEY QUESTIONS

i. What is UN “integration”?

An **integrated UN presence** is the configuration of the UN system in all conflict and post-conflict situations where the UN has a country team and a multi-dimensional peacekeeping operation or special political mission/office, regardless of whether this presence is structurally integrated¹³. The purpose of integration is to maximize the individual and collective impact of the UN's response, in particular with regard to activities required to consolidate peace. At a minimum, this means:

- Joint conduct of Strategic Assessments
- Articulation of a common UN vision, priorities and respective responsibilities
- Establishment of integrated mechanisms for joint analysis, planning, coordination, monitoring and decision-making at both field and Headquarters (HQ) levels
- Conduct of integrated monitoring and reporting on the implementation of Integrated Strategic Frameworks.

The HQ-based, senior-level **Integration Steering Group** oversees the development and implementation of integration policies, guidelines, and tools¹⁴.

ii. What is “Delivering as One”?

In 2005, Member States adopted the **Outcome Document** at the World Summit in New York, calling for greater coherence amongst UN agencies, funds and programmes. The resolution focused on ensuring the UN maximizes its contribution to achieving internationally agreed development goals, including the MDGs, and proposals for “more tightly managed entities” in the field of the environment, humanitarian assistance and development.

Following the adoption of the Outcome Document, the Secretary-General commissioned a study to develop recommendations in this regard. The Report of the **High-level Panel on UN System-wide Coherence in the Areas of Development, Humanitarian Assistance and the Environment**, entitled “**Delivering as One**”, made a number of recommendations, many of which were applied in pilot countries.

Delivering as One pilots were launched in eight countries¹⁵, after which more than twenty additional countries voluntarily adopted the approach. UN entities in these countries have made or are making reforms based on six principles:

- One Leader: An empowered UN Resident Coordinator and UN Country Team with authority to strategically position and represent the whole UN development system in the country.
- One Programme: A coherent framework for joint analysis, planning, and implementation by bringing all members of the UN Country Team together under one nationally-owned strategy that draws on the full range of UN expertise and ensures a fully integrated approach to delivering development results in a coherent manner.

- One Budgetary Framework and the One Fund: An integrated financial framework for all UN organizations. For the first time, these provide a transparent overview of the resources and funding gaps of the entire UN system in a country. This has facilitated joint resource mobilization by UN organizations, and reduced fragmentation and competition. Un-earmarked pooled funding channelled through One UN funds has been critical in this regard.
- Operating as One (formerly “One Office”): consolidated service provision and, where appropriate, common premises and a common security infrastructure.
- Communicating as One (formerly “One Voice”): Clear and consistent strategic positioning of the UN and its vision at the country level. Ensuring coherent messaging from the UN system and highlighting results achieved by the UN system at the country level.

Since the launch of Delivering as One, a number of lessons and best practices have emerged. In order to launch the next generation of Delivering as One called for by the Secretary-General and as requested in the Quadrennial Comprehensive Policy Review (see below), the UNDG endorsed Standard Operating Procedures (SOPs) and a Plan of Action for Headquarters. The SOPs will provide overarching guiding principles to ensure increased results, strengthened accountability, monitoring and evaluation, and improved outcomes.

iii. What is the Quadrennial Comprehensive Policy Review (QCPR)?

The QCPR of operational activities for development of the United Nations system¹⁶ is a General Assembly resolution that frames and enables much of the UN's work in the area of development. Through the QCPR, the General Assembly establishes key system-wide policy orientations for the development cooperation and country-level modalities of the UN. QCPR resolutions are binding on UN entities that report to the General Assembly¹⁷.

On 21 December 2012, the General Assembly adopted by consensus a landmark resolution (67/226) on the QCPR of UN operational activities for development. The changes endorsed in the resolution signal the importance Member States attach to enhanced system-wide coherence as a strategy for improving the relevance and effectiveness of the UN development system. The resolution also recognizes the value of improving linkages between operational activities and norms and standards such as freedom, peace, security and human rights and the importance of mainstreaming sustainable development into the mandates, programmes, strategies and decision-making processes of UN entities. There is also, for the first time, intergovernmental recognition of the Delivering as One model, though it remains a voluntary option.

iv. How can the Peacebuilding Architecture support UN coherence and integration?

The World Summit Outcome Document and subsequent resolutions established the Peacebuilding Commission, Peacebuilding Fund and Peacebuilding Support Office, in recognition of the cross-cutting nature of peacebuilding. The Peacebuilding Commission is described in Chapter 1. The Peacebuilding Support Office works with partners across the UN system to help develop strategies, processes and activities aimed at sustaining peace over the long-term.

The UN Peacebuilding Fund (PBF) can, for example, enhance the effectiveness of the UN in transition settings. In countries with demonstrated national commitment to peacebuilding, the PBF works with UN leadership at country level to identify activities – drawing on the full breadth of the UN system – to support capacity building of national actors for sustainable peace¹⁸.

ADVICE AND GUIDANCE

- Integrated, coherent approaches are an objective of the Organization. However, a related challenge is the “coordination of coordination mechanisms”, resulting from overlapping mandates, membership and even similar agenda items. Indeed, over-coordination creates the risks of incoherence and decreased efficiency with lowest common denominator outcomes. As such – as a Senior Leader – **complement coordination with clear priority-setting, clear division of labour, and clarity on who is accountable for which actions.**
- As an advocate of coherence and a Senior Leader, you should seek to make clear that coherence is the means to provide better support to countries. Identify and articulate where working together more closely will result in **greater impact on the ground.**
- HQ-level **inter-agency meetings, including task force meetings, are vital coordination mechanisms**, which can have a significant impact on field presences. Representatives who come to a meeting only prepared to talk about their own mandates may ultimately harm system-wide efforts to ensure greater coherence. Representatives who come to a meeting ready to discuss the problem and how best it can be addressed and by whom, can strengthen the system, including in the eyes of Member States and those whose lives and livelihoods we seek to improve.
- The QCPRs are important expressions of Member State consensus on the state of the development world, the internal coherence of the UN, where it is succeeding and where it still needs to make progress. You may wish to read previous reports to ensure you are developing a vision that takes into account system-wide priorities.

COORDINATION AT COUNTRY AND REGIONAL LEVELS

KEY QUESTIONS

i. What is the Resident Coordinator (RC) system?¹⁹

The Resident Coordinator (RC) system was established in 1977 to ensure proper coordination of operational activities of the UN system in a particular country. The RC system encompasses all the UN system entities that carry out operational activities for development in programme countries. It is the main mechanism for coordinating UN operations that support nationally-owned and -led development plans and programmes. The RC system also helps to coordinate emergency, recovery and transition activities in programme countries, together with humanitarian and peace and security actors.

The RC system is owned by the UN system as a whole, and its proper functioning is participatory, collegial, and based on consensus and mutual accountability. The Management and Accountability system of the UN development and RC system articulates that the RC "has an equal relationship with, and responsibility to, all UNCT member agencies" and "is empowered by clear recognition from each agency of his/her role in strategically positioning the UN in each country"²⁰. The RC is accredited by letter of the Secretary-General, usually to the Head of State or Government.

The management of the RC system is anchored in UNDP and the RC is also the UNDP Resident Representative (RC/RR). As such, the RC remains accountable for UNDP business in accordance with the Management and Accountability System. Furthermore, the RC ensures that the interests of non-resident agencies are adequately represented.

If international humanitarian assistance is required and a separate Humanitarian Coordinator (HC) position is not established, the RC is accountable to the UN Emergency Relief Coordinator (ERC) for the strategic and operational coordination of the response efforts of UNCT member agencies and relevant humanitarian actors (national and international humanitarian organisations, bilateral actors), in support of national efforts.

If a Special Representative of the Secretary-General (SRSG) is appointed, the RC/HC will normally function as Deputy Special Representative of the Secretary-General under his/her overall authority, with responsibility for the coordination of development and humanitarian assistance²¹. In

locations where there is no resident SRSG or Special Envoy, and in the event of a significant deterioration or evolution of the political situation in the country, the RC liaises with the Department of Political Affairs for support²². The Secretary-General's Decision on Special Circumstances in Non-Mission Settings²³ issued in 2012 recognised the need for strengthened system-wide support to RCs and UNCTs in situations of armed conflict, political crisis and/or rising political tension.

ii. What is the Humanitarian Coordinator (HC)?

The Humanitarian Coordinator (HC) function was established in 1988 in recognition of the special nature of coordination in humanitarian crisis situations. The HC is responsible for ensuring timely, effective and well-coordinated humanitarian assistance and for monitoring and reporting on the impact of armed conflict on especially vulnerable groups, such as women and children.

In many crisis situations where there is no UN field mission, the RC is also designated as Humanitarian Coordinator (HC), in consultation with the Inter-Agency Standing Committee. The integration of the RC and HC roles, where appropriate, allows for a more effective transition from the provision of emergency relief in the short term to support for lasting recovery. However, there may be instances when it is best to keep the RC and HC roles separate, for political or other reasons and to ensure effectiveness.

iii. What is a United Nations Country Team (UNCT)?

The UN Country Team (UNCT) is a mechanism for inter-agency coordination and decision-making at the country level. The main purpose of the UNCT is for individual UN entities to plan and work together, as part of the RC system, to ensure the delivery of tangible results in support of the development or recovery agenda of the Government. UNCT members are accountable to the UNCT/RC on UNCT results for which they are lead implementers, and of course for their own agency results.

With the RC, the UNCT helps formulate the Common Country Assessment (CCA) and the UNDAF - key instruments for the efficient and effective coordination of development activities of the UN system. The UNDAF provides the overall guidance to the UN system's development work in the field by defining common goals, objectives, priorities, indicators, monitoring and reporting mechanisms, and a UN resource framework agreed to by all UNCT members and endorsed by the recipient government.

iv. What is a Humanitarian Country Team (HCT)?

The Humanitarian Country Team (HCT) is a strategic and operational decision-making and oversight forum established and led by the Humanitarian Coordinator. It comprises heads of UN agencies, international non-governmental organizations and other entities that undertake humanitarian action in-country. The objective of the HCT is to ensure that the activities of these organizations are coordinated, and that humanitarian action is principled, timely, effective and efficient, and contributes to longer-term recovery.

v. What kind of coordination exists at the regional level?

Regional and sub-regional offices provide an essential link between Headquarters and field offices, while at the same time helping address cross-border challenges and promoting cross-border cooperation. They also provide an effective locus of coordination with other regional bodies. Regional and sub-regional offices provide support to country offices to help them fulfil their mandates. Some Secretariat departments/offices, as well as many agencies, funds and programmes, have regional and sub-regional offices.

For example, UNEP has a regional office for Africa and sub-regional offices for Central Africa, East Africa, West Africa, North Africa and South Africa. OCHA has eight regional field offices to support humanitarian coordination and response. There are also regional UN political missions in West Africa, Central Africa and Central Asia. Furthermore, six Regional UNDG Teams provide support to UN Country Teams with strategic priority-setting, analysis and advice based on their four core functions: (a) technical support to UN Country Teams; (b) quality assurance of UNDAFs; (c) performance management of Resident Coordinators; (d) troubleshooting in difficult country situations.

vi. What coordination mechanisms exist to support UN presences in the field applying the principles of integration?

Integrated Task Forces (ITFs), chaired by DPA or DPKO at Headquarters, but including participation from the field mission and UNCT, exist for all countries with integrated presences, as well as for some others. They are inter-departmental/inter-agency mechanisms for ensuring coherent and consistent support and policy guidance to UN integrated presences. ITFs are an important link between UN actors, to provide coordinated guidance and support to different UN actors, while ensuring respect of individual mandates.

At the field level, a number of senior and working-level coordination mechanisms exist to bring together the field mission and agencies, including **senior leadership forums** of key in-country decision-makers and **joint analytical and planning capacities**. These mechanisms and others are used for joint information-sharing, analysis, planning, decision-making, coordination and monitoring. A key document that all integrated presences produce is the **Integrated Strategic Framework**²⁴.

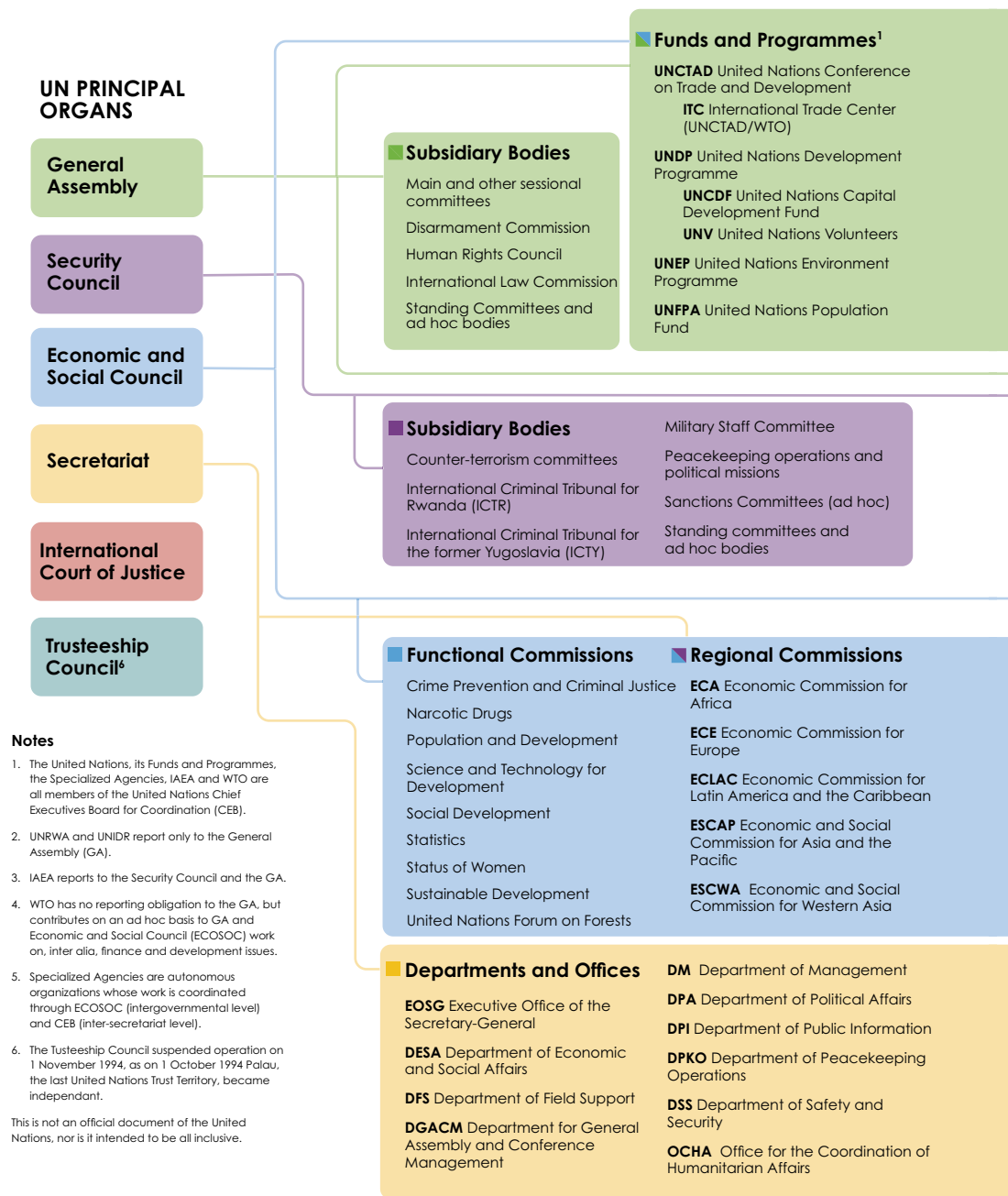
ADVICE AND GUIDANCE

- You should send clear messages to your team about the importance of coherence and close cooperation with relevant colleagues by **creating incentives for coordination and coherence**, for example, by making it part of staff performance appraisals.
- **Familiarise yourself with the range of available mechanisms for strengthening support to RCs and UNCTs**, including the Secretary-General's Policy Committee Decision 2009/20 on Capacity Requirements for Resident Coordinators in Crisis and Post-Crisis Recovery and Peacebuilding, the Joint UNDP-DPA Programme on Building National Capacities for Conflict Prevention, the Peacebuilding Fund, and DPA's mediation support capacity, among other measures. You can request your management team to brief you and provide additional information on these important initiatives. Ensure that all staff in your department/office are aware of this Policy Committee decision, as well as relevant policies on Integration.
- The RC system is owned by the UN development system as a whole, and the HC system by the humanitarian system. **When you are travelling to the field, it is recommended that you be in touch** not only with Secretariat staff and leadership, but also **with the RC, HC and members of the UNCT**. Schedule sufficient time to listen to the challenges facing them, and to explore together how you can assist. Find out in advance of a visit whether the UNCT leadership may wish to use your presence in the country to address particular challenges or send specific messages.
- Remember that the RC does not have a political mandate. S/he cannot be requested to report on violence in armed conflict or other politically sensitive issues. The RC can, however, transmit reports prepared by members of the UNCT who may have a thematic mandate to monitor specific issues. The RC can also formally transmit a Secretariat request for information to the responsible UN entity. Furthermore, given their on-the-ground experience and in-depth country expertise, the RC is an important source of information on all issues. You should build relationships with RCs and **work together towards your shared goals**, and a division of responsibilities, which can help you fulfil your respective mandates.

- Different components of the UN system have different mandates, political pressures, organizational cultures, time horizons, financing mechanisms, and approaches, which can challenge efforts to coordinate. Information exchange is an important part of good coordination, but even **more powerful are joint assessment, planning, joint programming and activities, and taking joint positions on a particular issue or threat.**

ANNEX ONE: ORGANIZATIONAL CHART OF THE UN SYSTEM

THE UNITED NATIONS SYSTEM



UN-HABITAT United Nations Human Settlements Programme

UNHRC Office of the United Nations High Commissioner for Refugees

UNICEF United Nations Children's Fund

UNODC United Nations Office on Drugs and Crime

UNRWA² United Nations Relief and Works Agency to Palestine Refugees in the Near East

UN-Women United Nations Entity for Gender Equality and the Empowerment of Women

WFP World Food Programme

■ Research and Training Institutes¹

UNICRI United Nations Interregional Crime and Justice Research Institute

UNIDIR² United Nations Institute for Disarmament Research

■ Advisory Subsidiary Bodies

Peacebuilding Commission

UNITAR United Nations Institute for Training and Research

UNRISD United Nations Research Institute for Social Development

UNSSC United Nations System Staff College

UNU United Nations University

■ Other Entities

UNAIDS United Nations Programme on HIV/AIDS

UNISDR United Nations International Strategy for Disaster Reduction

UNOPS United Nations Office for Project Services

■ Related Organizations

CTBTO Preparatory Organizations Preparatory Commission for the Comprehensive Nuclear-Test-Ban Treaty Organization

IAEA^{1a3} International Atomic Energy Agency

OPCW Organization for the Prohibition of Chemical Weapons

WTO^{1a4} World Trade Organization

■ Specialized Agencies^{1&5}

FAO Food and Agriculture Organization of the United Nations

ICAO International Civil Aviation Organization

IFAD International Fund for Agriculture Development

ILO International Labour Organization

IMF International Monetary Fund

IMO International Maritime Organization

ITU International Telecommunication Union

UNESCO United Nations Educational, Scientific and Cultural Organization

UNIDO United Nations Industrial Development Organization

UNWTO World Tourism Organization

UPU Universal Postal Union

WHO World Health Organization

WIPO World Intellectual Property Organization

WMO World Meteorological Organization

World Bank Group

IBRD International Bank for Reconstruction and Development

ICSID International Center for Settlement of Investment Disputes

IDA International Development Association

IFC International Finance Corporation

MIGA Multilateral Investment Guarantee Agency

■ Other Bodies

Committee for Development Policy

Committee of Experts on Public Administration

Committee on Non-Governmental Organizations

Permanent Forum on Indigenous Issues

United Nations Groups Experts on Geographical Names

Other sessional and standing committees and expert, ad hoc, and related bodies

OHCHR Office of the United Nations High Commissioner for Human Rights

OIOS Office for Internal Oversight Services

OLA Office for Legal Affairs

OSAA Office of the Special Adviser on Africa

SRGS/CAAC Office of the Special Representative of the Secretary-General for Children and Armed Conflict

SRGS/SVC Office of the Special Representative of the Secretary-General on Sexual Violence in Conflict

UNODA Office for Disarmament Affairs

UNOG United Nations Office at Geneva

UN-OHRLLS Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States

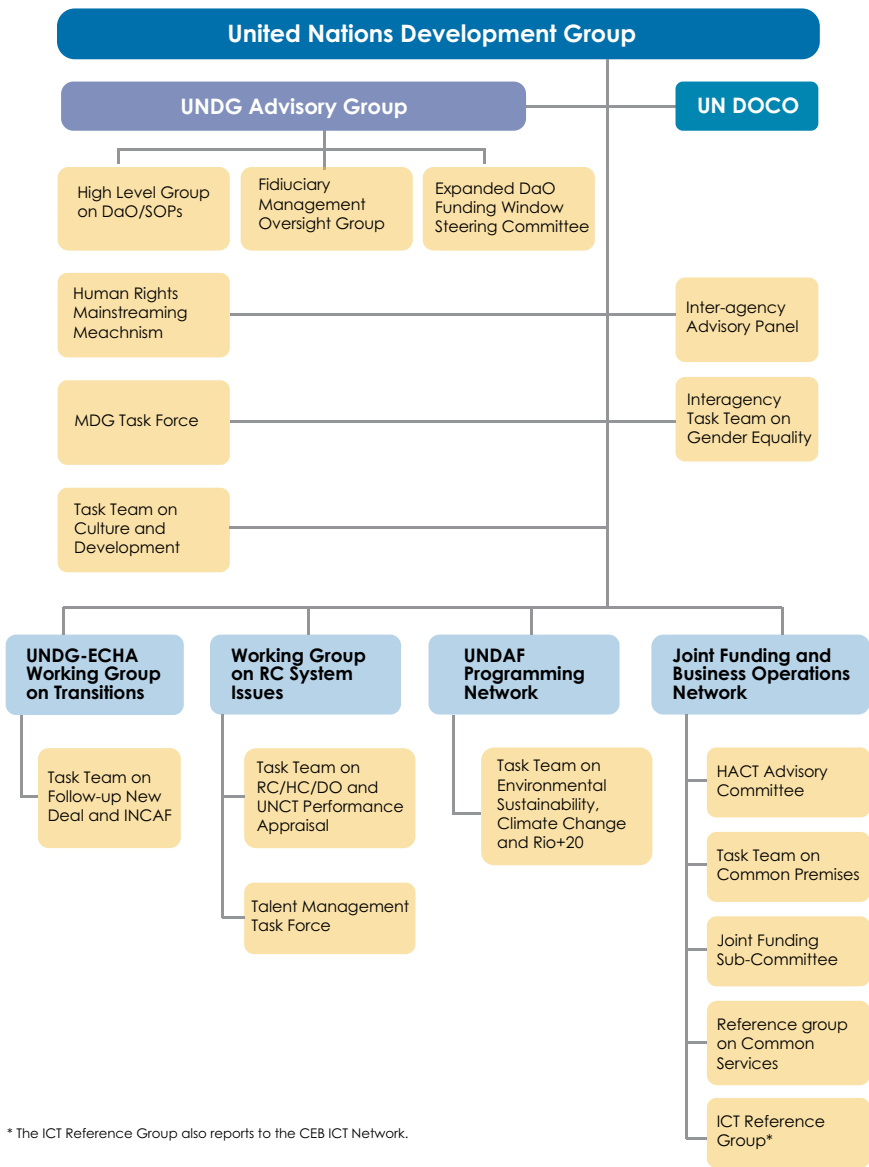
UNON United Nations Office at Nairobi

UNOV United Nations Office at Vienna

ANNEX TWO: EXAMPLES OF COORDINATION MECHANISMS

- Counter-terrorism Implementation Task Force
- Executive Committee on Economic and Social Affairs (ECESA)
- Executive Committee on Humanitarian Affairs (ECHA)
 - UNDG-ECHA Working Group on Transition
- Executive Committee on Peace and Security (ECPS)
 - ECPS Working Group on Democracy
- Global Compact Inter-Agency Team
- Global Food Security and Nutrition Forum (FSN Forum)
- Human Resources Network
- Human Rights Due Diligence Policy Working Group
- Integration Steering Group
- Inter-agency Consultative Group on Least Developed Countries, Landlocked Developing Countries, and Small Island States
- Inter-Agency Coordination Group for Mine Action
- Inter-Agency Network of Facilities Managers (INFM)
- Inter-Agency Standing Committee (IASC) (humanitarian assistance)
- Inter-agency working group on DDR
- Inter-departmental Framework for Coordination on Early Warning and Preventive Action (the "Framework Team")
- Integrated Assessment and Planning Working Group
- Rule of Law Coordination and Resource Group
- Secretary-General's Policy Committee
- Senior Peacebuilding Group/Peacebuilding Contact Group
- Task Force on Children and Armed Conflict
- UN Action Network Against Sexual Violence in Armed Conflict (UN ACTION)
- UN-System Task Force on Drug Trafficking and Organized Crime
- UN-Water

ANNEX THREE: UNDG WORKING MECHANISMS



ENDNOTES

- 1 See Article 22 of the UN Charter.
- 2 See Articles 57 and 63 of the UN Charter.
- 3 For an example, refer to a note by the Executive Director of UNEP, *United Nations Specialized Agencies versus United Nations Programmes*, The Consultative Group of Ministers of High-level Representatives on Broader International Environmental Governance Reform, 7 June 2010.
- 4 For example, in the areas related to membership, cooperation with other specialized agencies, non-voting participation, budget and finance. Specialized agencies can also request advisory opinions from the International Court of Justice on legal questions arising within the scope of their activities (Article 96, UN Charter).
- 5 Article 55 of the UN Charter.
- 6 The World Bank and the UN cooperate on many issues, specifically those which affect crisis and post-crisis situations. The "United Nations-World Bank Partnership Framework for Crisis and Post-Crisis Situations" calls upon the World Bank Group and the UN system to improve inter-agency communications, strengthen joint planning, increase collaboration on funding mechanisms and foster a culture of greater collaboration through joint training, evaluation and research.
- 7 See also "Advice and guidance" in the section "The Role and Purpose of Mandates" in "Chapter 3 - The United Nations System, Part I: The Secretariat"
- 8 See also "Advice and guidance" in the section "Secretariat Role and Purpose: UN Field Missions – Political and Peacekeeping Missions and Peacebuilding Offices" in "Chapter 3 - The United Nations System, Part I: The Secretariat".
- 9 See the "United Nations-World Bank Partnership Framework for Crisis and Post-Crisis Situations" for guiding principles and additional guidance on mechanisms and processes for communicating and undertaking assessments.
- 10 Information and reports of the CEB can be found at: <http://www.unsceb.org/>.
- 11 In 1946, the Economic and Social Council requested the Secretary-General to "establish a standing committee...to ensure the fullest and most effective implementation of the agreements entered into between the UN and the specialized agencies." In 2001, the Administrative Committee on Coordination (ACC) was renamed the United Nations System Chief Executives Board for Coordination.
- 12 See Annex Three: UNDG Working Mechanisms.
- 13 Structural integration is generally when the Deputy Special Representative of the Secretary-General (DSRSG), Resident Coordinator (RC) and Humanitarian Coordinator (HC) are combined under a single person referred to as a "triple-hatted DSRSG/RC/HC".
- 14 See Secretary-General's Decision of 2012/1 on Special Circumstances and Decisions no. 2011/10 and no. 2008/24 on Integration. See also the 2013 UN Policy on Integrated Assessment and Planning, the 2010 UN Guidelines on Strategic Assessments, and the 2006 SG Note of Guidance on Integrated Missions.
- 15 The original eight pilot countries were Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay, and Vietnam.
- 16 <http://www.un.org/esa/coordination/2012qcpr.htm>.
- 17 <http://www.un.org/en/ecosoc/about/qcpr.shtml>.
- 18 <http://www.unpbf.org/>.

- ¹⁹ Summary taken from: <http://www.peacekeepingbestpractices.unlb.org/Pbps/library/Handbook%20on%20UN%20PKOs.pdf>.
- ²⁰ <http://www.undg.org/index.cfm?P=133>.
- ²¹ As per Secretary-General's 2006 Note of Guidance on Integrated Missions.
- ²² See also section "Secretariat Role and Purpose: UN Field Missions – Political and Peacekeeping Missions and Peacebuilding Offices" in "Chapter 3 - The United Nations System, Part I: The Secretariat".
- ²³ Decisions No.2012/1- Special Circumstances in Non-Mission Settings, 20 January 2012.
- ²⁴ See Secretary-General's Decision no. 2011/10 and 2008/24 on Integration, and the 2013 UN Policy on Integrated Assessment and Planning.

5

ETHICS, ACCOUNTABILITY AND OVERSIGHT

"I promise to exercise in all loyalty, discretion and conscience the functions entrusted to me as an international civil servant of the United Nations..."

Excerpt from the UN Oath of Office

ETHICS AT THE UN

All UN staff members are expected to perform their functions with competence and integrity. Senior Leaders play a particularly important role in setting an ethical tone, acting as a role model and maintaining ethical standards for the entire Organization.

Ethical standards cannot be compartmentalised into one aspect of the Organization's work; they form part of the daily functioning of the Organization and the general behaviour and actions of staff members. Ethical standards become particularly important, however, with regard to:

- Maintaining independence and impartiality
- Conflict of interest
- Use of UN resources
- Acceptance of gifts, honours or awards
- Outside activities, political activities, and post-employment restrictions
- Personal financial investments and assets.

When it appears that ethical standards have not been observed, the Organization has a responsibility to investigate. A number of processes have been put in place to look into reports of possible unethical behaviour and to take action wherever necessary. The UN Office of Internal Oversight Services (OIOS) has a particularly important role to play in investigating: serious/complex fraud or criminal activity; sexual exploitation and abuse; waste of substantial resources; entitlement fraud; gross mismanagement; procurement violations; prohibited conduct, including sexual harassment by senior staff members; and all cases involving risk of loss of life to staff and to others, including witnesses¹.

UNDERSTANDING THE ETHICAL FRAMEWORK OF THE UNITED NATIONS

The “ethical framework” of the UN is the body of rules, regulations and values that provide guidance on the ethical conduct of its staff. The ethical framework helps Senior Leaders properly manage their departments and offices on a daily basis, and ensures that difficult decisions can be made with the required information and support.

KEY QUESTIONS

i. What is the Oath of Office and how does it relate to ethical behaviour?

The UN Oath of Office, taken when UN staff members begin their careers, is the embodiment of a commitment to uphold the highest levels of efficiency, competence and integrity required of international civil service. As a Senior Leader, you will be sworn into office by the Secretary-General.

All staff members take this Oath, which states:

I solemnly declare and promise to exercise in all loyalty, discretion and conscience the functions entrusted to me as an international civil servant of the United Nations, to discharge these functions and regulate my conduct with the interests for the United Nations only in view, and not to seek or accept instructions in regard to the performance of my duties from any Government or other source external to the Organization. I also solemnly declare and promise to respect the obligations incumbent upon me as set out in the Staff Regulations and Rules.

ii. What are the Staff Regulations and Rules of the UN?

The Staff Regulations and Staff Rules² are provided by the General Assembly and describe the fundamental conditions of service and the basic rights, duties and obligations for staff members at the UN Secretariat. The Staff Regulations establish what the UN expects of its staff and what staff may expect from the Organization. They represent the broad principles of human resources policy for the staffing and administration of the Secretariat. The Secretary-General provides and enforces Staff Rules, consistent with these principles, as he considers necessary. Secretary-General Bulletins, Administrative Instructions, and Information Circulars elaborate on the Staff Regulations and Rules, providing additional detail and procedural information.

iii. What are the standards of conduct for the International Civil Service?

The International Civil Service Commission (ICSC) promotes the standards of conduct that apply to staff³ of all UN system organizations. These standards of conduct describe some of the obligations which distinguish employment with the UN, including international civil servants' special calling to serve the universal ideals of peace, respect for fundamental rights, and international cooperation⁴.

iv. What are the central ethical values of the UN?

These following values apply to all who provide service to the UN:

- **Independence:** UN personnel shall maintain their independence and shall not seek or receive instructions from any government or from any other person or entity external to the UN, and shall refrain from any action that might reflect negatively on their position as UN personnel responsible only to the UN.
- **Loyalty:** Loyalty to the purposes, values and principles of the UN is a fundamental obligation of all UN personnel. They shall be loyal to the UN and shall at all times, discharge their functions and regulate their conduct only with the interests of the UN in view.
- **Impartiality:** UN personnel, in the performance of their official duties, shall always act with impartiality, objectivity and professionalism. They shall ensure that expression of personal views and convictions does not compromise the performance of their official duties or the interests of the UN. They shall not act in a way that unjustifiably could lead to actual or perceived preferential treatment for or against particular individuals, groups or interests.
- **Integrity:** UN personnel shall maintain the highest standards of integrity, including honesty, truthfulness, fairness and incorruptibility, in all matters affecting their official duties and the interests of the UN.
- **Accountability:** UN personnel shall be accountable for the proper discharge of their functions and for their decisions and actions. In fulfilling their official duties and responsibilities, UN personnel shall make decisions in the interests of the UN. They shall submit themselves to scrutiny as required by their position.
- **Respect for human rights:** UN personnel shall fully respect the human rights, dignity and worth of all persons and shall act with understanding, tolerance, sensitivity and respect for diversity and without discrimination of any kind.

v. What is the role of the Ethics Office?

The role of the Ethics Office is to:

- Provide confidential ethics advice to staff members
- Provide protection from retaliation for reporting misconduct or participating in investigations or audits
- Administer the financial disclosure programme
- Provide ethics-related training, outreach and education to staff members
- Consult with departments and offices on policy development
- Ensure coherence among the many ethics functions and operations within the UN system.

ADVICE AND GUIDANCE

- Remember that your oath is a personal one, which comes with responsibilities. Adherence to the oath and the rules is not contingent upon others' behaviour. As a Senior Leader, it is your responsibility to **encourage proper behaviour in others, and to report misconduct promptly**. Seek advice from the Ethics Office if you are unsure or have any questions.
- **Dialogue between staff and management is indispensable.** It is your responsibility to ensure such a dialogue occurs regularly, in a transparent and meaningful way. Make sure you are not only interacting with your senior management team; you should find ways to maintain open dialogue with your staff at large.
- Be aware of your own behaviour, and consider how others could interpret your words or actions. **Show respect for and understanding of diverse points of view.**
- To maintain a work atmosphere free from harassment, **exercise good judgement in your relationships** with co-workers and others in the workplace.

APPLYING THE ETHICAL FRAMEWORK

Putting the ethical framework of the UN into practice means thinking carefully about your role as an international civil servant, and your activities - both in your professional and personal capacities. Thinking and acting with care is essential for UN leaders, who are expected to model ethical behaviour, be accountable for their actions, and hold others accountable for their behaviour.

KEY QUESTIONS

i. How can I maintain my independence and act impartially?

The UN Oath of Office requires you to maintain impartiality and independence. Consider the potential impact of your comments and actions, and ensure you represent the international community at all times. When working with Member States (including your own), political parties, or civil society groups, remember that the UN's mission and goals come first; this means respectfully advocating for and upholding the values and principles of the UN.

ii. As an international civil servant, am I exempt from national laws?

No. UN staff members are required to comply with all local and national laws. The privileges and immunities that you hold as a UN staff member are conferred upon you solely in relation to your work for the Organization: they do not exempt you from observing local laws, or provide an excuse for ignoring your private legal or financial obligations. If you travel to any country, you must remember that you are a guest and are expected to cooperate fully with local law enforcement authorities. You are required, for example, to pay traffic and other fines promptly. If you are involved in any violation of local laws, you should immediately report it in accordance with the procedures of your duty station.

iii. What is misconduct?

Misconduct is the failure by a staff member to comply with his/her obligations under the UN Charter, the financial and staff regulations and rules or other relevant administrative issuances or to observe the standards of conduct expected of an international civil servant. Only when the Organization is made aware of the misconduct can it act to address the wrongdoing.

Staff members have a duty to report breaches of the Organization's regulations and rules and to cooperate with duly authorised audits and investigations and should therefore not be retaliated against for

complying with these duties. Bear in mind that reports of misconduct must be made in good faith. Those who file an intentionally false or misleading report may be subject to disciplinary action.

ADVICE AND GUIDANCE

- You may receive reports of misconduct or grievances and requests for investigations. **Do not ignore complaints and concerns.** If you can, address the matter directly or within your office. If you would like outside help, notify OIOS (or other bodies authorized to conduct investigations and inquiries). It is better to involve the experts rather than ignore the problem. Should a staff member complain about unfair treatment by you, immediately notify OIOS or the Office of Human Resources Management (OHRM) and allow them to handle the internal fact-finding. This will protect both you and the staff member(s) involved.
- Everything you say and do is perceived as the UN speaking and acting. **You must not solicit, accept or follow instructions from governments, including your home country. You must not give or accept gifts or honours from governments.**
- If a representative of a Member State contacts you, for example, regarding filling a vacant position in your office or that of another office, you should politely advise the representative that anyone who wishes to work for the UN must follow the formal application procedures via the Careers Portal. It is essential that you **respect the integrity of the hiring and recruitment processes.**
- Your off-duty, personal or social conduct reflects on the UN. The UN has strong policies regarding sexual conduct and use and abuse of alcohol and drugs, including in UN field missions. **Be extremely careful in your use of social media and social networks.** Use discretion in any remarks that could be interpreted as public statements or commitments made on behalf of the UN⁵.
- If you have any questions related to UN values or the responsibilities of Senior Leaders, you should **contact the Ethics Office directly.** The Director of the Ethics Office conducts a separate, confidential briefing for newly-appointed Senior Leaders so that you gain a better understanding of the expectations of you as an international civil servant and UN staff member.

MANAGING CONFLICT OF INTEREST

A conflict of interest occurs when your private interests interfere – or appear to interfere – with the interests of the UN. A conflict of interest can be a high-risk situation, with potential or significant detrimental effects on the reputation of the Organization. It is essential for all staff to deal with third parties in ways that avoid even the appearance of a conflict between personal interests and those of the UN. You should act based on the UN's needs, rather than your own interests, the interests of family or friends, or a Member State's interests. You are expected to arrange your private affairs in a manner which allows you to maintain your loyalty to the UN first.

KEY QUESTIONS

- i. **How could my personal relationships potentially lead to a conflict of interest? How can this be avoided?**

Personal relationships at work can lead to preferential treatment, or the perception of preferential treatment. To avoid such a situation, UN appointments are not granted to anyone who is an immediate family member of a staff member. While the spouse of a staff member may be hired, the staff member cannot participate in their spouse's recruitment process, and there can be no subsequent supervisory relationship between them or ability for one to influence the other's terms of conditions of employment.

- ii. **I have received a gift from a government or vendor for the holiday season - what should I do?**

As a rule, you may not accept any honours, decorations, favours, remunerations or gifts from government sources. However, if refusal of an unanticipated gift would cause embarrassment to the Organization, you may accept it on behalf of the Organization, but you may not keep it. You should immediately report it to the Secretary-General via your executive office, who will handle/dispose of the gift as appropriate.

The receipt of gifts or honours from outside organizations may be permitted with prior approval of the Secretary-General, but such approval is extremely rare. Accepting gifts from a person or entity doing business with the UN or seeking to have any sort of contractual relationship with the UN constitutes a conflict of interest and is strictly forbidden. Meals, tickets and travel expenses from UN vendors and contractors are also prohibited.

The rules around receiving gifts are strict for all UN staff members because accepting gifts (honours or other tokens of appreciation) can impact, or be perceived to impact, on your independence and impartiality. Such situations may compromise both your integrity and the UN's reputation. The acceptance of a gift can create a conflict of loyalties or raise expectations from the giver of the gift. Similarly, you may not offer anything of value, such as gifts, favours, or other personal benefits, to other staff members or to third parties if by doing so you are trying to influence the recipient's official actions.

iii. Am I allowed to serve on a charity? Can I speak on a panel at my local university?

Outside employment and external activities, paid or unpaid, may interfere with your ability to serve the UN. More importantly, some external activities are incompatible with your status as an international civil servant, or conflict with the best interests of the Organization. For these reasons, outside employment and external activities are only allowed with prior approval from the Secretary-General, through your executive office.

You can generally participate in local community, civic or charitable activities without the Secretary-General's permission, provided that you are certain that they do not conflict with your status as an international civil servant. Likewise, outside activities which are beneficial to both you and the Organization, such as the development of professional and technical skills, are encouraged.

If you are unsure whether or not the activity you wish to participate in will interfere with your status as an international civil servant or not, you should consult with the Ethics Office.

iv. Am I allowed to enter into a partnership between my department and a private sector organisation?

Relationships with donors or private sector organizations can create real or perceived conflicts of interests, particularly when the role of the UN and its staff is unclear. The UN's reputation rests not only on your actions and decisions, but also on the actions of partners with whom we accomplish our mission.

When discussing a potential partnership with an external entity, it is prudent to establish the terms of the relationship in a written document so that the parties concerned are fully aware of their respective roles, responsibilities and obligations. The Office of the Controller and the Office of Legal Affairs should be consulted on the development of any such document.

v. Can I continue to work with my local political party?

As an international civil servant, you are not expected to give up your political or religious convictions. However, your primary loyalty is to the objectives and purposes of the UN. As a result, you must avoid political activities that could reflect adversely on the UN, or diminish your independence and impartiality. As an international civil servant, you do not have the freedom that private persons have to take sides or to express your convictions publicly on controversial matters. Consequently, you should avoid promoting national political positions or displaying endorsements of political candidates while at work.

vi. Why am I expected to disclose my assets, liabilities, outside activities and affiliations?

The UN Financial Disclosure Programme applies to staff at the D-1 level and above, as well as a number of other staff⁶. The programme aims to identify, resolve and mitigate conflict of interest situations arising from staff members' (and their family members') financial assets, liabilities, investments and outside activities. This may include advising staff members to divest themselves of holdings, or to recuse themselves from a particular activity or aspect of their official functions. The Secretary-General strongly encourages your participation in the annual Voluntary Public Disclosure programme to promote transparency and demonstrate accountability to Member States.

ADVICE AND GUIDANCE

- If friends and acquaintances ask you about UN employment, refer them to the Careers Portal and tell them to **follow the application procedures**. If you are asked to recommend someone you have worked with previously – whether in the context of hiring a consultant or staff, or for procurement purposes – you should be sure to give full disclosure. Lastly, you should not request a hiring manager to look out for the application of a colleague or friend, and, if you are requested to participate in a selection panel, you should disclose immediately any relationships you have with the candidates.
- You (and your assistant) should be familiar with the **rules governing outside activities, including service on boards and panels, and membership in outside organizations**. Any invitations to serve as an official or expert with an outside organization (other than purely personal, charitable or social activities) **must be approved in advance** by the Secretary-General via the Chef de Cabinet's office.

- You should ensure that **your staff are aware of the rule regarding gift giving and receiving**. Similarly, vendors and contractors should also understand the strict restrictions regarding gift giving. Awards from external bodies, for recognition of your department's work, for example - even if non-financial/material - are considered to interfere with your ability to maintain an impartial relationship with the body giving the award. Exceptions can be made with authorization from the Secretary-General, but exceptions to these rules are rare.
- As a Senior Leader, you must take care to decide whether a pro bono contribution from a private sector company would create a conflict of interest or expose the UN to reputational harm. You should **consult early on with the Ethics Office** in this regard.
- Although the UN respects your privacy, **actions of your family members can create a conflict of interest (actual and perceived)** and other reputational risks. Please be especially aware of, and seek advice regarding, how to handle the following:
 - Relatives who are staff members of UN system organizations
 - Financial investments in the name of your spouse and/or children
 - Your spouse's and/or children's employment or affiliation with Member States, certain NGOs⁷, and current or potential vendors.

CREATING A HARMONIOUS WORKPLACE

The UN is committed to creating and maintaining a harmonious workplace environment, where we work together and are treated with dignity. As a Senior Leader, you play a particularly important role in this regard: you can contribute by treating colleagues, clients, and others with fairness, tolerance, respect and courtesy, and by encouraging those around you to do the same.

Tolerance and understanding are basic human values and the right of others to hold different points of view and follow different cultural norms must be respected. This requires a willingness to work without bias with persons of all nationalities, religions and cultures. Freedom from discrimination is a basic human right, and international civil servants are expected to respect the dignity, worth and equality of all persons.

KEY QUESTIONS

i. What are my ethical duties and obligations?

Managers are expected to:

- Lead by example and affirm the need to follow UN regulations, rules and policies that govern our work.
- Encourage staff to ask questions and to get advice before they act.

- Listen attentively when staff members raise ethics-related questions and concerns.
- Take prompt action to respond to questions and correct problems.
- Foster an environment of trust, in which staff members can speak up without fear of retaliation.
- Seek advice when unsure how to proceed.

ii. What are the UN guidelines on non-discrimination?

At the UN, discrimination is any unfair treatment or arbitrary distinction based on a person's race, sex, religion, nationality, ethnic origin, sexual orientation, disability, age, language, social origin or other status. Discrimination may be an isolated event affecting one person or a group of persons, or may manifest itself through harassment or abuse of authority. All forms of discrimination are prohibited.

iii. What are the UN guidelines on harassment and abuse of authority?

Behaviour that is offensive and unwelcome or unreasonably disrupts another person in his or her work is harassment. The UN does not tolerate harassment or abuse of authority.

- **Workplace harassment:** Workplace harassment is any inappropriate conduct, including words or actions that can reasonably be expected to cause offence or humiliation to another person. Disagreement about work performance is normally not considered harassment, and is to be dealt with in the context of performance management⁸.
- **Sexual harassment:** Sexual harassment is any unwelcome sexual advance, request for sexual favour, or any other behaviour of a sexual nature that can reasonably be expected to cause offence or humiliation to another person.
- **Abuse of authority:** Abuse of authority is the improper use of a position of influence, power or authority against another person. This is considered particularly serious when a person uses their influence, power or authority to improperly influence another person's career or employment conditions.

ADVICE AND GUIDANCE

- **Do not ignore concerns raised about reports of misconduct or grievances and requests for investigation.** Remember that your oath is a personal one, and comes with responsibilities. Adherence to the oath and the rules is not contingent upon others' behaviour. As a Senior Leader, it is your responsibility to **encourage proper behaviour in others, and to report misconduct promptly**. Always seek advice from the Ethics Office if you are unsure or have any questions.

- **Ensure that transparent, regular dialogue takes place between management and staff.** Be aware of your own behaviour, and consider how others could interpret your words or actions. **Show respect for, and understanding of, diverse points of view.**
- When evaluating job applicants, think about who will fit best with your team in terms of job-related criteria – **experience, skills, work style** – is appropriate.
- Take **immediate action** if you become aware of any alleged, unfair treatment relating to your staff. Colleagues should not be deliberately left out of communication, meetings or projects without just cause.
- **Treat all employees, contract workers, customers, vendors, and visitors with respect,** courtesy and dignity. Do not make unwelcome, insulting or offensive remarks or take unwelcome, insulting or offensive actions. If one of your comments or jokes offends someone else, it may be seen as harassment.
- To maintain a work atmosphere free from harassment, **exercise good judgement in your relationships** with co-workers and others in the workplace.

INTERNAL OVERSIGHT AT THE UNITED NATIONS

KEY QUESTIONS

i. What is the Office of Internal Oversight (OIOS)?

The Office of Internal Oversight Services (OIOS) is the internal oversight body of the UN. Established by the General Assembly, the Office assists the Secretary-General in fulfilling his oversight responsibilities with respect to the Organization's resources and staff through the provision of audit, investigation, inspection, and evaluation services. OIOS is mandated to provide oversight to the UN Secretariat in New York, Offices Away from Headquarters, regional commissions, field missions, humanitarian operations, and to assist funds and programmes administered under the authority of the Secretary-General.

ii. What are the main functions of OIOS?

To carry out its work, the OIOS is organised into the following functional units:

- **Internal Audit Division:** assesses the adequacy and effectiveness of internal controls for the purpose of improving the Organization's risk management, control and governance processes. The division focuses on the integrity of financial and operational information;

compliance with regulations, rules, policies and procedures, and safeguarding of assets. It also identifies opportunities for more economical and efficient use of resources.

- **Inspection and Evaluation Division:** assesses the relevance, efficiency, and effectiveness (including impact) of the Organization's programmes in relation to their objectives and mandates. Inspections review an organizational unit, issue or practice perceived to be of potential risk.
- **Investigations Division:** establishes facts related to reports of possible misconduct to guide the Secretary-General on jurisdictional or disciplinary action to be taken. OIOS can investigate reports of possible misconduct that come from programme managers, staff members or persons outside of the Organization. OIOS is also mandated to initiate proactive investigations to assess the risk to the Organization of a potential fraud and other contraventions through analysis of systems control in high risk areas. As such, it is mandated to have direct access to records, data, sites and staff without any hindrance or need for prior clearance. It can also initiate its own proactive investigation to assess the potential for fraud and other violations¹⁰.

iii. Is OIOS independent?

The General Assembly established OIOS as operationally independent under the authority of the Secretary-General in the conduct of its duties and, in accordance with Article 97 of the Charter of the UN¹¹. The operational independence includes: the authority to initiate, carry out and report on any action which the Office considers necessary; the ability for the Office to submit reports directly to the General Assembly; the direct and confidential access of UN staff members to the Office and their protection against repercussions; and the provision of adequate resources to carry out its duties.

iv. Are managers required to cooperate with OIOS?

Yes, the relevant Secretary-General's Bulletin¹² notes that OIOS shall "discharge its responsibilities without any hindrance or need for prior clearance," and moreover that OIOS staff:

shall have the right to direct and prompt access to all persons engaged in activities under the authority of the Organization, and shall receive their full cooperation. Additionally, they shall have the right to full access to all records, documents or other materials, assets and premises and to obtain such information and explanations as they consider necessary to fulfil their responsibilities.

v. What is the follow-up for recommendations issued by OIOS?

OIOS follows up on all critical recommendations on a quarterly basis, and all important recommendations on an annual basis. Information regarding past-due recommendations is included in OIOS's annual report to the General Assembly and in quarterly activity reports, which are shared with the senior management. Compliance with implementation of recommendations by target dates is also reported in senior managers' Compacts with the Secretary-General.

vi. Can a department/office request an audit or an inspection or evaluation?

Yes, departments/offices may request an audit, inspection or evaluation at any time. While OIOS bases its workplan on risks, all requests will be taken into consideration during this process.

vii. What is the difference between external and internal auditors?

External auditors (BOA) generally issue opinions on financial statements, whereas internal audits (OIOS) generally examine internal controls, governance and risk management and make recommendations for improvements in efficiency and operational effectiveness.

viii. What can managers do to enhance the value of an audit?

To enhance the value of an audit, management can: adopt a proactive approach towards the auditing process; provide in-depth information and knowledge of operations, critical business processes, risks and mitigating factors; validate the accuracy of information gathered and its interpretation; and provide feedback on the practicality and cost-effectiveness of recommendations.

ADVICE AND GUIDANCE

- The responsibility for internal control and risk management lies with programme managers. All managers must **ensure that appropriate controls are in place to mitigate risks** to the Organization¹³.
- Ensure that all instances of waste, fraud, mismanagement, and other types of misconduct are promptly reported to OIOS.
- Actively participate in identifying high risk areas for audits and/or inspections or evaluations during risk assessment and workplan exercises by OIOS.
- Full cooperation with OIOS during an audit, inspection, evaluation or investigation is absolutely essential.

- Timely implementation of OIOS recommendations is critical to ensuring that risks to the Organization are minimized.
- While OIOS reports are generally issued to the head of the department/office, senior managers are encouraged to share the results of audit, inspection and/or evaluation reports with staff at large as a lessons learned and/or best practice sharing opportunity, and to help ensure that control weaknesses in one area or unit are not replicated in another area.

EXTERNAL OVERSIGHT AT THE UNITED NATIONS

i. What is the Joint Inspection Unit (JIU) of the UN system?

The Joint Inspection Unit (JIU) is the only independent external oversight body of the UN system mandated to conduct evaluations, inspections and investigations system-wide. According to the JIU statute, inspectors have the broadest powers of investigation in all matters having a bearing on the efficiency of services and proper use of resources and may make on-the-spot inquiries and investigations. They are also mandated to inspect and evaluate the activities of the participating organizations and make recommendations aimed at improving management and methods and at achieving greater coordination among those organizations¹⁴.

ii. What is the JIU's purpose?

- Assist the legislative organs of the participating organizations in meeting their governance responsibilities in respect of their oversight function concerning management of human, financial and other resources by the secretariats.
- Help improve the efficiency and effectiveness of the respective secretariats in achieving the legislative mandates and the mission objectives established for the organizations.
- Promote greater coordination between the organizations of the UN system.
- Identify best practices, propose benchmarks and facilitate information-sharing throughout the system.

Some examples of the work of the JIU inspectors include:

- Inspecting, evaluating, and investigating the operations of organizations
- Conducting risk management analyses

- Examining opportunities for programme delivery improvement
- Increasing coordination and harmonization among organizations
- Assisting agencies in simplifying their administrative and management rules and procedures
- Assessing and advising organizations on their internal oversight mechanisms¹⁵.

iii. What is the United Nations Board of Auditors (BOA)?

The Board of Auditors is responsible for the audit of 24 UN organizations. By Resolution 74 (I) of 7 December 1946, the General Assembly established the BOA to:

audit the accounts of the United Nations organization and its funds and programmes and to report its findings and recommendations to the Assembly through the Advisory Committee on Administrative and Budgetary Questions. For this, the General Assembly appoints three members, each of whom must be the Auditor-General (or officer holding the equivalent title) of a Member State. The members of the Board have joint responsibility for the audits.¹⁶

The BOA is “completely independent and is solely responsible for the conduct of the audit. The Advisory Committee on Administrative and Budgetary Questions may, however, request the Board to perform certain specific examinations and issue separate reports on the results.”¹⁷

What is the Panel of External Auditors?

The Panel of External Auditors of the United Nations, the Specialized Agencies and the International Atomic Energy Agency was established by General Assembly resolution 1438 (XIV). It consists of: (a) the members of the UN Board of Auditors; and (b) the external auditors of the specialized agencies of the UN and of the International Atomic Energy Agency. The main objectives of the Panel are to further the coordination of the audits for which its members are responsible, and to exchange information on audit methods and findings.

ANNEX ONE: SOURCES OF SUPPORT

i. Ethics Office

Provides advice and guidance on professional ethics standards and conflicts of interest, such as:

- Maintaining independence and impartiality
- Conflicts of interest
- Use of UN resources
- Acceptance of gifts, honours, favours or awards
- Outside activities and outside employment
- Political activities
- Post-employment restrictions
- Personal financial investments and assets.

The Director of the Ethics Office offers confidential induction briefings for Senior Leaders. In addition, the Ethics Office can provide customized training and education programmes for departments/offices upon request.

The following additional resources are available to all staff members, by contacting the Ethics Office at ethicsoffice@un.org, or via the Ethics Office website, www.un.org/en/ethics:

- *Putting Ethics to Work: A Guide for UN Staff*
- *The Roadmap: A Staff Member's Guide to Finding the Right Place*

In addition, you may always visit, call or write to the Ethics Office

United Nations Ethics Office
Daily News Bldg.
220 42nd Street, 25th Floor
New York, NY 10017 USA
+1-917-367-9858

ii. Office of Internal Oversight Services

The Office of Internal Oversight Services (OIOS) investigates:

- Serious/complex fraud or criminal activity
- Sexual exploitation and abuse
- Waste of substantial resources
- Entitlement fraud
- Gross mismanagement
- Procurement violations
- Prohibited conduct, including sexual harassment by senior staff members
- All cases involving risk of loss of life to staff or others, including witnesses.

iii. Office of the Focal Point for Women

The Office of the Focal Point for Women provides informal counselling to all staff on gender-related grievances, such as:

- Conditions of service
- Discrimination
- Staff selection
- Harassment
- Abuse of power.

The Office also coordinates with the departmental focal point system and provides advocacy and assistance in the formulation of gender-related politics and practices e.g. gender strategy, harassment including sexual harassment, or flexible working arrangements.

iv. Departmental Focal Points for Women

Departmental Focal Points for Women support heads of department by:

- Providing advocacy and counsel to female staff
- Promoting awareness of gender issues
- Monitoring and contributing to the realization of gender targets
- Monitoring the staff selection process to ensure gender balance.

v. Head of department, office or field mission

Heads of department, offices and field missions have the responsibility for undertaking preliminary investigations related to:

- Entitlement fraud
- Simple thefts
- Basic mismanagement issues
- Misuse of UN assets, including human, financial, material
- Infractions of regulations, rules or administrative issuances
- Assault upon or threats to other staff members
- Financial loss resulting from gross negligence
- Acts of discrimination, harassment, including sexual harassment, and abuse of authority.

vi. Conduct and Discipline Teams

Conduct and Discipline Teams receive reports of all allegations of misconduct by all categories of UN peacekeeping personnel, including acts of sexual exploitation, and advises and transmit them to the appropriate bodies for investigation. All sexual exploitation and abuse allegations will be referred to the Investigation Division of OIOS.

ENDNOTES

- 1 This chapter should be read in conjunction with "Chapter 6 - Human Resources".
- 2 See ST/SGB/2013/3 and ST/SGB/2013/1 Amend.1
- 3 All staff issued a Letter of Agreement (LOA), including: Junior Professional Officers (JPOs), field service and general service and related staff, staff on "When Actually Employed" basis, "\$1 a year" contracts. This can also include force commanders, military and police commissioners and advisers. Also covered are those staff on inter-organization agreements for loans, transfers and secondment. In some cases, officials on secondment from government service may also be on a LOA. UN Volunteers (UNVs) must abide by a code of conduct. "Regulations Governing the Status, Basic Rights and Duties of Officials other than Secretariat Officials and Experts on Mission" include a section on conduct. General conditions of contracts for consultants and contractors includes a provision that contractors shall "conform to a high standard of moral and ethical conduct". UN peacekeepers (Blue Helmets) are issued a code of personal conduct.
- 4 Additional information on being an international civil servant can be found in "Chapter 1 – The United Nations Charters and Principal Organs."
- 5 For additional guidance on use of social media, refer to "Chapter 9 - Internal and External Communications".
- 6 Staff who are subject to the programme will be notified directly
- 7 Applicable to organizations only for those cases where a situation of conflict of interest may arise.
- 8 For more information on the performance management system, refer to "Chapter 6 - Human Resources".
- 9 OIOS mandate is outlined in GA resolutions 48/218B, 54/244, ST/SGB/273.
- 10 Detailed information on the Investigation's Division's processes and legislative basis can be found in the Investigations Manual on the OIOS website: http://www.un.org/Depts/oios/pages/oversight_manuals.html.
- 11 See General Assembly resolutions 48/218 B, 54/244 and 59/272.
- 12 See paragraph 4 of ST/SGB/273 on the establishment of OIOS.
- 13 The Secretary-General in his report, "Investing in the United Nations for a stronger Organization worldwide: detailed report: accountability" (A/60/846/Add.6), stresses effective internal control as a requirement for effective measurement of programme delivery and achievement of results. The report furthermore lists the key components. This was reiterated in the context of the accountability framework in A/64/640 "Towards an accountability system in the United Nations Secretariat". The key components of internal control are: the control environment, risk assessment, control activities, information and communication, and monitoring
- 14 <https://www.unjui.org/en/Pages/default.aspx>.
- 15 Ibid.
- 16 <http://www.un.org/en/auditors/board/index.shtml>.
- 17 Ibid.



HUMAN RESOURCES

"I believe that the best way to prepare for the future is through leveraging talent - by capitalising on and enhancing the skills of our workforce through training and developing our staff"

Catherine Pollard
Assistant Secretary-General
for Human Resources Management

HUMAN RESOURCES MANAGEMENT AT THE UNITED NATIONS

The Organization's greatest resource is its workforce. It is also its most costly resource, representing 70 per cent of the regular budget (including special political missions) and around 25 per cent of the peacekeeping support account, peacekeeping mission budgets and extra-budgetary resources¹. The Secretariat now has over 44,000 international civil servants, with over half serving in field locations, and many performing highly specialized functions². The Secretariat has an increasing need for multi-skilled, versatile and mobile staff, able to work across occupational groups, enabling the Organization to respond in an integrated, dynamic manner to diverse new challenges.

Human Resources Management (HRM) is governed by General Assembly resolutions and decisions of the International Civil Service Commission on the common system of salaries and allowances. The Secretary-General reports to the General Assembly biennially on HRM matters. The Office of Human Resources Management (OHRM), in the Department of Management, is the central authority for matters pertaining to HRM in the UN. OHRM plays a strategic role in attracting, developing and retaining highly motivated staff. It develops and maintains the HRM infrastructure through policy and system development. In addition, each department (and many offices) at Headquarters in New York has an executive office, while offices outside New York have administrative/human resource offices to assist managers in carrying out their HRM functions. A Secretary-General's Bulletin outlines the organization and functions of OHRM³, and a bulletin for departments/offices also outlines how HRM should be managed within those entities. The Field Personnel Division (FPD) in the Department of Field Support supports all aspects of HRM in peacekeeping operations and field-based special political missions through daily interaction with the human resources sections in UN field missions.

KEY QUESTIONS

i. What is talent management?

HRM in the UN is based on the concept of talent management, which is a set of mechanisms and tools designed to link staffing with career support, performance management and learning, for a single integrated global workforce. The talent management framework aims to strengthen internal capacity to plan, execute, monitor and report on issues related to staffing.

ii. What is *Inspira*?

Inspira is the technological tool supporting the talent management framework. It includes different functionalities for staffing and recruitment, job applications, performance appraisal and learning. *Inspira* is continuously under expansion, and will eventually be integrated with *Umoja*, the Enterprise Resource Planning software that will integrate all the UN's business processes that manage financial, human and physical resources. All staff members can log into *inspira* using their index number.

iii. What is the UN “common system”?

The term “common system” is shorthand for the UN common system of salaries, allowances and other conditions of service. Its origin can be traced to the relationship agreements concluded between the UN and the specialized agencies. While the wording of these agreements varies, most of them carry language to the effect that it is agreed to develop common personnel standards, methods and arrangements designed to avoid serious discrepancies in terms and conditions of employment, to avoid competition in recruitment of personnel and to facilitate the interchange of personnel. The International Civil Service Commission is the independent expert body established by the UN General Assembly to regulate and coordinate the conditions of service of staff in the UN common system while promoting and maintaining high standards in the international civil service⁴. The term should not be confused with the “UN system” which is described in further detail in Chapter 4.

iv. What kinds of HRM reforms are being discussed and implemented?

The following are recent HRM reform initiatives:

- Contractual reform, which simplified the system of contracts so that each appointment (temporary, fixed-term and continuing) is governed by the same set of human resources regulations and rules. Staff are eligible to be considered for a continuing appointment after a minimum of five years of continuing service⁵, taking into consideration performance ratings and remaining years of service. There is, however, a limited number of continuing appointments available.

- Harmonizing conditions of service between Headquarters and the field so that all staff are treated equally and barriers to moving between duty stations are reduced.
- Reforming the professional entry-level programme, now called the "Young Professionals Programme" (offered for P-2 entry positions to un- and under-represented Member States), to include more opportunities for professional development such as rotation to a different duty station.
- Promoting mobility and career development to deliver a dynamic, global and adaptable workforce⁶.

v. What HRM authorities do I have?

Examples of authority of heads of department/offices include:

- Recruiting and selecting staff
- Assisting staff members to any activity within the department/office
- Requiring staff members to work overtime
- Approving advance annual leave or delayed home leave.

ADVICE AND GUIDANCE

- Senior Leaders must make decisions within the parameters of their HRM authorities. When they do not, the UN's internal justice system may rule against them, reverse the decision, and order compensation, which exposes the Organization to financial liability. The justice system may also refer managers to the Secretary-General to enforce personal accountability. You should **familiarize yourself with the information contained in Annex IV of ST/AI/234/Rev.1**. See also "Chapter 5 - Ethics, Accountability and Oversight".

BEING ACCOUNTABLE FOR HUMAN RESOURCES MANAGEMENT

Heads of departments/offices (and field missions) are held accountable via their Compact with the Secretary-General⁷, which contains targets on a range of issues - including HRM.

The Compact includes six strategic HRM indicators, contained in what is called the HRM "Scorecard". These are: recruitment timeline, vacancy rate, geographical representation, female representation (all staff), female representation (senior), and compliance with security training. The Scorecard also contains several indicators used to monitor compliance with other HRM policies and practices

(e.g. increased training for staff, compliance with performance management processes, and use of flexible work arrangements). The Scorecard is one piece of the Secretariat's overall accountability and planning framework.

The six strategic indicators are signed off by the head of department/office at the beginning of each performance management cycle and are reported, at the end of the cycle, to the Management Performance Board⁸.

The majority of strategic indicators relate to selection and appointment of staff. The guiding principle is Article 101 of the UN Charter, which mandates that we seek the highest standards of efficiency, competence and integrity among staff, with due regard for geographical representation⁹.

The current staffing processes are described in an Administrative Instruction (AI) on the "Staff Selection System"¹⁰. The head of department/office, who makes the selection decision¹¹, and hiring managers, who conduct the bulk of the process, play the largest role. The staffing system contains checks and balances. As a head of department/office, you must abide by the agreed processes. You are accountable for the fairness and transparency of each staffing process in your department/office.

Your executive office can assist you with the staffing process for regular and temporary job openings. The main steps are as follows:

- Advertisement (currently, as per General Assembly mandate, all advertised positions at Headquarters are open to internal and external applicants and advertised for 60 days)
- Eligibility screening
- Substantive assessment
- Competency-based interview (panel members must be at the same or higher level as the vacant position)
- Review by a central review body (CRB - a staff-management entity made up of staff members outside your department/office that assesses compliance, fairness and transparency)¹²
- Selection by head of department/office (this is an opportunity to ensure that the process was fair and that you are meeting your Compact objectives (e.g. gender parity at all levels).

KEY QUESTIONS

i. Where can I get assistance in reaching my HRM targets?

OHRM develops policy and provides procedural guidance to departments/offices on HRM matters. The executive office of your

department/ office provides technical support in meeting your staffing requirements, for example through guiding the process of post advertisement, and identifying suitable candidates from the rosters¹³.

ii. Where is the biggest delay in the staffing process?

The biggest delay is in the evaluation of candidates. This is the responsibility of the hiring managers in your department/office. It is important that you encourage hiring managers to proceed expeditiously with the review of eligible candidates.

iii. How can I improve gender representation?

The Secretariat has put in place measures to help increase the number of qualified female applicants and to help women advance in their careers once on board. The Departmental Focal Points for Women advise selection panels and heads of department/offices on activities or conditions that help to recruit and retain women.

iv. The staff recruitment process takes a long time. Is there not a faster method?

Recruitment in the UN can take some time (the current target is 120 days), but for speedier recruitment, you may select a candidate from a pre-approved roster¹⁴. The roster is a pool of assessed candidates that have been reviewed and endorsed by a central review body and who are available for selection against a vacant position. There is also an expedited process for temporary positions (i.e. when there is an opening for less than one year due to, for example, maternity leave or need for urgent assistance).

v. Can I move staff around in my department/office to put the right skills in the right places?

You have the authority to transfer staff within your department/ office to another position at the same level, but this must be done in consultation with the staff member concerned, as well as the releasing and receiving offices. Your decision must be made in good faith, be transparent and in the best interests of the department/office.

vi. I know a great person who I'd like to work with. Can I hire him/her?

Yes – but only if they prove to be the best candidate for the position, in an open and transparent process, where candidates meet the academic and professional experience requirements and compete with other eligible candidates.

ADVICE AND GUIDANCE

- While human resources management must always be undertaken in accordance with the relevant rules and policies, in some areas, decisions are at the discretion of the manager. Make sure that your managers exercise their discretion appropriately and that your department/office's **approach is consistent with rest of the Organization**. If in doubt, seek the advice of your executive office or human resources office.
- The HRM system is complex and takes some time to understand; **consult your executive office or OHRM** when you are unsure of how to proceed.
- You will need to demonstrate to the Secretary-General that you are addressing unmet targets by taking a **highly pro-active approach** to your work. This may be through specific initiatives in your department/office or through collective action at the interdepartmental level (e.g. Policy Committee, Management Performance Board).
- Candidates must disclose any family relationships with staff members of the UN system on their personal history profile or *inspira* application; you should **be careful about mixing family ties with work**. The spouse of a staff member may be recruited when:
 - S/he is fully qualified for the position
 - S/he is not given preference by virtue of the relationship
 - Neither spouse will supervise the other.
- All documentation, including **anything written in memos or e-mails** is a potential exhibit in litigation; documentation is never private. Ensure that all selection processes are truly fair and transparent, and that the due process rights of all candidates scrupulously observed and reflected in all documentation.

WORK-LIFE BALANCE

The Organization is increasingly encouraging and promoting flexible work arrangements (FWA) to support better work-life balance. FWA in the UN can take four forms:

- Staggered working hours
- Work away from the office (telecommuting)
- Compressed work schedule (10 working days in 9)
- Scheduled break for external learning.

FWA are intended to assist staff members to achieve optimal performance by balancing the demands of work with personal needs. They are not, however, an entitlement. The manager has the discretion about whether to permit FWAs, and much depends on the nature of the work.

Managers and staff are encouraged to explore opportunities for their teams to revisit working procedures and internal communications, and to identify more efficient ways of delivering mandates.

ENCOURAGING HIGH PERFORMANCE

Learning and Career Support

In the Secretariat, career support is founded on the basis of a partnership approach between the staff member, the manager and the Organization. As a Senior Leader, you play a critical role in facilitating the learning and career support needs of staff, to help them acquire the skills and experiences they need to serve in different functions and duty stations in the Organization.

In recognition of the fact that learning and development enhances the skills, knowledge and competencies of staff, thus contributing to their professional growth, you should ensure that the minimum target of five days for professional development per year is met by all staff members. To this end, encourage managers to release their staff for appropriate learning and development opportunities whenever possible¹⁵.

Mandatory learning programmes are listed on the OHRM staff development webpage¹⁶.

Performance Management

Performance management in the UN aims to ensure optimal performance by clearly communicating expectations, defining roles within a required competency framework and establishing achievable and relevant results.

Heads of departments/offices have the ultimate responsibility for the implementation of the performance management and development system (which recognises the critical role of staff development in achieving high performance). Compliance with the system is included as an indicator in the HRM Scorecard. Senior leadership support for, and promotion of, the performance management system is critical for its success.

Like most organizations, the Secretariat has a set of core values and competencies to guide staff performance and conduct¹⁷. The core values

and competencies provide a basis for consistent and objective performance standards by creating a shared language about what is expected in the Organization. Staff members are evaluated annually on their outputs (results), as well as their demonstration of values and competencies.

The performance cycle begins in April and ends in March of the following year, with three phases:

- Start of cycle: All staff and managers complete their work plans
- Mid-cycle: All staff and managers hold a mid-point review
- End-of-cycle: All managers evaluate their staff.

Management training

All staff with supervisory/managerial responsibilities must attend a one-day training on performance management. Additionally, managers at the P-4 and P-5 level must attend the Management Development Programme and Senior Leaders (D-1 and above) must attend the Leadership Development Programme.

KEY QUESTIONS

i. What is my role in staff development?

Instil a culture of learning and professional development. **Ensure all managers are implementing the five-day professional development target for their staff.** Do not allow managers to block relevant learning activities. Be aware of the approval mechanisms for training in your department/office and ensure that training opportunities are available equally to all staff.

ii. My department/office has minimal training funds. How can I develop staff?

You should encourage managers to think of learning and development in the broadest sense, including self-study, professional reading, e-learning, face-to-face workshops, seminars, team projects, networking, videoconferencing, participation in communities of practice and occupational/functional networks, "cross-training" (job shadowing of colleagues in other sections), and on-the-job training and assignments. The OHRM Learning and Development website has a number of on-line and other learning resources.¹⁸

iii. How can I link performance management and career development?

As a Second Reporting Officer, ensure that First Reporting Officers - including Directors and others reporting directly to you - are fulfilling

their responsibilities, including coaching their staff members for career support opportunities. Your managers should also be evaluating staff fairly and in a timely fashion, reflecting their skills, potential, and areas for development. In addition, your senior management team should be examining strategic HRM issues for the department/office, such as staff development, career support, training, and succession management. The senior management team also provides guidance on recognition of successful performance or addressing performance shortcomings. Ensure your senior management team devotes an annual meeting to performance management and staff development.

iv. Why does it matter if an individual and his/her manager do not complete some performance management processes?

Apart from the fact that such a staff member will not be performing optimally, bear in mind that approximately 30 per cent of cases that go to the formal justice system and 20 per cent of those dealt with by the Ombudsman and Mediation Services are related to performance management. Managers, and heads of offices, are held accountable for not completing workplans, mid-point reviews, or evaluations on time. There is also a link between performance reporting and continuing appointments.

v. What is my role in handling underperformance?

Handling underperformance is a challenge for all managers and the active and robust support of senior leadership is critical. Many managers do not deal adequately with underperformance because of lack of senior leadership support. Situations of underperformance can easily escalate into conflicts between the staff member and manager involved, often resulting in protracted disputes and loss of productivity. Senior Leaders must be aware of any brewing conflicts and ensure that such conflicts do not escalate and impact the work of the office and your department/office's reputation.

vi. Does the UN provide management training?

All staff with supervisory/managerial responsibilities must attend a one-day training on performance management. It is critical that the head of department/office ensures that managers attend such training, as the research shows that people "join organizations and they leave managers". Additionally, managers at the P-4 and P-5 level must attend the Management Development Programme, while senior managers (D-1 and above) must attend the Leadership Development Programme.

ADVICE AND GUIDANCE

- At the beginning of cycle, heads of departments/offices must ensure that the mandate or **priorities of the department/office are communicated to all staff**. This is a major motivating factor for staff and can even help reduce staff/manager frustration and legal liabilities.
- At each stage of the cycle, send out communications to all staff instructing them to comply with the performance management processes¹⁹. Such communications should also promote **ongoing feedback and dialogue between staff and managers**. Conduct follow-up actions to verify that all staff and managers are complying (e.g. through individual e-mails). Remind managers that if they subsequently encounter a problem of underperformance, dealing with it will be harder if there was non-compliance with the basic requirements.
- Many cases involving underperformance that end up in the internal justice system are lost due to lack of documentation to defend managerial actions (e.g. separation for unsatisfactory performance). You should remind managers to **document all instances of underperformance** and to submit clear proof that all good faith managerial efforts were made to bring the staff member's performance up to par. Always seek the advice of your human resources chief because the policy and law governing under-performance can be complex.

Most Senior Leaders like to **recognise the good work of staff members**, for example by publicly acknowledge teams or individual staff members in meetings or town halls. Recognition is linked to motivation, which is in turn linked to improved performance.

FORMAL AND INFORMAL DISPUTE RESOLUTION

HRM policies and systems are guided by the Secretariat's core values of integrity, professionalism and respect for diversity, and the principles in the Charter. Leadership is critical for setting the tone, and Senior Leaders are expected to act as role models.

The Secretariat has rules, policies and mechanisms to guide HRM functions²⁰. However, in a large and complex organization, you can rely on partners to help with particular staff needs:

- **Staff Counsellor:** Assists with personal issues, especially of a psychological nature - stress, post-mission distress, family matters or personal issues with drugs or alcohol, or any issues that might interfere with one's ability to focus on work.
- **Ethics Office:** Offers confidential advice to ensure staff carry out their jobs professionally and fairly, avoiding conflicts of interest etc.²¹

- **Ombudsman and Mediation Services:** Provides confidential, off-the-record and impartial assistance to help arrive at informal resolution of concerns and disputes related to UN employment. It also includes a mediation service. Mediation is an informal and confidential process in which a trained mediator assists parties in working towards a negotiated settlement of a dispute. The mediator does not impose a solution, but acts as a facilitator. Both parties have to agree to mediation.
- **Administration of Justice (AOJ):** There is a formal UN internal justice system for resolving employment-related disputes that cannot be resolved in other ways. The formal system includes the Management Evaluation Unit, UN Dispute Tribunal and UN Appeals Tribunal. As a Senior Leader, you will need to understand how the dispute resolution mechanisms – both formal and informal - operate. Please refer to “Chapter 5 - Ethics, Accountability and Oversight”, as well as to this chapter’s annex on Administration of Justice.

KEY QUESTIONS

i. What is my role in addressing improper conduct?

As a Senior Leader, you must ensure the proper management of your department/office. This includes maintaining a workplace free of any form of discrimination, harassment, including sexual harassment, and abuse of authority. When problems arise and informal resolution is not possible or appropriate, such prohibited behaviour should be reported to you; you are responsible for investigating such allegations. Other types of possible misconduct may also be brought to your attention, and are also your responsibility to investigate.

ii. Why does the UN have its own machinery for administering justice?

Staff members are unable to file employment-related claims against the Organization in national courts, in view of the UNs' status as an international organization.

iii. What kinds of cases are dealt with in the internal justice system?

The internal justice system exists to address situations where staff members feel that their rights have been violated and the rules of the Organization have not been respected. The work-related disputes that arise are usually those that occur in any workplace (e.g. contract renewals, equity of treatment, promotion, performance management, discrimination, harassment, disciplinary matters etc.)

iv. What is my role in preventing the escalation of cases to the internal justice system?

You should uphold high standards of conduct, serve as a role model and ensure that your managers follow the rules scrupulously and act fairly at

all times. You should also encourage staff members to first try and solve a dispute through informal channels, and avoid unnecessary litigation. Resolving disputes through negotiation, mediation and other informal means is usually quicker, and often less stressful, cumbersome and expensive than litigation. Pursuing informal resolution does not prevent a staff member from also bringing a matter to the formal, internal justice system.

v. What is the difference between the support provided by the Ombudsman and mediation?

The Ombudsman provides confidential, off-the-record and impartial assistance to staff members. The Ombudsman can informally research the facts of a grievance, which, with the agreement of the staff member, may involve contact with human resources personnel, supervisors or other senior staff.

Mediation brings parties to a dispute around the table to help them settle the dispute. A settlement agreement from mediation is legally enforceable. An Ombudsman/Mediator acts with strict confidentiality and there is no record on file.

vi. When is mediation the best option?

Mediation is always a good option except where there is a case of, for example, sexual harassment and/or a genuine fear of retaliation. It is effective for interpersonal disputes and performance issues. Often, such problems are rooted in poor communication. For example, some staff/managers communicate openly; for others, there are hierarchical concerns. Mediation can help break down these barriers to communication.

vii. What happens if I am summoned as a witness before the United Nations Dispute Tribunal?

If summoned, you must appear before the Tribunal. Answer respectfully, honestly, and be to the point. Seek the advice of the Administrative Law Service in OHRM on how to testify.

ADVICE AND GUIDANCE

- As a Senior Leader you are expected to manage your political work alongside management work. Part of being a good manager is to **actively manage conflict** – actual or potential – that might arise in your department/office to prevent it from worsening. Do not wait for a formal complaint to manage a conflict; an interpersonal dispute can rapidly become a formal harassment/abuse of authority allegation. A case sent

to the Management Evaluation Unit²² or the Tribunal results in loss of productivity. It does not matter if you believe the staff member is wrong – the issue needs to be managed because of the implications for morale, productivity, and cost.

- Managers have a critical role in determining the course of a dispute; you should remember that **informal resolution is always possible**. As a Senior Leader, you should therefore encourage your managers to engage in informal mechanisms. Even if the case has reached the Management Evaluation Unit, there is still scope for settling the matter informally. Any opportunity for settlement should be embraced.
- In the formal justice system, the onus is on the Organization to prove that it acted properly and that due process rights were respected. A guide **summarizing the lessons learned from the jurisprudence of the internal system of justice** is issued periodically and is a useful reference tool; it is recommended that you read these lessons learned²³.
- If in doubt over which direction to take, consult with your partners (Ethics Office, Ombudsman etc.) and, above all, **be guided by the UN values and competencies**. Fundamental issues, such as respect, due process and transparency, are management imperatives and, if disregarded, become a legal liability.
- If your department/office has been the subject of a management evaluation or Tribunal judgment, take the time to analyse it and draw lessons learned. Do a de-briefing with your managers and ask, "What can we do better?" **Start a learning process with your managers** to increase awareness and accountability.

FOSTERING GOOD STAFF-MANAGEMENT RELATIONS

In accordance with the principle of freedom of expression, all staff members may form and join associations, unions or other groups. Heads of department/offices should maintain continuous communication with staff members in order to ensure their effective participation in identifying, examining and resolving issues relating to staff welfare. As a Senior Leader, you have the responsibility to ensure that consultations with staff representatives are carried out in line with the applicable rules.

The functions of staff representatives are official and therefore all the rights, conditions, obligations and immunities apply to them regardless of their status as representatives. No discriminatory or prejudicial action may be taken against members of the staff committees based on their status or activities as staff representatives.

KEY QUESTIONS

i. What is my role in fostering good staff-management relations?

You should meet regularly with staff representatives of your department/office and staff at large. You must provide staff unions with the necessary facilities to enable them to carry out their functions, and ensure the availability of communication equipment, office space, meeting rooms, publishing facilities, notice board space, etc.

ii. When should I consult with staff representatives?

ST/SGB/274 guides the staff management consultation machinery at the departmental or office level. Quarterly meetings should be held by heads of departments/offices with the appropriate unit representatives. Meetings may also be called at 48 hours notice by either side. Issues subject to consultations are those relating to:

- Staff welfare, working conditions and efficiency
- Application of staff rules for which the department or office has delegated authority, including the implementation of policies and recommendations approved by the Secretary-General bearing on the welfare of staff
- Problems or crises within the department/office.

Such issues should affect the entire department/office or a significant number of staff thereof (i.e. not normally individual cases). Where managerial decisions are taken that may have substantial impact for the careers, welfare and working conditions of the staff in the department/office, the staff affected should be informed of any such changes in advance and provided an opportunity for consultation.

It is recommended to retain evidence of all consultations held (e.g. third person present in case of individual consultations; summary notes; any email-follow-up; minutes etc.). Reports of meetings should also be sent to the Joint Advisory Committee. Copies should also be sent for follow-up action to the Assistant Secretary-General for Human Resources Management and, as appropriate, to the Controller and/or Assistant Secretary-General of Conference and Support Services, depending on the subject matter.

iii. What is the Staff-Management Committee?

Pursuant to staff regulation 8.2 and staff rule 8.2(a)(ii), the Secretary-General established the Staff-Management Committee²⁴ as the joint staff management machinery at the Secretariat wide level for the purpose of advising him regarding human resources policies and general questions

of staff welfare as provided in staff regulation 8.1. The Staff-Management Committee is the mechanism for ensuring the effective participation of the staff in identifying, examining and resolving issues relating to staff welfare, in particular such issues as conditions of work, general conditions of life and other personnel human resources policies.

ADVICE AND GUIDANCE

- At the outset, **get to know your staff and the staff representatives** – but let it not be the first and the last time they see you. You and your managers should have regular interaction with staff representatives.
- Avoid calling or e-mailing staff members if you can speak to them face-to-face. In communicating with staff, avoid unnecessarily circumventing the chain of command (e.g. keep your line managers informed and don't create situations where staff members may feel you favour some over others).
- **Use your Chief of Staff and/or Special Assistant** as much as possible – they are knowledgeable about the Organization and can pull people together for you at short notice. They can mediate and bring things to your attention before they escalate and get out of hand. Your front office managers receive a lot of information from the various divisions and departments/offices, which gives them an invaluable perspective.

SUPPORTING STAFF HEALTH AND WELLNESS

In support of total worker health for UN staff worldwide, the UN Medical Services Division (MSD) led by the Medical Director in OHRM, coordinates the system-wide implementation of UN medical standards and health policies, addresses healthcare issues arising from all duty stations globally, and ensures that staff both in the field and at Headquarters locations are physically and mentally fit to perform their duties. The Medical Director also acts as medical advisor to key health-related bodies, including the Advisory Board on Compensation Claims, the Finance Section of the Department of Peacekeeping Operations (DPKO) for compensation claims of military and police personnel, the UN Joint Staff Pension Fund and the Health and Life Insurance Committee, among others. The Medical Director further coordinates health policy with other UN organizations by chairing the UN Medical Directors Working Group.

Excluding facilities of troop-contributing countries in peacekeeping operations, MSD provides technical oversight, support and guidance to approximately 120 health-care facilities in field locations, including dispensaries and civilian clinics in peacekeeping operations, comprising hundreds of doctors, nurses and support

staff. The MSD also participates in generating the list of suitable regional medical centers and advises the International Civil Service Commission on local health conditions.

In the context of emergency preparedness and response, the UN Medical Emergency Response Team (UNMERT) consists of volunteer UN medical professionals who have been pre-trained and are ready to deploy at short notice in response to mass casualty incidents that affect UN personnel and offices world-wide. MSD further provides technical support to all field duty stations to develop, implement and test mission-specific emergency response plans and ensure compliance with the duty stations Mass Casualty Incident management plan.

At Headquarters, a range of health services are available to all New York-based UN staff. This includes basic clinical and mental health support through a walk-in clinic, health education and prevention activities, and workplace occupational health and safety programmes. The Offices Away from Headquarters (OAHs) and regional commissions, and many other duty stations - including several field missions - have similar services in place. Advice on medical issues should always be sought locally from your duty station's medical service. For specific concerns or questions on policies related to physical or mental health issues, contact the UN Medical Director at medicaldirector@un.org.

WHERE TO GO FOR MORE INFORMATION

Demographics of the Secretariat

- A/67/329 - Composition of the Secretariat

Staff Rules and Regulations

- ST/SGB/2013/3 – Staff Rules
- ST/SGB/2012/1 – Staff Regulations
- ST/AI/234/Rev.1 and ST/AI/234/Rev.1/Amend.1 - Administration of the Staff Regulations and Staff Rules
- ST/SGB/Staff Rules/Appendix D/Rev.1 and Amend.1 and ST/SGB/Staff Rules/1/Rev.7/Amend.3 (compensation in the event of death, injury or illness attributable to the performance of official duties – to be read in conjunction with Malicious Acts Insurance Policy)

Recruitment and Staffing

- ST/AI/2010/3 - Staff Selection System **(required reading)**
- Article 101 of the UN Charter
- ST/SBG/2011/8 - Senior Review Group
- ST/SGB/2011/7 - Central Review Bodies
- ST/AI/2010/4/Rev.1 - Administration of Temporary Appointments

Administration of Justice

- ST/SGB/2008/5 - Prohibition of Discrimination, Harassment, including Sexual Harassment, and Abuse of Authority **(required reading)**
- ST/AI/371/Amend. 1 - Revised Disciplinary Measures and Procedures **(required reading)**
- ST/SGB/2003/13 - Special Measures for Protection from Sexual Exploitation and Sexual Abuse **(required reading)**
- Lessons Learned from the Justice System, Volume I, II and III **(required reading)**
- Statutes of the UN Dispute Tribunal and UN Appeal Tribunal
- ST/SGB/2008/14 - Joint Harassment Prevention Boards

Career Development and Performance Management

- ST/AI/2010/5 and Corr.1 - Performance Management and Development System **(required reading)**
- ST/SGB/2009/9 - Learning and Development Policy **(required reading)**
- Staff Regulation 1.3 (Performance of staff)
- Staff Rule 1.3 (Performance of staff)
- Addressing and Resolving Poor Performance – A Guide for Managers
- Competency Development Guide

Staff Relations and Staff Management Committee

- Staff Regulations 8.1-8.2
- Staff Rules 8.1–8.2
- ST/SGB/2011/6/Rev.1 - Staff-Management Committee
- ST/SGB/274 - Staff Management Consultation at the departmental or office level
- ST/SGB/2007/9 - Joint Negotiation Committee at Headquarters
- ST/SGB/2008/11 - Joint Negotiation Committee at the Field
- ST/AI/293 - Facilities to be Provided to Staff Representatives

Recent Secretary-General's Reports on Human Resources Management, and General Assembly resolution in response

- A/67/324 - Overview of human resources management reform: towards a global, dynamic and adaptable workforce: report of the Secretary General
- A/67/324/Add.1 and A/68/328 – Towards a global, dynamic and adaptable workforce: report of the Secretary General : mobility
- A/Res/67/255 – Human Resources Management

Health and Welfare

- ST/SGB/2003/4 - Flexible Working Arrangements
- ST/AI/372 - Alcohol & Substance Abuse
- ST/AI/2011/5 - Dependency Status & Dependency Benefits
- ST/AI/2011/4 - Education Grant & Special Education Grant

- ST/AI/2005/2 and Staff Rule 106.3 - Family Leave, Paternity Leave & Maternity Leave
- ST/AI/2011/3 - Medical Clearances
- ST/AI/2000/10 - Medical Evacuation
- ST/AI/2011/7 - Rest & Recuperation
- ST/AI/2005/3 and Amend. 1 - Sick Leave
- ST/AI/1999/16 - Termination of Appointments for Reasons of Health
- ST/IC/2004/4 - Conflict Resolution in the United Nations Secretariat
- ST-IC-2000 70 - Evacuation Circular 2011
- Appendix D - Compensation, death, Injury and Illness
- A/66/739 - Air Travel, Proposals for a more effective and efficient utilization of resources

Entities with Human Resources-related Responsibilities and Services

Executive Officer, Chief of Administration, Chief of Mission Support

Executive offices in New York, Chiefs of Administration in OAHs and Chiefs of Mission support assist staff with such issues as:

- Leave (home, family, annual, special, sick, military, maternity, paternity, advance)
- Assignment grant
- Repatriation grant
- Travel advances, standards of accommodation; travel time and rest stopovers
- Grounds pass extension
- Salary increment
- Problems with salary statements
- Job (re)classification
- Special power allowance
- Part-time employment.

Human Resources Officers in OHRM

Human Resources Officers administer and monitor staff member's entitlements and benefits, such as:

- Rental subsidies and deductions
- Education grant
- Dependency allowance
- Language allowance
- Other entitlements and benefits
- Official status file
- Private legal obligations
- Personal status (i.e. national, marital status, dependants)
- Impact of reform on contractual status
- Procedure for recruitment, placement, promotion and mobility of staff.

**Income Tax Unit, Office of Programme Planning, Budget and Accounts (OPPBA),
Department of Management**

Assists those staff members whose UN earnings are subject to US income taxes.

Insurance Section, OPPBA, Department of Management

Medical, dental and life insurance, provides assistance with:

- Health insurance
- Dental insurance
- After-service health insurance
- Life insurance
- Malicious acts insurance.

United Nations Joint Staff Pension Fund

Provides assistance with:

- Normal retirement benefits
- Early retirement benefits
- Deferred retirement benefits
- Withdrawal settlements
- Disability benefits
- Survivor benefits
- The UNJSPF website provides detailed information on these benefits. The Regulations, Rules and Pension Adjustment System of the United Nations Joint Pension Fund are also published on its website.

Visa committee

A standing advisory body that assists staff who are not US nationals in obtaining a G-4 visa for their family members – other than spouses and children under 21 years of age – and to assist them in obtaining G-5 visas for their household employees, as appropriate.

Other services include:

- US employment authorization documents for eligible spouses and children
- Guidance in the processing of green card applications under the special immigrant provisions for retirees and eligible children
- Advice on DMV issues pertaining to visas
- Advice on obtaining Social Security numbers
- Advice on conversion of status (non-immigrant to and from G-4).

ANNEX ONE: ADMINISTRATION OF JUSTICE MECHANISMS²⁶

Management Evaluation

The Management Evaluation Unit (MEU) is in the Office of the Under-Secretary-General of the Department of Management. It is the mandatory first step of the formal new internal justice system in the UN. Management evaluation is designed to give management a chance to correct an improper decision, or provide acceptable remedies in cases where the decision has been flawed, thereby reducing the number of cases that proceed to formal litigation.

The MEU evaluates whether an administrative decision has been taken in conformity with the Staff Regulations and Rules, administrative guidance, and relevant jurisprudence.

UN Dispute Tribunal (UNDT)

The UN Dispute Tribunal (UNDT) is the first instance in the formal two-tier system to which staff members can formally dispute an administrative decision taken against him/her. When management evaluation is not to the satisfaction of the staff member, the staff member can file an application to the UNDT, as a court of first instance. The UNDT operates on a full-time basis and is comprised of five professional judges, three full-time and two half-time. It has registries in New York, Geneva and Nairobi.

The UNDT will examine the facts of the case, and will conduct, where necessary, oral proceedings. These are normally held in public.

UN Appeals Tribunal (UNAT)

Both the staff member and the administration have the right to appeal a judgment rendered by the UNDT to the UN Appeals Tribunal (UNAT), where it is alleged that the UNDT either exceeded its jurisdiction or failed to exercise it; or that it has erred on a question of fact or law or procedure.

The Appeals Tribunal is composed of seven judges, and its Registry is based in New York.

ANNEX TWO: SOURCES OF SUPPORT

i. Ombudsman and Mediation Services

Assist staff and related personnel in the identification of options to resolve workplace disputes through informal means. The work of the Ombudsman and mediators is based on the principles of confidentiality, neutrality and impartiality, independence and informality.

ii. Office of Staff Legal Assistance

Provides assistance to staff members in various stages of appeals and in disciplinary and others claims:

- Advises on how to seek informal resolutions of disputes
- May provide legal assistance and representation to staff in proceedings within the internal justice system
- May assist in identifying counsel for staff members
- May assist with proceedings before UN Dispute Tribunal or UN Appeals Tribunal.

iii. Staff Counsellor's Office

Provides assistance to staff members and their families with situations encountered in everyday life that may have an impact on their welfare and productivity, including:

- Personal/family issues and concerns
- HIV/AIDS counselling
- Financial emergency information
- Mission-readiness
- Stress management
- Fears and anxiety
- Depression
- Alcohol/substance abuse
- Loss and grief
- Staff outreach support programmes
- Harassment.

iv. Critical Incident Stress Management Section

The Stress Management Counsellors counsel staff members worldwide on issues such as:

- Psychosocial issues related to critical incidents or emergencies
- Mission-readiness
- Stress management
- Fears and anxiety
- Depression
- Loss and grief.

v. Staff Representative Bodies

Staff representative bodies participate in identifying, examining and resolving issues relating to staff welfare including conditions of work, general conditions of life and other human resource policies, through mutual agreements that are negotiated in good faith between representatives of staff and the administration.

Staff member may bring individual cases to the attention of: (a) a member of the executive committee of the staff representative body; or (b) a staff representative of the department or office concerned, who can advise on and assist in addressing issues informally or formally. This also applies to cases involving discrimination, harassment, including sexual harassment, and abuse of authority.

In circumstances where informal resolution is not desired or appropriate, or has been unsuccessful, a staff representative may initiate a formal complain, on behalf of the aggrieved staff member, by submitting a report of prohibited conduct to any of the officials identified in paragraph 5.11 of ST/SGB/2008/5.

vi. Office of the Focal Point for Women

The Office of the Focal Point for Women provides informal counselling to all staff on gender-related grievances, such as:

- Conditions of service
- Discrimination
- Staff selection
- Harassment
- Abuse of power.

The Office also coordinates with the departmental focal point system and provides advocacy and assistance in the formulation of gender-related politics and practices e.g. gender strategy, harassment including sexual harassment, or flexible working arrangements.

vii. Departmental Focal Points for Women

Departmental Focal Points for Women support heads of department by:

- Providing advocacy and counsel to female staff
- Promoting awareness of gender issues
- Monitoring and contributing to the realization of gender targets
- Monitoring the staff selection process to ensure gender balance.

viii. Head of department, office or field mission

Heads of department, offices and field missions have the responsibility for undertaking preliminary investigations related to:

- Entitlement fraud
- Simple thefts
- Basic mismanagement issues
- Misuse of UN assets, including human, financial, material
- Infractions of regulations, rules or administrative issuances
- Assault upon or threats to other staff members
- Financial loss resulting from gross negligence
- Acts of discrimination, harassment, including sexual harassment, and abuse of authority.

ix. Office of Internal Oversight Services

The Office of Internal Oversight Services (OIOS) investigates:

- Serious/complex fraud or criminal activity
- Sexual exploitation and abuse
- Waste of substantial resources
- Entitlement fraud
- Gross mismanagement
- Procurement violations
- Prohibited conduct, including sexual harassment by senior staff members
- All cases involving risk of loss of life to staff or others, including witnesses.

x. Conduct and Discipline Teams

Conduct and Discipline Teams receive reports of all allegations of misconduct by all categories of UN peacekeeping personnel, including acts of sexual exploitation, and advises and transmit them to the appropriate bodies for investigation. All sexual exploitation and abuse allegations will be referred to the Investigation Division of OIOS.

xi. Special Investigations Unit

The Special Investigations Unit (SIU) within the Safety and Security Services of the Department of Safety and Security investigates issues from a security perspective, such as:

- Loss/damage of property
- Accidents
- Assault upon or threats to other staff members.

xii. Management Evaluation Unit

If a staff member believes that an administrative decision violates his/her rights as an employee of the Organization, and is unable to resolve the matter informally, s/he may request, as a first step, a management evaluation. These decisions can relate to:

- Non-renewal or termination of appointment
- Reassignment
- Entitlements
- Promotion
- Other administrative decisions, except disciplinary decisions.

Note: Seeking a management evaluation does not automatically stay or prevent the decision from being implemented. Staff must file a separate suspension of action request with the UN Dispute Tribunal, if needed. For decisions relating to non-renewal of appointments, staff may file a request for suspension of action with either the UN Dispute Tribunal or the Management Evaluation Unit.

xiii. United Nations Dispute Tribunal

United Nations Dispute Tribunal (UNDT) is the UN's court of first instance. It accepts applications when the result of the management evaluation is not to the satisfaction of the staff member. Staff may file an application directly with UNDT without first seeking a management evaluation when:

- The application concerns the imposition of a disciplinary measure
- The contested decision is based on the advice of an expert or advisory board, such as the Advisory Board on Compensations Claims or a Medical Board.

Notes: Staff must file a separate suspension of action request with UNDT, if needed. UNDT decisions are binding.

xiv. United Nations Appeals Tribunal

Either the Secretary-General or the staff member may appeal decisions by the UNDT or an expert/advisory board to the United Nations Appeals Tribunal (UNAT). The Appeals Tribunal also accepts appeals related to decisions from the Pension Fund and from entities that have concluded special agreements with the Secretary-General under Art. 2.10 of the UNAT Statute as contained in A/RES/63/253.

Appeals are allowed when it is alleged that the UNDT:

- Exceeded its jurisdiction or competence
- Failed to exercise jurisdiction vested in it
- Erred on a question of law
- Committed an error in procedure
- Erred on a question of fact.

UNAT decisions are final and binding.

xv. Advisory Board on Compensation Claims

The Advisory Board on Compensation Claims (ABCC) reviews claims directly attributable to the performance of official duties on behalf of the UN that relate to:

- Death
- Injury
- Illness
- Medical expenses.

Appealing a decision or making a claim:

- **United Nations Claims Board:** reviews claims for loss of, or damage to, personal effects, including claims related to personal vehicles arising from the performance of official duties.
- **Central Examination Board:** reviews staff complaints of exclusion from participation to ensure procedures and arrangements for the examination have been followed.
- **Medical Board:** considers requests for additional sick leave from staff who are unable to perform their duties by reason of illness or whose attendance at work is prevented by public health requirements.
- **Classification Appeals Committee:** reviews appeals based only on incorrectly applied classification standards resulting in classification at the wrong level.
- **E-performance:** The Performance Management and Appraisal Rebuttal Panel will consider a staff member's rebuttal of his/her e-performance rating. Beginning April 2012, all staff are now subject to the Organization's enhanced performance management and development system through the use of the e-performance tool under Inspira. Based on this enhanced system, staff members who disagree with a "partially meets performance expectations" or "does not meet performance expectations" rating may, within 14 days of signing the completed e-performance document, submit a written rebuttal statement setting forth briefly the specific reasons why a higher overall rating should have been given. This statement should be addressed to the Executive Office, Chief of Administration or Chief of Mission Support as appropriate, with a copy to their head of department, office or field mission again as appropriate to the duty station concerned.
- **ePAS:** A Performance Management and Appraisal Rebuttal Panel considers a staff member's rebuttal of his/her performance ratings. Performance appraisals up to the performance cycle of March 2011 to April 2012 will be conducted and completed in accordance with the procedures described in ST/AI/2002/3. Based on those procedures, staff members who disagree with the ratings on their ePAS may submit a written rebuttal statement to their executive office at Headquarters or to the Chief of Administration elsewhere. Staff members who consider the "Comments" on their ePAS to be inconsistent with the "ratings" may bring this to the attention of the head of department/office for resolution, and if necessary thereafter, to the Office of Human Resources Management.

ENDNOTES

- 1 Excluding General Temporary Assistance.
- 2 The core work of the Secretariat started with supporting meetings and conferences, but has faced a number of changes especially in the last 20 years, including a significant expansion of operations, budgets and functions. More complex missions means more people needed to run them.
- 3 ST/SGB/2001/4.
- 4 The Bretton Woods Institutions - The World Bank Group and the International Monetary Fund - are not part of the common system and neither is the World Trade Organization, which follows the common system of the Organization for Economic Cooperation and Development (OECD).
- 5 Staff recruited under the Young Professionals Programme (YPP) are granted continuing appointments after two years of satisfactory service.
- 6 The Secretary-General submitted his proposals on mobility for General Assembly endorsement at the 67th session in 2012. The GA requested a further report for the 68th session. See A/67/324/Add.1, A/RES/67/255 and A/68/358.
- 7 See "Chapter 2 - The Secretary General and his Executive Office" for more information on Compacts.
- 8 The Management Performance Board consists of the Deputy Secretary-General (Chair), five Under-Secretaries-General, an external expert in public sector management, and department/office/mission representatives (ad hoc).
- 9 Regarding geographical distribution, there is a methodology involving a country's financial contribution to the UN, its membership and its population that is used in determining how well each Member State is represented.
- 10 ST/AI/2010/3; see section "Where to Go for More Information".
- 11 Except for D-2 selections, which are made by the Secretary-General.
- 12 For staff members at the D-2 level, this review is conducted by the Senior Review Group, comprised of Under-Secretaries-General.
- 13 P-1 and P-2 posts are normally filled through candidates who were rostered as a result of an examination that is open to nationals of countries participating in an annual recruitment exercise and staff members at the General Service level who seek Professional-level positions through a competitive exam.
- 14 All applications must be reviewed and considered in an open and transparent process; however after review, if a candidate is selected from a roster, the final step of obtaining CRB clearance can be avoided as rostered candidates have already been cleared by the CRB.
- 15 For information on learning and development, visit: <http://www.un.org/staffdevelopment/viewpage.asp>. For information on career support, visit: <https://careers.un.org/lbw/home.aspx?viewtype=CS>.
- 16 <http://www.un.org/staffdevelopment/viewPage.asp?selMenu=mandatory.asp>.
- 17 Refer to competencies booklet available from: https://careers.un.org/lbw/attachments/competencies_booklet_en.pdf.
- 18 See <http://www.un.org/staffdevelopment/viewpage.asp>.
- 19 Refer to ST/AI/2010/5 and ST/AI/2010/5 /Corr.1.
- 20 See section "Where to Go for More Information" in this chapter.
- 21 See "Chapter 5 - Ethics, Accountability and Oversight" for more information.
- 22 See also "Annex: Administration of Justice Mechanisms" in this chapter and "Chapter 5 - Ethics, Accountability and Oversight".
- 23 Each "Lessons Learned from the Justice System" periodical, published by the Management Evaluation Unit, focuses on different themes (e.g. disciplinary matters, staff selection). See http://iseek.un.org/webpgdept1686_12.asp?dept=1686.
- 24 See ST/SGB/2011/6/Rev.1.
- 25 Additional information on UN emergency preparedness and response is available in "Chapter 8 - Security".
- 26 See also "Chapter 5 - Ethics, Accountability and Oversight".

7

BUDGET AND FINANCE

"I am here to thank you for solidifying, with me, our compact to make the most of our resources ... and to continue fulfilling every one of the critical global mandates entrusted to the United Nations."

*Secretary-General Ban Ki-moon
Remarks to the General Assembly, 4 December 2011*

BUDGET AND FINANCE AT THE UNITED NATIONS

Just as the UN is diverse and complex, so are its arrangements for budget and finance. The funding spent by the UN is significant: during 2012, the UN spent about \$16 billion, received through a combination of contributions that are assessed on Member States and others that are voluntary.

KEY QUESTIONS

i. What does the UN Charter say about budgeting and financing in the Organization?

The fundamental basis for both UN budgeting and financing is laid out in the UN Charter. Article 17 stipulates that the expenses of the Organization will be borne by Member States as apportioned by the General Assembly. It also stipulates that the General Assembly will consider and approve the budget of the Organization. Subsequent General Assembly resolutions have elaborated on budgetary policies, regulations and rules and procedures. Thus, the General Assembly decides on budgets and the distribution of responsibility among Member States for payment of assessed budgets.

ii. Which General Assembly body has overall responsibility for budget and finance?

The Fifth Committee is the Committee of the General Assembly responsible for administrative and budgetary matters. Based on the Fifth Committee's reports, the General Assembly considers and approves the budget of the Organization¹.

The Fifth Committee is assisted by the Advisory Committee on Administrative and Budgetary Questions (ACABQ), a subsidiary organ of the General Assembly. The ACABQ submits recommendations to the Fifth Committee on proposals of the Secretary-General on administrative and budgetary matters. The ACABQ consists of 16 members appointed by the General Assembly, who serve in their individual capacity on the basis of broad geographical representation, personal qualifications and experience.

The Fifth Committee, ACABQ and Committee for Programme Coordination are covered in "Chapter 1 – UN Charter and Principal Organs".

BUDGETS AND ASSESSED CONTRIBUTIONS

The Organization is financed by its 193 Member States on the basis of mandatory, assessed contributions on the one hand, and voluntary contributions on the other. The following UN budgets are financed by assessed contributions:

- The "regular budget" (or "programme budget"), which covers the mandated activities of the UN Secretariat at Headquarters and Offices Away from Headquarters duty stations, the regional commissions, special political missions, and various information centres. The regular budget also provides for two longstanding peacekeeping operations².
- Peacekeeping budgets, which cover all other peacekeeping operations and support to those operations (the "support account") and the UN Support Office for AMISOM³.
- Budgets for the International Tribunal for the Former Yugoslavia and the International Criminal Tribunal for Rwanda, and the mechanism established to conclude their work.
- The budget of the Capital Master Plan.

Voluntary contributions, explained in more detail in the next section, complement assessed contributions and are the sole source of funding for UN funds and programmes. UN agencies, however, are financed by a mix of assessed and voluntary contributions.

Key questions

i. What is the regular budget?

The "regular budget" (often also referred to as the "programme budget") covers a biennium - a period of two consecutive calendar years, beginning with an even-numbered year. The regular budget is part of

a biennial planning, programming and budgeting process, in which the main elements are: the Strategic Framework; the budget outline; the proposed programme budget and related appropriations; the programme performance report; and evaluation reporting.

ii. What is a programme budget implication?

In order to ensure that the financial implications of a draft resolution are known and considered before approval, the Secretary-General is required to submit a statement of programme budget implications (PBI)⁴. While the underlying resolution is considered in the substantive committee or body, the PBI is considered in the Fifth Committee, with the advice of the ACABQ. Approval by the General Assembly of resolutions with PBIs allows for adjustments to the programme budget.

iii. What is the contingency fund?

The contingency fund is a mechanism for financing new mandates conferred after the approval of the regular budget. The level of contingency fund is set by the General Assembly as a percentage of the total budget for a biennium. Since the inception of the contingency fund, the level has been set at 0.75 per cent of the approved budget outline figure.

iv. How are special political missions financed?

A biennial provision for special political missions is made in the regular budget under section 3, Political Affairs. A detailed justification of resource requirements by mission is submitted to the General Assembly, normally on an annual basis. The budget estimates are presented under three thematic clusters:

- Cluster I for special and personal envoys, special advisers and personal representatives of the Secretary-General
- Cluster II for sanctions monitoring teams, groups and panels
- Cluster III for UN offices, peacebuilding support offices, integrated offices and commissions.

In addition to these three thematic clusters, there are currently two large UN field missions (in Afghanistan and Iraq), the budgets of which are presented separately from the above clusters.

v. What is a peacekeeping budget? What is the support account?

Peacekeeping budgets are prepared for active peacekeeping operations, the Global Service Centre (the UN Logistics Base in Brindisi),

and the support account. They are presented annually to the General Assembly, through the ACABQ. They cover a 12-month period from 1 July to 30 June the following year. Peacekeeping budgets include a results-based budget framework (which is a type of logical framework described later in this chapter) as well as human and financial resource requirements.

The support account for peacekeeping operations is the mechanism established by the General Assembly to provide for Headquarters support to, and backstopping of, peacekeeping operations. The support account is funded by pro-rating the cost among the individual budgets of active peacekeeping operations. The scale of assessment for peacekeeping is different than that established for the regular budget.

vi. How are international tribunals financed?

As with the programme budget, the budgets of the two international tribunals cover a biennium starting with an even-numbered year. The budgets are reviewed by the ACABQ, and approved by the General Assembly. The International Residual Mechanism for Criminal Tribunals that has been established by the Security Council to conclude the work of the tribunals is financed in the same way.

vii. How is the Capital Master Plan financed?

The Capital Master Plan project, which is scheduled for completion by 2014, is financed through assessments on Member States on the basis of the scale of assessments that was applicable in 2007. The project includes the renovation of the Secretariat building, the General Assembly building, the Conference building, the Library, and the North and South Annexes. The management and implementation of the project is the responsibility of the Executive Director for the Capital Master Plan.

viii. How are Member States' assessed contributions calculated?

Member States are assessed in accordance with scales of assessment approved by the General Assembly. The scale of assessment applicable to the regular budget is determined triennially by the General Assembly, drawing on the advice of the Committee on Contributions. The scale of assessment is intended broadly to reflect the capacity to pay. The minimum share of a Member State is 0.001 per cent. The ceiling applicable to the regular budget scale is 22 per cent⁵.

For the financing of peacekeeping operations, the regular budget scale is adapted to reflect the responsibility of the five permanent members of the Security Council (P5) for the maintenance of peace and security, and

hence for the financing of peacekeeping operations. Based on specified criteria, countries are situated in one of ten levels to which different rates of assessment apply. Where the rate of assessment for peacekeeping is lower than the regular budget rate, the P5 pay the difference⁶.

The two international tribunals are financed by contributions assessed on Member States. Half of the budget is assessed on the basis of the scale of assessments applicable to the regular budget, and half on the basis of the peacekeeping scale of assessments.

ix. What is the budget outline?

The budget outline in the regular budget enables Member States to agree on the estimated overall level of resources for the next programme budget, prior to preparation of the detailed budget by the Secretary-General. It is also considered by the General Assembly in the first year of a preceding biennium.

x. What is the Strategic Framework?

The Organization uses a Strategic Framework to describe the overall plan of work; this constitutes the principal policy directive of the Organization. The Strategic Framework covers a biennium and reflects the strategic priorities of Member States. It is a translation of legislative mandates into programmes and sub-programmes, and is the basis for preparing the biennial programme budget. The Strategic Framework does not set out resource requirements. Programme planning is a separate phase from budgeting; the logic is that after plans are approved to support mandates, the resource requirements are later filled in through the budget.

The Strategic Framework consists of two parts:

- Part I (Plan Outline): reflects longer-term objectives of the Organization as a whole and contains priorities for the work of the Organization. This is prepared by the Executive Office of Secretary-General.
- Part Two (Biennial Programme Plan): comprises programmes and sub-programmes and contains objectives, expected accomplishments and indicators of achievement for each sub-programme. It is prepared by departments/offices on the basis of legislative mandates.

In the first year of a biennium, the proposed Strategic Framework for the following biennium is considered by the Committee for Programme and Coordination (CPC) and by the General Assembly. The CPC is the main

subsidiary organ of the Economic and Social Council (ECOSOC) and the General Assembly for planning, programming and coordination. Heads of department/office have the opportunity to present their programmes to the CPC.

xi. How is the money managed on a day-to-day basis?

For control and implementation purposes, expenditure is divided into five main object groups. Programme managers are allowed to redeploy resources within object groups without prior approval of the Programme Planning and Budget Division (PPBD). Redeployments between object groups require approval of PPBD. Redeployments are not permitted for/ from posts.

ADVICE AND GUIDANCE

- The **intergovernmental aspects of the budget process** are important to grasp; for more information, see “Budget Process A-Z”, under “Advice and guidance” in the section “General Assembly” in “Chapter 1 - The United Nations Charter and Principal Organs”.

While General Assembly (Fifth Committee) consideration of the proposed budget captures much attention, senior managers need to engage early in the cycle with substantive committees, ECOSOC, and functional, sectoral or regional bodies to secure the mandates needed to support an envisaged work programme. Senior managers work with the CPC to agree that the programme of work proposed in the programme plan is an appropriate reflection of the mandate.

- Senior Leaders should be aware that the main elements of the **UN’s internal control framework** for budget and finance are:
 - The Financial Regulations and Rules of the United Nations, through which the General Assembly specifies the financial management policies of the Organization, including financial, procurement, budgeting and property management.
 - The Staff Regulations and Rules that describe the principles of human resources policy for the staffing and administration of the Secretariat.
 - Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (PPBME). These govern the cycle of strategic planning, programming, budgeting, monitoring and evaluation of all activities, irrespective of the source of financing.

- The PPBME has not yet been updated to reflect the General Assembly's decision in 2003 to replace the four-year, medium-term plan with a biennial strategic framework. However, **Senior Leaders are urged to familiarize themselves with the PPBME (ST/SGB/2000/8)** because it is the formal, written expression of how Member States expect the planning and budget cycle to unfold and what the budgets should contain.
- Senior managers have the responsibility to ensure that the **programme of work of their department/office remains up-to-date**. How to do so is sometimes controversial among Member States, because mandates rarely sunset, i.e. there is rarely a specific date indicating when the mandate will expire, and intergovernmental agreement on discontinuing mandates is hard to secure. Thus, much of the burden of keeping work programmes up-to-date fall on the implementation of Regulation 5.6 of the PPBME, which provides for the discontinuation of outdated outputs i.e. the products produced by the staff, money or other inputs provided through the budget. Implementation of the regulation is often stressed by the General Assembly in its budget resolutions.
- **Skilled Executive Officers and other personnel in resource management functions are critical assets for Senior Leaders**. While senior managers select staff for relevant posts, UN policy is that those staff who perform significant functions in the management of financial, human, and physical resources must be personally designated as suitable for those functions by officials in the Department of Management, who need to ensure that the person has the requisite knowledge and experience. Such staff are accountable to the Department of Management, as well as to the head of the department/office in which they serve.
- Senior managers should **monitor resource utilization during the implementation of their department/office's budget**, such as staffing incumbency and financial expenditures. They should discuss with their executive offices the data and frequency of reports they require, as well as the availability of tools for more automated access and analysis of trends.
- The scale of assessments is both politically sensitive and technically complex. It is unlikely the senior managers outside the Department of Management would receive queries or representations from Member States or others on these issues. **Any queries on the scale of assessments should be referred to the Department of Management**.

VOLUNTARY CONTRIBUTIONS AND OTHER FUNDING MECHANISMS

While assessed contributions are intended to cover the requirements fundamental to the existence of the Organization and its institutional mandates, voluntary contributions play an essential role in financing the work of the UN. For example, for the budget period 2012-13, voluntary contributions of \$12.4 billion were forecast, more than twice the level of the proposed programme budget. The majority of these resources are directed to humanitarian activities, but they are also significant sources of funding for the substantive and operational work carried out by many parts of the Secretariat.

KEY QUESTIONS

i. What are extra-budgetary resources and voluntary contributions?

The terms "extra-budgetary resources" and "XB" refer to funds financed from voluntary contributions. They are an important source of finance for the work of the Organization, especially its humanitarian and relief assistance programmes.

ii. What are trust funds and how do they work?

Trust funds contain extra-budgetary resources, which are provided by donors on the basis of specific agreements. Their receipt and expenditure are accounted for, and reported, to the donors separately.

The establishment and management of trust funds are governed by the Financial Regulations and Rules of the UN. Trust funds may be established by the General Assembly or the Secretary-General. Approval of the Controller is required for the establishment of a trust fund and receipt of contributions. In every case, it needs to be ascertained whether the establishment of a trust fund involves any direct or indirect financial liability for the Organization⁷.

iii. What are programme support costs?

Programme support costs are an "administrative overhead" cost levied on extra-budgetary contributions to recover incremental indirect costs incurred. This charge is intended to ensure that the additional cost of supporting activities financed from extra-budgetary contributions is not borne by assessed funds.

ADVICE AND GUIDANCE

- Voluntary contributions are governed by the same regulations and rules on personnel and finance as assessed contributions. Recruitment and staff selection for voluntarily funded work follow the same rules and procedures as work funded by assessed contributions. **Contributions conditional on selecting specific staff or from a specific source are not permissible. In case of ambiguity, check with the Controller and/or the Assistant Secretary-General for Human Resources Management.**
- As there are several mechanisms for receiving in-kind contributions - some quite dated - it could be helpful to get **advice from OPPBA** early in the planning stage as to which mechanism is best suited for the specific programme.
- Programme support costs are a feature of virtually all voluntary contributions. Donors are eager to keep these levies to a minimum and the rates charged by the UN Secretariat can appear to be higher than those charged by UN funds and programmes. **It is not within the purview of Senior Leaders to negotiate the rates disseminated by the Controller.**

BUDGET AND FINANCE: PLANNING AND MANAGEMENT TOOLS AND FRAMEWORKS

The UN has adopted a wide set of frameworks and tools to support the budget and finance process. The UN uses a result-based management (RBM) approach, which includes results-based budgeting (RBB) and the use of the logical framework format. Senior Leaders should be familiar with the basic principles of these approaches.

KEY QUESTIONS

i. What is results-based management (RBM)?

RBM is a broad management approach that uses information about expected results for strategic planning, human resource and budgetary decision-making, performance measurement and learning. It involves efforts to ensure that everything an organization does - all its processes, services and products - contribute to the achievement of desired results.

RBM is the action taken to manage the implementation of the work programme towards the delivery of products, services and, most importantly, results. It facilitates the management of programmes as well as of staff by promoting a sense of teamwork, a collaborative effort and systematic approach to implementation, and staff working towards results.

ii. What is results-based budgeting (RBB)?

RBB is a subset of RBM. It is applied to the regular budget as well as the budgets for special political missions, the international tribunals and peacekeeping operations. RBB was introduced at the UN to strengthen the linkage between the resources provided, the work being done, and the objectives being pursued. The main precepts are that:

- Programme formulation is driven by defined objectives and expected results
- Expected results justify the resource requirements, which are derived from, and linked to, outputs required to achieve such results
- Actual performance is measured by objective performance indicators.

iii. What is a logical framework? What is a RBB framework?

The RBB method uses a logical framework aimed at ensuring that expected results are specific, measureable, attainable, realistic/relevant and time-bound ("SMART"). The implementation of RBB in the Secretariat has been incremental and evolutionary, based on the existing framework for planning, programming, budgeting, monitoring and evaluation that has been in place since the early 1980s.

The RBB framework in a budget is an example of a logical framework. It includes the following elements: objectives; expected accomplishments; indicators of achievement; performance measures; and outputs. The objective describes what the sub-programme intends to achieve in the longer-term. Expected accomplishments are the desired outcomes or results of a sub-programme. Indicators track progress towards these higher-level outcomes or results.

iv. What is the role of RBM and RBB at the UN?

RBM and RBB are very much works in progress at the UN. Both internal and external auditors have found that, to-date, RBB has been used more to comply with rules than to take strategic decisions. The General

Assembly, in approving RBB in its resolution 55/231, stipulated that use of indicators of achievement should not be a reason for changing resource allocations, and that resource requirements should still be justified at the level of outputs to be produced.

To make further improvements, the Secretariat has agreed with the Board of Auditors that Under-Secretaries-General will be specifically responsible for: developing more outcome-focused objectives and indicators of achievement; and establishing clear links between resource use, outputs and achievement of high-level objectives⁸.

ADVICE AND GUIDANCE

- Despite the limitations of how RBB is used in the Secretariat, requests for resources still have to be justified in terms of the products and/or services (i.e. outputs) that each department/office expects to deliver. **Familiarize yourself with the legislative history of the outputs that are specifically mentioned in your budgets**, as some may have been proposed by Member States.

ACCOUNTABILITY FOR BUDGET AND FINANCE

Accountability, both at the institutional level on results achieved and resources used, and at the individual level, are fundamental to the governance and good functioning of the Organization. Although accountability remains an important issue on the agenda of the General Assembly, the main features of the accountability system at the UN are well defined.

The Secretary-General has delegated authority, responsibility and accountability for the management and administration of specific areas of the implementation of the Financial Regulations and Rules to the Under-Secretary-General for Management, who has further delegated the responsibilities as detailed in ST/AI/2004/1. Financial authority is not delegated by virtue of the function, but on a personal basis. The issue of accountability is also covered in "Chapter 5 - Ethics, Accountability and Oversight".

KEY QUESTIONS

i. How is accountability defined at the UN?

The definition decided by the General Assembly is:

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.

Accountability includes achieving objectives and high-quality results in a timely and cost-effective manner, in fully implementing and delivering on all mandates to the Secretariat approved by the UN intergovernmental bodies and other subsidiary organs established by them in compliance with all resolutions, regulations, rules and ethical standards; truthful, objective, accurate and timely reporting on performance results; responsible stewardship of funds and resources; all aspects of performance, including a clearly defined system of rewards and sanctions; and with due recognition to the important role of the oversight bodies and in full compliance with accepted recommendations.⁹

ii. What are the main components of the accountability regime?

There are six main components:

- The UN Charter
- The Strategic Framework, the programme budget and the peacekeeping budgets. These are fundamental because they provide the shared understanding of objectives and expected accomplishments set by Member States, the outputs the Secretariat should produce and the resources provided to pursue them.
- Delivery of results and performance, brought out in performance and other reporting
- Internal systems and controls
- Ethical standards and integrity
- Oversight roles and functions.

iii. Where do I fit in the accountability chain?

The critical linkage between institutional accountability and individual accountability is established through the Compacts for senior managers and the performance appraisal system for staff at all levels below that of the Assistant Secretary-General. Responsibility for results consistent with the approved organizational goals and objectives will cascade down through these workplans of successive levels of managers and staff¹⁰.

iv. How will my programme be evaluated?

Two types of internal evaluation are conducted in the Secretariat: self-evaluation and in-depth evaluation. Self-evaluation is conducted by programme managers who implement the work at the sub-programme level; it involves the self-assessment of outputs and activities carried out under the regular budget. In-depth evaluations, which are also internal to the Secretariat, are conducted by the Office of Internal Oversight Services (OIOS).

v. Who conducts oversight?

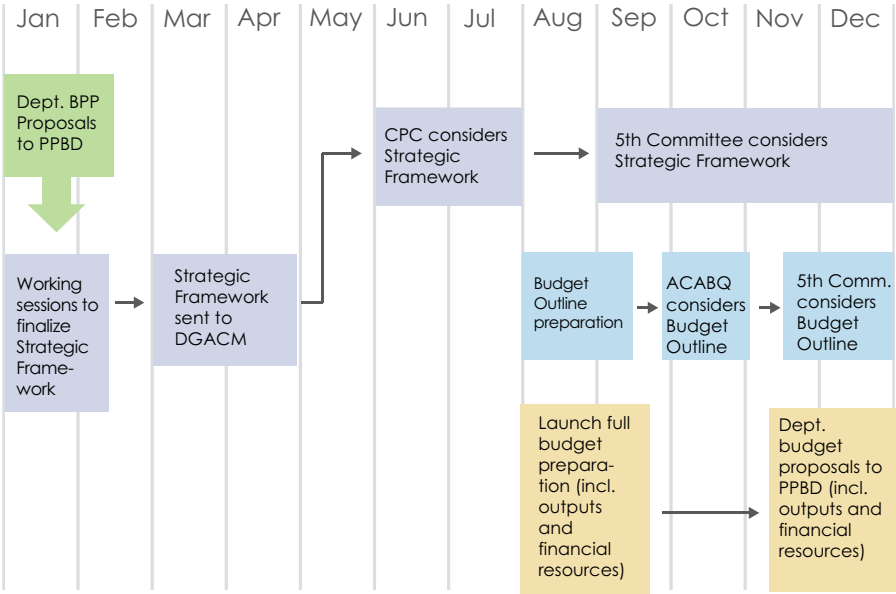
Oversight entities include an internal entity OIOS, and external bodies – the Board of Auditors and the Joint Inspection Unit. These entities are described in more detail in “Chapter 5 – Ethics Accountability and Oversight”.

ADVICE AND GUIDANCE

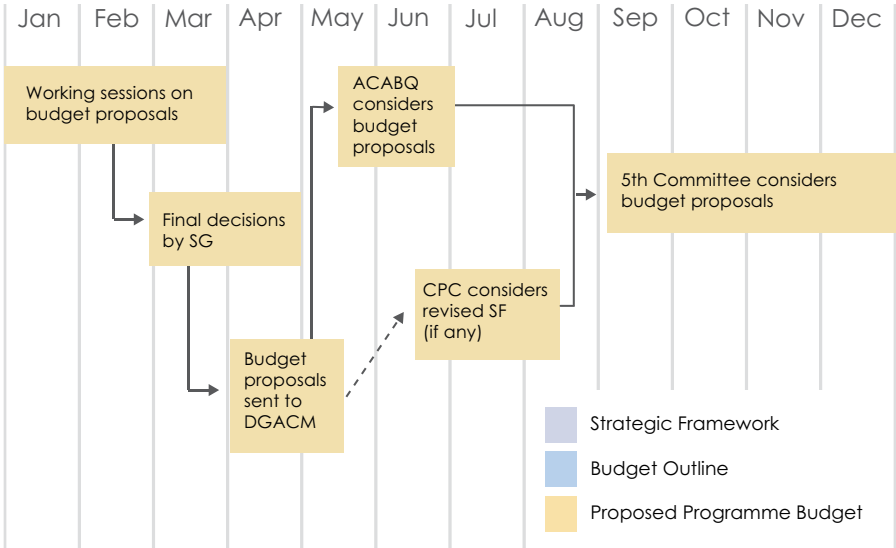
- Oversight bodies such as the Board of Auditors have drawn attention to misalignment of operational workplans with strategic goals, and the inability to relate resources to accomplishments. In response, Under-Secretaries-General will be specifically responsible for: **developing more outcome-focused objectives with indicators of achievement; and establishing clear links between resource use, outputs and achievement of high-level objectives. Senior Leaders have an interest in ensuring that the department/office's reporting is aligned to its strategic orientation.**
- Evaluation is another tool for both learning and reporting. In addition to evaluations conducted by the OIOS, **departments/offices are expected to undertake self-evaluation of activities.** Senior Leaders have an important role in defining the scope and independence of self-evaluation, as well as the mechanisms to consider lessons learned and follow-up action.

ANNEX ONE: REGULAR BUDGET CYCLE

Year 1



Year 2



ENDNOTES

- ¹ For more information on the Fifth Committee and the Advisory Committee on Administrative and Budgetary Questions (ACABQ), see "Chapter 1 - The United Nations Charter and Principal Organs".
- ² The UN Truce Supervisory Organization (UNTSO) and the UN Military Observer Group in India and Pakistan (UNMOGIP).
- ³ African Union Mission in Somalia.
- ⁴ In accordance with Rule 153 of the Rules of Procedure of the General Assembly.
- ⁵ See A/RES/67/238.
- ⁶ See A/RES/67/239.
- ⁷ The policies and procedures with regard to trust funds are governed by ST/SGB/188, ST/AI/284, ST/AI/285 and ST/AI/286.
- ⁸ A/67/5 Vol. I, para. 145.
- ⁹ Source: A/RES/64/259.
- ¹⁰ Compacts are covered in "Chapter 2 – The Secretary General and his Executive Office". Performance Management is covered in "Chapter 5 – Human Resources".

8

SECURITY

“United Nations staff are becoming increasingly vulnerable in carrying out their work...The United Nations flag, which represents hope, safety and a better life for the most vulnerable, has in some places now become a target.”

Ban Ki-moon
Secretary-General

DEPARTMENT OF SAFETY AND SECURITY

The Department of Safety and Security (DSS) and its partners in the UN Security Management System (UNSMS) protect over 150,000 UN personnel and their eligible family members, assets and operations in more than 180 countries and approximately 2,000 duty stations worldwide. Although the Headquarters component of DSS is small, DSS has about 2,000 staff worldwide.

The tragic bombing of the UN Baghdad headquarters building in 2003, which killed 22 UN personnel and visitors, was the first time the UN was directly targeted by an extremist group; it highlighted the need for greater resources for the protection of UN personnel and assets, as well as for reform of the UN security system¹. This event, and subsequent efforts to reform the way security is provided to UN personnel and their eligible family members, led to the creation of DSS in 2005².

KEY QUESTIONS

i. How is security provided at Headquarters, Offices Away from Headquarters and regional commissions?

At Headquarters, DSS is responsible for ensuring the security and safety of all personnel. At Offices Away from Headquarters (OAH) and regional commissions, the Chiefs of Security and Safety Services/ Sections are responsible for providing security to delegates, personnel, visiting dignitaries and other visitors. They work under the authority and guidance of the Division of Headquarters Security and Safety Services (DHSS) within DSS.

Chiefs of Security and Safety can also assist and advise Senior Leaders within the above duty stations, including those with Country Security Management responsibilities and functions (i.e. Designated Officials for Security, Senior Management Groups and Security Management Teams).

ii. How is security provided in the field?

In each country or designated area where the UN is present, the senior-most UN system official is normally appointed as the Designated Official for Security (DO). DSS is responsible for providing support at the policy, operational and strategic levels to DOs. The DO is accountable to the Secretary-General, through the Under-Secretary-General for Safety and Security, for the safety and security of UN personnel, premises and assets throughout the country or designated area. On the ground, the DO is supported by a Security Management Team (SMT) and field-based DSS security professionals, as well as UN agency security officers who provide advice on security-related matters. The SMT is composed of heads of UN agencies at the country level, as well as UN system security professionals and others in the UN Country Team, as appropriate.

All those employed by the UN system, regardless of rank or level, have the responsibility to abide by security policies, guidelines, directives, plans and procedures of the United Nations Security Management System (UNSMS). All personnel are responsible for:

- Conducting themselves in a manner that will not endanger their own safety and security, or that of others.
- Familiarizing themselves with security management information relevant to their location/duty station.
- Attending and completing necessary security training and required briefings.
- Reporting all security incidents in a timely manner.

The Training and Development Section of DSS offers a variety of courses; Senior Leaders should be aware that many of their staff will be required or advised to take these courses (see Annex One for a list).

iii. How is the UN security system funded and managed?

DSS is the only department of the UN Secretariat funded through a cost-sharing arrangement among the funds, programmes and agencies of the UN system, as well as by those organizations that

hold a Memorandum of Understanding with the UN according to membership in the UNSMS³. DSS therefore has a dual reporting role: to the General Assembly and to the UN agencies, funds, programmes and organizations that subscribe to the UNSMS. DSS leads the UNSMS through the Inter-Agency Security Management Network (IASMN), which is accountable to the High-Level Committee on Management (HLCM) of the Chief Executives Board (CEB)⁴. The IASMN meets in regular session twice a year.

ADVICE AND GUIDANCE

- **Reading the latest reports of the High-Level Committee on Management** will help you to familiarize yourself with current issues of importance in the area of security management. Reading the daily reports from the United Nations Operations Crisis Centre will provide you with timely information on security developments worldwide.
- Be aware that **DSS has both uniformed and civilian security** personnel, at both the professional and director levels, at Headquarters and in the field, including security officers, and analysts.

PREPARING FOR AND RESPONDING TO SECURITY-RELATED INCIDENTS

Faced with an unprecedented level of threats and an increasing demand for UN system engagement, particularly in high-risk and conflict environments, the UN system adopted a new strategic vision for security management. This involved a move away from an approach of “when to leave” a country/area to one that focuses on “how to stay” to deliver UN mandated programmes, even in highly challenging security situations.

KEY QUESTIONS

- What is my role as a Senior Leader concerning the security of my personnel?**

Senior Leaders should ensure that the psychological well-being of personnel is addressed, and that personnel and duty stations are fully prepared in the area of critical incident stress prevention and management⁵ and that they have taken required security training. Senior Leaders should set an example for their personnel by respecting security policies and procedures. They should ensure that any up-to-date security information is disseminated to all personnel in a timely manner.

ii. **As a Senior Leader, what exactly am I accountable for in terms of security arrangements?**

If you are a head or deputy head of a department or office at Headquarters in New York, you may be a member of the Senior Emergency Policy Team of the Secretary-General. The Senior Emergency Policy Team is responsible for policy decisions relating to emergency preparedness and preventive measures to address possible threats.

If you are based outside of Headquarters and are a DO, you are responsible for the security of UN personnel, premises and assets throughout the country, designated area or UN field mission. You have the requisite authority to take decisions on, for instance, the mandatory relocation or evacuation of personnel.

iii. **I often travel to high-risk areas in the field. What processes should I follow to assure my own security and that of those around me?**

Ensure you and your staff have completed a security request through the DSS on-line TRIP (Travel Request Information Processing) system and have **received clearance**. In addition, all travelers must have completed the **on-line basic security in the field course**, and if appropriate, also the advanced course⁶. Depending on the duty station, you may need to attend additional training such as a SSAFE (Safe and Secure Approaches to Field Environments) course in-country. For travel to high-risk locations, you may request a Security Risk Assessment (SRA)⁷.

iv. **I want to arrange conferences and meetings abroad. What are the security concerns that I need to be aware of and with whom should I coordinate?**

Promptly notify the DO in the country where the conference is to be held. At the same time, inform the DHSSS in DSS, which is responsible for the coordination and provision of strategic and technical advice for all special events held at venues away from UN Secretariat Headquarter. DHSSS will coordinate with the relevant security personnel in the country concerned.

v. **How do I budget for security needs and concerns in my programmes?**

As a Senior Leader, you should help raise awareness of the critical importance of adequate funding for security, especially in terms of enabling programme delivery.

A successful, security-based budget relies first and foremost on an accurate threat and risk assessment of the working environments, both at Headquarters and in field locations. Based on the assessment, the next step is to evaluate the level of coverage provided (and budgeted for) centrally by UNDSS (through cost-sharing arrangements), and by security arrangements provided by others. The purpose of this assessment is to match services already available with the requirements resulting from the threat and risk assessment.

vi. As a Senior Leader, what is the typical process to follow when responding to a security-related concern or crisis at Headquarters, an Office Away from Headquarters or a regional commission?

- Advise the head of DSS of the situation as soon as possible so that the requisite level of support can be properly established.
- Work closely with the Chiefs of Security and Safety Services/Sections at your location to resolve the crisis and implement the established Crisis Management Plan, which is part of the Security Plan for that particular location.
- Be aware that there are various levels of security management, which includes a Senior Management Group (SMG), normally chaired by the DO.
 - The SMG is responsible for keeping Headquarters in New York informed, seeking advice and support as appropriate, and providing direction to the Crisis Management Team (CMT) concerning further action. The SMG usually consists of the most senior officials at that location who are accountable for security management.
 - A secondary level of security management is the CMT, whose role is to manage the day-to-day issues of the incident and develop crisis resolution strategies for the SMG's consideration and approval. The CMT is normally responsible, for instance, for appointing a Crisis Negotiation Team and establishing Terms of Reference for endorsement by the SMG.
- The Organizational Resilience Management System (ORMS), once implemented, will serve as a comprehensive emergency management framework and will subsume crisis management, safety and security emergency operations, business continuity, emergency staff and medical support, and information technology (IT) disaster recovery⁸.

vii. As a Senior Leader, what is the typical process to follow when responding to a security-related concern or crisis in the field?

The host government holds primary responsibility for the security and protection of UN personnel, their eligible family members, and the property of the Organization. When a senior UN official is appointed as the DO for security⁹:

- S/he must first engage the authorities on their responsibilities for protecting the UN. This involves maintaining and enhancing relationships with the government.
- Second, it is essential that the DO request the authorities to designate focal points with whom the UN system can cooperate on a regular basis. The DO should likewise introduce his/her security professionals to the host government officials.

In the event of a security-related concern or crisis affecting the UN in a non-mission context:

- The DO must allow and enable the host government to respond. This means that the DO requests focal points designated by the host government to mobilize and coordinate support, including the provision of emergency contacts, procedures and resources. It should be noted that DSS Headquarters must be informed immediately of the event. DSS takes the lead in security crisis management and response in support of all duty stations, except in countries hosting DPKO-led UN field missions.
- Effective DSS HQ coordination of crisis management and response in support of the DO and SMT requires clarity on roles and responsibilities. A security-related crisis is managed at the UN duty station by the DO and SMT. The role of DSS HQ is to support the crisis response efforts of the DO and advise the Secretary-General and all affected components of the UNSMS. In the case of a catastrophic event that renders a DO and SMT incapable of exercising effective crisis management and response, DSS HQ may assume operational control of some or all of the security-related crisis management functions.

In the event of a crisis affecting the UN in the context of a peacekeeping operation or field-based special political mission:

- DPKO and the Department of Field Support (DFS) - with the Department of Political Affairs (DPA) in the event of a crisis in a special political mission - provide overall guidance and direction, expert advice and technical support for the duration of the crisis. DSS HQ maintains responsibility for the overall safety and security of UN civilian personnel, their recognized eligible family members,

and military and police personnel when not deployed with their contingent or unit. DSS HQ is an integral part of the crisis response mechanism established by DPKO/DFS and DSS representative(s) participate in the DPKO Crisis Response Cell.

ADVICE AND GUIDANCE

- Member States and donors expect the UN system to work in increasingly challenging areas, including amid on-going conflict. DSS has developed a **set of tools to assess and manage this risk. When planning programmes, it is important to turn to DSS for support to ensure a proper balance between security and programme considerations.**
- Security does not exist in an isolated context but cuts across many disciplines: it is inextricably linked to political, humanitarian, medical, human resources, financial, and procurement issues. As such, most of these disciplines as well as staff federations are represented at the Inter-Agency Security Management Network (IASMN) meetings, which coordinate security practices and policies across the UN system. **No matter what programme is being developed, security issues should always be a significant consideration.**
- The failure or success of programmes most often depends on the quality of the leadership. The same is true in security and safety management. There is no substitute for good leadership in the realm of security. This **requires clear, targeted, focused and tailored communication** with all staff under your responsibility.

DSS: A SOURCE OF SUPPORT FOR THE ENTIRE UNITED NATIONS SYSTEM

It is the role of DSS to support all staff in their work as it relates to the security and safety of their own personnel, staff, assets and operations. Senior Leaders therefore should view DSS as a department to turn to with any questions or concerns. For a list of the forms of support provided by DSS, see Annex Two of this chapter.

ANNEX ONE: SECURITY TRAINING OFFERED BY DSS

Training courses offered by DSS include:

- Security Management Team (SMT) training for Heads of Mission who are DOs and their senior advisors
- Hostage Incident Management training
- UN Close Protection Course for Close Protection Officers
- Basic Security in the Field (BSITF), which is mandatory every three years for all staff
- Advanced Security in the Field (ASITF), which is mandatory every three years for all staff based in, or travelling to, high-risk duty stations
- Critical Incident Stress Management training

ANNEX TWO: FORMS OF SUPPORT PROVIDED BY DSS

Forms of support available from DSS include:

- **Strategic guidelines:** The Secretary-General has delegated authority to the Under-Secretary-General (USG) of DSS to make executive decisions relating to the direction and control of the UN Security Management System (UNSMS). This includes the overall safety and security of UN personnel, their dependents, premises and assets at both field and Headquarter locations. The USG DSS may also raise critical security management issues to the executive heads of the organizations in the UN system or call an Executive Group on Security meeting to facilitate the decision-making process.
- **Crisis management:** The role of DSS Headquarters is to support crisis response efforts in countries and UN field missions and advise the Secretary-General and all affected components of the UNSMS. The USG DSS designates a crisis manager to coordinate DSS crisis management and response activities.
- **The Protection Coordination Unit:** responsible for managing personal protection details. Senior UN officials may be assessed as requiring additional protection to enable them to deliver their mandate. The unit has access to Member State and UN close protection personnel.
- **Special events and external conferences:** (see key question "I want to arrange conferences and meetings abroad..." above for details)
- **Training:** (see key question "How is security provided in the field?" above for details)
- **Crisis Management Information Support Section:** maintains the UN Security Managers Information Network (UNSMIN) website, which also provides a variety of tools and platforms to obtain, analyze and manage security related information such as the Significant Security Incident Reporting System (SSIRS) and the TRIP system.
- **Critical Incident Stress Management Section:** provides rapid professional response through its network of deployed stress counsellors. It also provides

and facilitates critical incident management training for UN senior managers and individual staff members as a preventive measure.

- **Aviation Risk Management Office:** provides advice on the relative safety of airlines flying in countries of interest.
- **Compliance, Evaluation and Monitoring Section:** assists DOs to monitor and evaluate compliance with security policy, procedures and guidelines.
- **Policy clarifications:** DSS has developed a comprehensive library of UNSMS policies and guidelines and can advise DOs on the scope, applicability and interpretation of these policies and guidelines.
- **Division of Headquarters Safety and Security Section (DHSSS):** has extensive experience and capacity that can be requested and deployed to field operations (although costs must be covered by the UN entity making the request) in the following areas:
 - Facility protection: operation of uniformed and armed personnel to provide security at major facilities.
 - Physical security: design and implementation of security projects e.g. perimeter protection and access control systems.
 - Electronic security systems e.g. ID card & access control, CCTV, alarm and public address systems, operations centre technology.
 - Conference security: uniformed and armed security officers provided from various duty stations to secure major, UN-sponsored conferences.
 - Personal protection operations (See "Protection Coordination Unit" above).
 - Specialized security operations e.g. specialized training in use of weapons, electronic counter-surveillance, and explosives detection (for instance, canine teams have been deployed at several major UN offices).

ANNEX THREE: RESOURCES FOR EMERGENCIES AND RELATED INCIDENTS

Critical Incident Stress Management Unit (CISMU)

CISMU is part of the Field Support Service (FSS) of the Department of Safety and Security (DSS). The CISMU team coordinates critical incident stress prevention and management activities throughout the UN system, coordinates and provides stress management training, delivers counselling services, and coordinates the UN response to critical incident stress in emergencies. CISMU provides the initial stage of counselling to all UN staff, system-wide (except at UN Headquarters and in the Offices Away from Headquarters where services are provided through the Staff Counsellor's Office), and provides referrals for staff that need medical treatment or long-term therapy to the UN Medical Services. CISMU has dedicated professional counsellors located at UN Headquarters and in the field. The unit works also with counsellors in field operations, across the UN system, and a worldwide network covering 90 duty stations of CISMU-trained and certified mental health professionals who are licensed in their country.

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UN Medical Services Division (MSD) hosts the Staff Counsellor's Office (SCO) and the Secretariat of the UN Medical Emergency Response Team (UNMERT)

SCO is a primary point of contact for providing mental health and psycho-social support to personnel at UN Headquarters and Offices Away from Headquarters for conditions such as stress, anxiety, depression, grief, burnout, substance abuse, relationship issues, and reactions to any other extremely stressful event. The SCO offers short-term individual consultations that are confidential and free of charge, provided by mental health professionals. For longer-term assistance, SCO offers referral services for external service providers. SCO has its offices established at UN Secretariat building and collaborates with counsellors in several Offices Away from Headquarters.

Contact: Ms. Sylvia Campo, Staff Counsellor

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UNMERT is a dedicated medical emergency facility which works in close coordination with DSS. The team is composed of 30 volunteering UN medical professionals who have been pre-trained and are ready to deploy at short notice to support mass casualty incidents globally, affecting UN personnel and offices. The objective of the team is to decrease morbidity and mortality among UN personnel and their dependants in case of a medical emergency, through the identification of needs and gaps in the immediate aftermath of a mass casualty incident and facilitating mass medical evacuation of injured personnel. UNMERT periodically conducts in-situ training programmes for emergency and mass casualty incident preparedness with UN Country Team and field operations.

Contact: Dr. Michael Rowell

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RESOURCES FOR EMERGENCIES AND RELATED INCIDENTS

Emergency Preparedness and Support Team (EPST)

EPST is a dedicated capacity within the Office of Human Resources Management (OHRM) to provide and coordinate essential human resources support to UN personnel, survivors and families of those who perish or are injured as a result of malicious acts, natural disasters or other emergency incidents. The team offers emergency preparedness training to build UN personnel capacity at their duty stations; serves as a dedicated human resources focal point during an incident, providing referrals and support to UN personnel and their families; and post-incident provides continuous support to survivors and families in navigating and following up on issues related to claims, compensations, etc., working with the relevant service providers within the UN. The EPST also serves as the Secretariat for the UN Memorial and Recognition Fund working with surviving families to access a one-time grant from the Fund, as well as plans and coordinates the convening of the Annual Memorial Ceremony at UN Headquarters.

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EMERGENCY PREPAREDNESS BEGINS WITH YOU!

An "Emergency Contact Information" module is available from: <https://inspira.un.org/>.

This tool enables staff to create and update a record of their emergency contact information. This information will be used for notification purposes only in case of an emergency.

Registration is quick and simple by following these steps:

1. Log into <https://inspira.un.org/> using your index # and password;
2. Click on Self-Service in the upper left corner;
3. Click on Personal Information => Emergency Contact Information;
4. Click first on the "Add an Emergency Contact" button and populate the fields, then click "Save";
5. If you need to provide any additional relevant information you can click on the button "Add Additional Information" and provide this information (optional).

If you have additional questions, please contact: epst@un.org or visit www.un-epst.org.

ENDNOTES

- 1 *Report of the Independent Panel on the Safety and Security of UN Personnel in Iraq*, 20 October 2003.
- 2 Three previous UN Secretariat structures – the Security and Safety Services (uniformed personnel), the civilian security component of the Department of Peacekeeping Operations (DPKO) and the Office of the UN Security Coordinator that managed field security - were integrated into a single entity.
- 3 European Bank for Reconstruction and Development, International Organization for Migration, Asian Development Bank, International Criminal Court.
- 4 See Chapter 4 for more information on the CEB.
- 5 Refer to Annex Three of this chapter for resources.
- 6 <http://training.dss.un.org/courses>.
- 7 Typically, SRAs are conducted for the area being visited. In exceptional circumstances, SRAs are conducted for the individuals visiting an area.
- 8 The concept for ORMS was approved by the General Assembly in its 67th session; the policy development and implementation framework is being submitted for approval at the 68th session of the General Assembly.
- 9 Refer to the *Handbook for United Nations Designated Officials for Security*, available from: <http://rconline.undg.org/wp-content/uploads/2010/12/DO-Handbook.pdf>.

9

INTERNAL AND EXTERNAL COMMUNICATIONS

“Think like a wise man but communicate in the language of the people”

WB Yeats

COMMUNICATIONS AT THE UNITED NATIONS

Good communications helps the UN explain what we do and why we do it, and allows us to demonstrate why the Organization is an indispensable institution assisting millions of people around the globe. Good communication can create and maintain the trust and support of Member States and the broader general public. Effective communication starts early and from the top, but every staff member has a responsibility to understand how to communicate effectively as an international civil servant. The UN has a fundamentally good story to tell. That makes communicating its messages much easier.

KEY QUESTIONS

i. What is the structure and roles of the Department of Public Information (DPI)?

- The DPI News and Media Division (NMD) creates and distributes multimedia products (e.g. web, television, radio and photo) about the UN's activities for dissemination worldwide. It monitors and analyses media coverage of the UN and provides support to journalists who work at the UN.
- The DPI Outreach Division (OD) engages and educates individuals and their communities worldwide to enlist and encourage support for the goals and activities of the UN. It draws upon celebrity advocates, global filmmakers, the academic community and students, for example, and leads the printing and distribution of UN publications. Its diverse work includes the Dag Hammarskjöld Library and Visitors Services, which manages UN tours.

- The DPI Strategic Communications Division (SCD) develops and implements strategies for communicating UN messages on priority topics and events. It manages the global network of more than 60 UN Information Centres (UNICs) and works to improve the coordination of messaging across the UN System.

Depending on your needs, you could approach any one of the divisions for the relevant assistance; in many instances, you could be working with two or more of the divisions on an initiative.

ii. Do departments and offices have their own public affairs capacity?

Certain departments and offices such as DPKO, DPA and OCHA have dedicated public affairs and communications components. These components engage intensively with field missions and field presences, their leadership and public information teams on the ground, and are a crucial bridge between the field and Headquarters (including EOSG, OSSG and DPI). As such, it is important to liaise with the public affairs entities of departments and offices on issues relating to their work, either at Headquarters, or in the field.

DEVELOPING A COMMUNICATIONS STRATEGY

Designing and executing a communications strategy is the first step of good communications. Every department/office should have a strategy, and one that is in step with the UN's overall communications strategy.

KEY QUESTIONS

i. Why should I message internally?

Effective communications begins with effective internal communications. If you do not explain your vision and your plans to your staff, you will have difficulty bringing them along with you. A department/office works more cohesively when its staff understand clearly what is expected of them as individual employees, and what is expected of the team as a whole. Without staff support, it is much harder to convince the media, Member States and the public about what you are doing.

ii. What are the key elements of a communication strategy?

The centre of any UN communications strategy must be people. It is easy to fall into the trap of focusing on processes and institutions. The UN was founded to assist the world's people. Your strategy must put a human face on the UN and show how the UN represents people, rather than being a distant entity that interacts from afar.

Your strategy should also consider your key goals, messages, and means of dissemination.

iii. What kind of support can DPI offer me in designing a communications strategy?

DPI's Strategic Communications Division (SCD) can assist with drafting, developing and implementing a strategy. It can also help you liaise with other UN entities to ensure that your strategy dovetails with and reflects the strategy and key messaging of the broader UN system. To obtain assistance, contact SCD.

ADVICE AND GUIDANCE

- **Be aware of DPI's in-house media platforms¹**, both traditional and digital, and what they can do to amplify your messages and promote your campaigns, your reports and all your other activities.
- Do not assume that the Secretary-General or his spokesperson should be the only person to speak out or defend a position. **If an issue is within your area of expertise or work**, you can and should speak out where appropriate. Remember to coordinate your messaging to the media through the Office of the Spokesperson for the Secretary-General.
- **Stay abreast of developments inside and outside of the UN:** use the UN website and daily briefings, and subscribe to news alerts, DPI products, and RSS feeds. You need to be informed of what the Secretary-General has said on a particular subject, which conferences are underway (even those that do not fall in your area of expertise), and which areas are being scrutinised by the press. You may wish to assign someone in your team to keep abreast of media matters and inform you every day.
- Communication with your staff specifically, and with Secretariat staff more broadly, should not be one-way. Ensure that you have created channels that enable staff to express their views, to offer feedback and communicate with you in the way that feels comfortable to them. **People have different styles of communication and you will need to cater to these:** have an open-door policy, create a "suggestions box", hold brown-bag lunches and town halls etc. You need to find a way to communicate with your staff that creates constant feedback loops.

- Do not underestimate the inter-cultural dynamics potentially at play in your department/office. Ensure that your **words and behaviour have been understood as intended**.
- In addition to DPI, **the UN library is an often untapped resource** for enhancing communications. If you need to know more about a particular topic or aspect of the organisation, the library has highly trained researchers who can assist.
- **Use the press to assist you in reaching your goals.** The press can raise awareness amongst strategic populations and Member States, and - in turn - help you to realize the objectives of your department/office. This means carefully aligning your internal and external communications strategies, which are both equally important.

TALKING TO THE MEDIA

KEY QUESTIONS

i. Who can speak to the media and why?

All UN staff should be able to speak to the media on matters related to their specific area of expertise; when doing so, they must provide factual information only and not opinions. Staff must exercise caution and discretion when speaking about sensitive matters. The UN has guidelines to help staff navigate the whys and wherefores of speaking to the media².

ii. How often should I speak to the media?

As head of a department/office, you should speak frequently to the media. You can and should conduct interviews, offer background briefings and give press conferences where appropriate. The media is more likely to report favourably on an institution when that institution is being open and forthcoming about itself and its activities. Furthermore, more than one person can and should speak about the UN; it should not fall solely on the shoulders of the Secretary-General. All senior officials must interact with the media to push out key messages and to promote and, if necessary, defend the Organization, in consultation with the Executive Office of the Secretary-General (EOSG) and the Office of the Spokesperson of the Secretary-General³.

iii. What kind of support can I expect from DPI?

DPI offers an array of communications products and services that can help you. Its News and Media Division can produce, promote and deliver key content, telling your stories through its multiple media platforms, including the:

- UN News Centre website
- UN Radio
- UN Television
- UN Webcast, which can broadcast your event
- UN Photo, which can capture your event
- UNifeed, which can distribute, for free, TV footage of the same event to broadcasters worldwide. It can also monitor media coverage of your department or your initiative.

DPI's Strategic Communications Division can offer critical, informed and expert advice on how to maximize the communications impact of a conference, campaign or initiative. The division can create and implement a communications strategy or campaign for you. It can advise on how to harness the power and reach of social media. A DPI-led network of more than 60 UN Information Centres (UNICs) can also help you to engage local audiences and disseminate key messages. The centres can translate your documents into local languages and place op-ed columns for distribution in different markets.

DPI's Outreach Division offers innovative ways to tell your story, working closely with external partners – from Hollywood filmmakers to NGOs and universities – to tell the story of UN staff and activities in creative and thought-provoking ways.

ADVICE AND GUIDANCE

- Don't assume that you can get away with ignoring the media. **Engage with the media** to tell the UN story.
- Always **stay on message** during interviews. When you are pressured or distracted by the interviewer, come back to your key messages and reinforce them. Keep It Short and Simple (KISS)!
- Outside the UN, no one likes – or speaks in – “UN-ese”. **Speaking directly and simply** will ensure that your messages hit home – this means avoiding acronyms and jargon.

- Good interview technique takes time and practice. Consider taking media training; the **Office of Human Resources Management (OHRM)** offers one-on-one media training through the Induction Programme for Senior Leaders - we highly encourage you to make the most of this opportunity. Remember that presentation and body language can play an important role in how you are perceived.
- **Writing statements** and ensuring they convey the right political message is an important skill. DPI offers training on writing statement.
- **Never lose your cool** during interviews or press conferences, even when provoked. A careless remark or incident can generate global headlines. There are simple techniques and advice for keeping your temper and maintaining control of your emotions.
- **Remember that whatever you say to a journalist (or in any public setting) could be quoted;** never assume that because you tell the media something “off the record”, this will be the case!
- **Tailor your message** to your audience: your communication strategy will differ when speaking to the media, as compared to speaking to non-governmental organizations (NGOs), the private sector, foundations or academic institutions. DPI can assist with adapting your message.
- Choose your target audience early on and get to know them; you may wish to make an early connection by **bringing together key people from the UN press corps** (for example from news agencies, broadcasters with a good geographic mix, newspapers and magazines). This will give them a chance to get to know you and vice versa. You can make this a social, informal event to introduce yourself and your vision for your department/office. You may wish to ask for advice from DPI on who to invite and how to manage the session.
- **Promote (and defend) the UN!** Whether it is in your area of expertise or not, you should know the work of the Secretariat well enough to be able to respond to basic questions on the work of the UN broadly. This requires regularly stepping out of your own domain, to understand and engage with the work of the Organization as a whole, and to be aware of sensitive issues. This enables you to be an active promoter and defender of the Organization you represent. At the same time, you are not expected to be an expert on every part of the Organization or to speak on behalf of others. Specific questions outside of your area should be referred to the appropriate department/office or the Office or the Spokesperson for the Secretary-General.

OFFICE OF THE SPOKESPERSON FOR THE SECRETARY-GENERAL

The Office of the Spokesperson for the Secretary-General (OSSG) provides information every day to the media about the activities of the UN as a whole, and of the Secretary-General in particular. The OSSG does this through the daily weekday noon briefing, responding directly to journalists' questions, conducting briefings (on-the-record and off-the-record) and organizing interviews for the Secretary-General, the Deputy Secretary-General and other key UN officials.

The other main task of OSSG is to provide important communications advice and real-time updates on news developments to the Secretary-General and Deputy Secretary-General and other senior officials within the UN Secretariat, and while travelling.

KEY QUESTIONS

i. Is the Office of the Spokesperson for the Secretary-General part of DPI or the Executive Office of the Secretary-General?

The OSSG has one foot in DPI and one foot in the Executive Office of the Secretary-General (EOSG). This helps spread the responsibility and workload for communications, and also ensures that the communication strategy between the Secretary-General and the Secretariat is harmonized.

ii. I would like to make a statement to the press – both via a major television channel and through a newspaper op-ed: what process should I follow?

You should alert OSSG that you intend to reach out to the press to ensure that the Secretary-General or another official is not already in the process of making a statement. If so, you should consult with EOSG or the appropriate UN entity to determine whether to proceed with your own statement, whether to issue a joint statement or op-ed with another UN entity, or whether to arrange an interview.

You should also contact DPI-NMD, so that they can disseminate the content of your statement or op-ed through its various media platforms (UN News Centre, UN Radio etc.) and monitor its pick-up. You can also contact DPI-SCD for help from UNICs in placing the op-ed in papers worldwide and for strategic advice on the content of the statement or op-ed, or the appropriate media outlet for an interview.

iii. **The Secretary-General needs to make a statement which concerns my department/office: what will be expected of me? How should I go about communicating to him the required information?**

Your department/office will be expected to provide either the raw inputs or a first draft of the statement to the EOSG for clearance. Your department/office should actively liaise with EOSG to ensure that this process is underway and that you send the information to the correct staff members in EOSG, depending on the statement.

ADVICE AND GUIDANCE

- Whenever you are making public statements or giving interviews on areas that go beyond your department/office, **please consult OSSG** to ensure that your messages are in line with broader UN messaging. Consult OSSG, DPI and EOSG where relevant to ensure that your messages are coordinated. Your message will be more effective if it can be amplified and echoed by coordinating with other Senior Leaders and with the Secretary-General.
- When writing op-eds, be as **direct and plain-spoken as possible**. Avoid florid language, acronyms, jargon and UN-ese. Give real-life examples. Introduce anecdotes where appropriate. Ensure that human “voices” are in your op-ed as much as possible. Write as far in advance of the deadline as possible so that it can be ready for translation. Share your draft widely so that DPI and concerned UN entities can give pertinent comments and advice on the text.
- OSSG can issue statements on your behalf. If, for example, you need to make a statement that may be politically sensitive, **consult with the OSSG on whether it makes sense for the spokesperson to make the statement for you**. This will give you some leverage and distance from the statement being made, while still conveying the message required. This may also help differentiate the content of messages issued directly from your department/office. Similarly, if you are asked a question to which you do not know the answer, you can always defer to the Spokesperson.
- If your department/office is asked to prepare a statement and potential questions and answers on a particular topic for the Secretary-General, make sure you prepare answers to **difficult or controversial questions** as well as more basic ones. Journalists are likely to ask difficult questions, and the Secretary-General needs to be well-prepared to take on those questions appropriately.

MULTILINGUALISM

Your communications campaigns and initiatives can be far more effective and reach a much broader audience when they are carried out in more than one language.

KEY QUESTIONS

i. **In which languages should messages be disseminated?**

The UN has six official languages (Arabic, Chinese, English, French, Russian and Spanish) and the Organization (through DPI, OSSG and others) has the capacity to disseminate messages and content in all of them. In some cases, messages and content can be disseminated in other languages, through UN Radio and UNICs worldwide.

Communications campaigns must be tailored according to the history, needs and practices of a particular language and culture – what may work in English as a message may not make sense in French or Russian, for example.

ii. **I would like to transmit a message to a newspaper. What is the time and process required?**

This depends on the language and the availability of staff. DPI usually needs at least a week to translate and disseminate your op-ed or statement to a foreign news outlet. You should consult with DPI-SCD as far in advance as possible, to determine if there is sufficient time to translate, whether the news outlet you have chosen is the most appropriate (highest circulation, most influential audience etc.) and whether this statement or op-ed is the most effective communications move for you and your department/office. This process is also vital to ensure that DPI can have the staff and resources in place to translate and/or place the op-ed or statement.

ADVICE AND GUIDANCE

- **Engaging with non-English language news channels and newspapers is encouraged.** Too often the UN is monolingual in its approach to communications. This often leads to messages becoming “lost in translation”. If you or your colleagues speak languages other than English fluently, please give interviews and submit messages in those languages as often as practical or relevant. Consult with DPI-SCD

for advice on which news channels and newspapers are the most appropriate vehicles for airing your messages. Be aware of different cultural sensitivities and attitudes during interviews and when trying to place op-eds or statements – the media culture can vary sharply from country to country.

- The issue of **language is political**. The UN is made up of 193 Member States, each with its own media outlets. Some media outlets will prove more important for the work of your department/office than others, but that does not mean that you should ignore others. It is important to think through how to engage with Member States through a communications strategy.

LEVERAGING SOCIAL MEDIA

Facebook, Twitter, Pinterest, Storify, Weibo and Tumblr, can be used to promote the message of your department/office. Social media are especially valuable as a vehicle for reaching audiences who do not otherwise engage with the UN. Use the social media guidelines prepared for the UN to help direct your interactions. Consult with DPI colleagues about how to use social media effectively. Below is an example of guidelines on how to use Twitter – an increasingly popular site for communicating to the public⁴.

KEY QUESTIONS

i. How do I write a good “tweet”?

“Tweets” happen in real time, so tweet things as soon as they are relevant, but be mindful of “overtweeting.” Space out the timing of your tweets to avoid user fatigue or being unfollowed. Keep in mind that tweets are considered public domain, and may be used by other users or journalists as quotes. You may also be re-tweeted by people other than your followers.

Consider tweeting positions on current issues, or topics that may be actively discussed on Twitter, and that are relevant to your work. Go over Twitter’s “trending topics” to see what is being discussed in real time, but keep in mind that these topics may not be of interest to you or relevant to the work of the Organization. You may also like to consider tweeting work-related activities such as visits, trips, meetings with heads of state or other senior officials.

Include context in your tweets whenever possible (historical background, links to related documents/statements) – this helps avoid misunderstandings and add legitimacy to your posts. If your department/office is releasing a report or statement, Twitter can be a way to promote it.

Other issues to keep in mind include:

- Remember that you are the face and the voice of the Organization.
- Before posting something, it is best to assume it will stay on the Internet forever – even if you delete a tweet. If an error is made, it is better to acknowledge it, and apologize if necessary.
- Be ready to face questions, criticism or provocations. If you decide to answer, remain calm and objective.

ii. How else can I use Twitter to promote the work of my department/office?

Applications such as Instagram allow users to post pictures, usually from mobile phones, to their Twitter accounts. Through Twitter, it is also possible to have “tweet ups” or chats in which users can send questions via hashtags on certain topics. It is also possible to promote and conduct video chats where fans/followers send questions via Twitter and answers are posted using YouTube, UN Webcast or Google Hangouts.

ADVICE AND GUIDANCE

- Social media is not going away. **Learn how to use a variety of social media**, and have in place a way to monitor what people say on social media about you or your department/office.
- Keep in mind that regardless of what is stated in your “Bio” section, it will be assumed by other Twitter users that your tweets represent the position of the UN or your department/office. **Be careful what you tweet**; you may also want to run your tweets by your management team or EOSG first if you have any concerns. Be careful especially when making personal statements or giving opinions on topics beyond your area of expertise.
- Posts should be well-written, concise, and understandable at first reading. You should therefore avoid making statements that require more than one tweet; be mindful of grammar and spelling. If possible, try not to use all 140 characters, leaving space for others to re-tweet you. The amount of space you need to leave will depend on the length of your user name. Whenever possible, **have someone quickly proofread your tweets, especially those on sensitive topics**.

- Remember that users may not always be familiar with **specialized terms or UN acronyms**.
- If you are sharing a link, use a link-shortener such as bit.ly or consider using the same shortener that your office's communications teams or department/office uses. You can ask DPI for more guidance on this if necessary.
- **Do not over-re-tweet (RT)** - have a balanced mix of RTs and original content. It is better if you include a word or two of your own before a RT, in order to give it a context as to why you are doing this (avoid generic words such as "interesting"). If you have to modify a tweet before retweeting, such as making it shorter, use the letters "MT" (for modified tweet) rather than RT before the quotation.
- Twitter is a great tool to interact with others – both those within and outside of the UN system. Learn the Twitter accounts of other officials, so you can tag them in your tweets, which may in turn generate a re-tweet on their part. **Reply to questions posed by other users whenever possible**, even if they are critical, but don't engage with users who seem to be provoking a fight or who seem to be reaching out to all world leaders - always check their bio and timeline to see what kind of tweets they are posting.

Important additional tips on using Twitter are available in Annex Two to this chapter.

REPUTATION MANAGEMENT

Criticism of the UN, and of your specific department/office – and even you – is inevitable. The question is how you respond to it. Too often in the past, the UN has responded slowly or not at all to criticism and attacks. It is important to remember that perceptions, however false, can become reality on the ground.

While this should not lead to overreaction, the UN should respond in a tailored and measured way to criticism. It must get out ahead of a difficult topic or a matter where the UN has received deserved criticism. This shows transparency and a willingness to admit fault - qualities that will serve the UN's overall image well in the long-term.

An example of a lesson learned was the initial UN communications response to sexual exploitation and abuse (SEA) allegations by UN personnel in the field. The response was slow, and would have benefited from an earlier acknowledgement

of problems or mistakes. In recent years, the UN has become more active in communicating its efforts to tackle this subject.

KEY QUESTIONS

- i. **What process should I follow if I think there is a risk to the reputation of my department/office and the Organization as a whole?**

Consultation in advance with EOSG, DPI and OSSG, and with other concerned UN entities where relevant, is critical. A UN task force or ad hoc group may need to be formed to deal with the situation, particularly if it involves an unfolding crisis.

- ii. **I think I made a mistake when I spoke to the media yesterday. What should I do?**

Inform the OSSG. They may be able to issue a "correction" or informally talk to journalists to brief them on what you should have said to the media. Inform DPI – their news media platforms may have already disseminated your erroneous comments and they will need to correct them. DPI can also offer advice on remedial measures – a well-placed subsequent interview or an op-ed may help in overcoming the false impression you left with your initial comments.

ADVICE AND GUIDANCE

- The UN is connected as never before. Outside UN Headquarters, the general public and much of the media make no distinction between the various entities of the UN. Damage to one part of the UN therefore impacts on the entire Organization. Thus, **it is important that UN messaging is coherent and coordinated**, particularly in the wake of a "scandal" or issue of reputation management.
- In an era of social media and 24/7 news media channels, public scepticism about institutions – including the UN – is at an all-time high. Now is the time to be as transparent and accountable as possible in communicating with the public. **Be honest and own up when a mistake has been made.**

OTHER WAYS TO COMMUNICATE WITH THE PUBLIC

There are many non-traditional ways to disseminate a message or conduct a campaign, and you should consider these options when appropriate, tailoring them to the needs of a particular demographic or type of audience.

KEY QUESTIONS

i. What are alternative ways of communicating with the public?

Public service announcements, advertising campaigns and celebrity advocates are all effective ways of reaching out, especially to audience segments that do not traditionally follow or know much about the UN and its work. Other examples include: street theatre, village meetings, sporting or cultural festivals or events, religious gatherings, and official caravans that travel from place to place, to name a few.

ii. I would like to use some “non-traditional” ways to reach out to the public. What kind of factors do I need to take into consideration? Can DPI help?

You need to consider which non-traditional ways are appropriate to your particular campaign or department/office. Think about which type of audience you want to reach. Then consider which ways would be most effective at reaching and capturing the interest of this demographic. Which ways would be culturally appropriate for the region/country you are considering? What are the needs of this type of audience – are they largely illiterate with a preference for visual/ audio rather than written messaging, for example? Are they likely to use social media? What other non-UN groups are worth enlisting in your campaign – celebrity advocates? Universities? NGOs? Consult DPI for advice and support in developing and implementing this kind of outreach.

INTERNAL COMMUNICATION

While it is essential to inform Member States, affected populations and the general public of your activities, it is equally important to ensure other parts of the UN also have a good understanding of your mandate and how you intend to achieve it. The Secretariat functions as a whole, and it would not be uncommon for questions about your mandate to come up in interactions between Member States and other UN and Secretariat entities. **Communicating internally**, therefore, is vital.

ADVICE AND GUIDANCE

- Use a **variety of communication channels** to generate understanding and dialogue in your department/office. Channels can be formal (e.g. meetings and town halls), or informal, such as brainstorming sessions, social events, and celebrations. It is important not to rely solely on digital formats – face-to-face time is critical.
- Around the time of the regular session of the General Assembly in particular, you may want to prepare a **short briefing with key messages** for the information of Secretariat colleagues, so that if your issue comes up in interactions with delegates and visitors, other parts of the Secretariat are able to give informed answers.
- DPI can assist you with leveraging the Secretariat's intranet platform, iSeek, to communicate messages to staff and colleagues at large.

ANNEX ONE: MEDIA GUIDELINES FOR UNITED NATIONS OFFICIALS

United Nations Secretariat Relations with the Media

The policy

- i. The United Nations is committed to being open and transparent in its dealings with the press. It is in our interest to work with the media quickly and honestly, and to develop a coherent communications strategy based on those same principles. We should not only react to events but, where appropriate, project the Organization's point of view on important international developments. However, we must sometimes keep confidences -not to mislead or conceal, but to protect a diplomatic process. Our media policy must, therefore, balance the need to be open and the need to respect confidentiality.

Speaking to the Press

- i. The principal voice of the Organization is the Secretary-General. He speaks to the media frequently, at Headquarters and when travelling.
- ii. Media policy is an integral component of the broader communications and public information work of the Organization, headed by the Under-Secretary-General for Communications and Public Information. The Director of Communications in the Office of the Secretary-General is responsible for coordinating the development of a communications strategy that would help project to the world's media a coherent and consistent message for the Organization.
- iii. The Secretary-General's Spokesperson and his/her staff speak to journalists on the Secretary-General's behalf throughout the day. The Spokesperson receives guidance directly from the Secretary-General and senior members of his staff. As the Spokesperson's staff cannot be expert in all subjects, they seek the assistance of UN specialists - either to provide them with information that they can pass on to the press or to speak directly to the journalists themselves.
- iv. As a matter of principle, every member of the Secretariat may speak to the press, within limits:
 - Speak only with your area of competence and responsibility
 - Provide facts, not opinions or comment
 - Leave sensitive issues to officials who are specifically authorized to speak on them.

Sensitive Issues

- i. The number of officials speaking on sensitive issues is necessarily limited to:
 - The Spokesperson, on the basis of guidance
 - Designated members of the Secretary-General's staff and Heads of Department[Office], within their areas of competence
 - Staff authorized by their heads of department/office, on the basis of guidance
 - Directors of UNICs, on the basis of guidance from Headquarters.

- ii. For those speaking on sensitive issues, knowing the journalist's particular interest in a story can be useful. Such information can usually be provided by the Director of Communications or the Spokesperson.
- iii. No staff member should presume or pretend to speak for the Secretary-General or characterize his views without his explicit consent.

Sharing Information

- i. For the United Nations to communicate effectively with the outside world, it needs to do the same internally. Senior officials should share information with those under their supervision and should keep each other informed of their media activities.

Ground Rules

- i. All UN officials should normally speak to journalists on the record - that is, for attribution. Sometimes, though, officials specifically authorized to address sensitive issues can give a journalist a deeper understanding of an issue by speaking on background. However, it is very important that the journalist know on which of the following bases the conversation is being conducted:

On the record: "Everything I say can be attributed to me by name."

Not for attribution (on background): "Don't attribute this to me by name, but rather to a UN official."

On deep background: "Use my ideas but not my words; don't attribute to anyone."

- ii. Keeping the Secretary-General's Spokesperson informed of important background briefings will help provide an indication of the issues that the media is interested in.
- iii. It is unwise, and may sometimes be unethical, to tell one journalist what another is working on, or to suggest that one journalist discuss a pending story with another.
- iv. Officials should not feel that they have to answer every question, in particular any hypothetical ones.

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ANNEX TWO: ADDITIONAL GUIDANCE ON USING TWITTER

i. How do I create a Twitter account?

If you have decided to create a Twitter account, be prepared to have it updated constantly. The following are some parameters for creating the account on behalf of your department/office:

- Consider using an instantly-recognizable photo of your face instead of a logo. Note: It does not have to be an official photo.
- If available, choose a username that reflects your full name, in order to be easily remembered. You may also include the name of your department/office. Remember that your name takes up part of the 140 characters available on Twitter for retweets and "mentions," so the shorter the username, the better.
- Include your full name and website of your department/office in the "bio" section. You may also consider listing your current position, background, or what you intend to tweet about.

ii. Who should I "follow"?

It is not mandatory, or even customary, to follow every account that follows you. However, you are encouraged to consider following senior staff in other UN entities, staff within your department/office, specialized media in your area of work, and opinion/thought leaders.

Keep in mind that accounts you follow are visible to other Twitter users. Avoid following brands, companies or personalities with which you would not necessarily wish to be associated. You may follow people that are in touch with you regularly and whose opinion may be of interest.

iii. Should I "retweet"?

Re-tweeting is a way of promoting other accounts (other UN staff, agencies, campaigns). Even if you state otherwise in your bio, re-tweets (RTs) may be implicitly seen as endorsements. Before re-tweeting, double check your sources to see if they are reliable and make sure the links work. Re-tweet content that might be of interest for you, but also to your followers.

iv. What is a hashtag and why is it used when tweeting?

If there is a hash (#) in front of a word or phrase (this is known as a "hashtag"), Twitter automatically creates a link from that word to all other tweets tagged the same way, making it easier for users to find tweets on the same subject. Consider using hashtags for countries, agencies, personalities, special days, current issues, or trending topics. Instead of creating your own hashtags, see what others are using first in order to join into an existing conversation or to support your organization's ongoing campaigns. Use hashtags sparingly - avoid having more than two hashtags in one tweet.

v. How should I interact with other twitter users?

Twitter users expect interaction, especially from personal accounts. Remember that Twitter, as other social media tools, is about having a conversation with users interested in our work. Users can "mention" you in a tweet by typing "@" at the beginning of your username. In order to see who has mentioned you in a tweet, click on the "@ Connect" tab on your home page. When you "mention" other accounts, it alerts the account of your post and is done often as a courtesy to the other accounts.

ENDNOTES

- ¹ These include UN Radio, UNTV, Unifeed, Webcasting, UN Photo, News Centers, and others. A full list of services is available from: <http://iseek.un.org/m210.asp?dept=580>.
- ² See Annex One for the official media guidelines for UN officials.
- ³ See Annex One for a copy of the official media guidelines.
- ⁴ For additional guidance on how to use Twitter, see Annex Two.

10

**MANAGEMENT
AND LEADERSHIP**

“Successfully meeting the challenges facing the organizations of the [United Nations] common system requires strengthened leadership and management capacity, as well as an enhanced ability to work together. Managers in the United Nations can no longer be only substantive experts; they must also be leaders of people and managers of resources, information and change, operating in a complex multicultural environment...They require the tools and strategies to become more creative, versatile and multi-skilled managers who are client oriented, team builders, strategic thinkers, who are less risk averse and able to work collaboratively within and across the Organization.”

Fabrizio Hochschild,
In and Above Conflict – A Study on Leadership in the United Nations,
July 2010

MANAGEMENT AND LEADERSHIP AT THE UNITED NATIONS

Even the most experienced leaders are tested by the multi-cultural environment of the UN. With 193 Member States, the Organization has the largest and most complex “board of directors” in the world. A leader’s success in adapting to the UN’s unique challenges “affects how the UN is viewed, its credibility and the leverage the organization enjoys”¹.

Leadership has a significant influence on staff motivation and performance; it determines in part the quality of staff attracted to and retained by the institution; it can facilitate organizational change or make it more difficult; it furthers or undermines the ability of the system to work as a cohesive whole; and most importantly, the quality of

leadership has a major impact on the UN's ability to sustain and to give meaning to the unique set of principles and international norms that underpin the organization and lend it authority and enduring relevance².

In more than 80 interviews conducted³ during the development of the "Induction Programme for Senior Leaders", respondents highlighted the importance of good management and strong leadership skills in navigating the unique multi-cultural and political dynamics of the UN system.

Good managers work to find effective and efficient means for achieving goals within available resources. They help teams work together effectively, and support individuals to keep them motivated, engaged and qualified. Managers ensure that budgets are adequate for the objectives and that there are systems in place to monitor progress.

A strong leader will ensure that there is a clear vision and direction for a unit, department or organization. He/she thinks strategically, navigates the external environment and plans for the future. The leader mobilizes others around a vision and creates an environment where staff is empowered to perform optimally. In times of change and transition, a strong leader inspires people, creating hope and excitement in a climate of uncertainty.

Leadership and management go hand-in-hand. A manager will be more effective if he/she also has some leadership skills, while a leader with management skills can better support the execution of a plan or strategy.

KEY QUESTIONS

i. What advice do UN personnel have for Senior Leaders on management?

Interviewees gave the following advice on how Senior Leaders could be more effective in the way they managed their teams, departments and offices:

- Senior Leaders need to better balance their attention to leadership on the one hand, and management on the other. A number argued that UN Senior Leaders tended to focus on leadership rather than management. Respondents also felt leaders should not only prioritize their role as advisors to the Secretary-General, but should also take seriously their responsibilities toward their staff.

- Senior Leaders who come from outside the UN system often initially underestimate the complexity of the system, and the challenges faced by those new to the system.

Senior Leaders who include experienced insiders in their teams tend to have easier transitions.

- Senior Leaders often under-exploit the first few weeks on the job, failing to adequately seek-out or listen to the ideas and concerns of staff. They also felt that Senior Leaders tend to underestimate the extent to which they are “under the microscope” at the beginning of their tenure.
- Senior Leaders should cultivate relationships with staff of all levels, not just peers. Interviewees suggested that greater interaction with junior staff could help Senior Leaders more effectively monitor the performance of their senior teams, and promote a culture of inclusivity within the department/office.
- Senior Leaders need to balance travel and office time.
- Some Senior Leaders need to ensure sufficient attention is paid to internal communication, in addition to their efforts at external communication.

ii. What advice do UN personnel have for Senior Leaders on leadership?

Interviewees highlighted the following:

- Senior Leaders should include staff in setting a long-term vision.
- Senior Leaders should beware of implementing major changes to the structure of their department/office too early. Taking decisions before gaining a full understanding of existing structures and relationships was seen as a major cause of resentment among staff.

ADVICE AND GUIDANCE

- The Office of Human Resources Management (OHRM) offers Under-Secretaries-General and Assistant Secretaries-General the possibility to have **one-on-one Executive Coaching**; this is designed specifically to help guide new Senior Leaders in meeting the challenges of management and leadership within the UN. Many UN Senior Leaders who have benefited from executive coaching have had very positive experiences, citing, for example, their opportunity

to confer with a knowledgeable person on a confidential basis, and to receive useful suggestions for improved, tailored leadership and collaboration techniques.

- Navigating the UN system and understanding practices can be challenging, especially early on. Senior Leaders should network informally as much as possible to establish those relationships. You can also reach out to the expert resource persons involved in the "Induction Programme for Senior Leaders".
- A retreat early in a leader's tenure can be a helpful way to build a shared, long-term vision, and to develop closer relationships. OHRM can advise on organizing a retreat, when required.

TEAM BUILDING

Senior Leaders are responsible for the effective functioning of their department/office, and ensuring that relationships remain harmonious. Senior Leaders may delegate many day-to-day responsibilities to their directors, but must still pay attention to team building issues, and provide direction, tone and guidance on both substance and team dynamics. Senior Leaders should not just be concerned with their front office and senior staff; their responsibilities extend to the wider department/office.

KEY QUESTIONS

- I have "inherited" several teams that I feel are not performing as well as they could. What are issues that might need to be addressed?**

Patrick Lencioni, a US writer on team management, has identified five "dysfunctions"⁴ as requiring attention by managers. These are:

- Absence of trust among team members
- Fear of conflict where team members "resort to veiled discussions and guarded comments"
- Lack of commitment to decisions
- Inattention to results, "when team members put their individual needs...above the collective goals of the team"
- Avoidance of accountability, due to a lack of real commitment and buy-in.

All five dysfunctions are connected: if one is allowed to flourish, it will have an effect on a team's behaviour as a whole.

ADVICE AND GUIDANCE

- As a new leader, it is important to **address conflicts early on**. Most issues can and should be managed informally, and OHRM can assist with expert coaching on conflict resolution. In case of escalation, it is essential to understand the UN's Administration of Justice (AOJ) system. See "Chapter 5 - Ethics, Accountability and Oversight" and "Chapter 6 - Human Resources" for more information.
- OHRM can provide advice on ways to improve team performance through its organizational development support programmes.
- You can use the test contained in Annex One of this chapter to help **assess potential team dysfunctions**. Your managers may be familiar with additional tools and techniques to apply this model if they have participated in the Management Development Programme or the Leadership Development Programme.

KEY PRACTICES OF EFFECTIVE MANAGERS AND LEADERS

When reflecting on the type of leader and manager you wish to be, it is important to consider both "big picture" issues, related to vision and strategy, and management issues, including relationships with peers and staff.

KEY QUESTIONS

i. What are key practices of effective UN leaders?

A 2010 study on leadership in the UN involving extensive interviews with Senior Leaders across the UN system outlined 11 key practices of effective UN leaders who⁵:

1. **Recognize their role as leaders, their potential and limitations.** They are as aware of their weaknesses as they are confident of their strengths.
2. **Build a diverse, critical team.** They choose advisers with complementary skills, with the courage to contradict them, and to draw their attention to issues they may prefer not to confront.
3. **Are non-national, non-regional, and cultivate a UN culture.** They surround themselves with staff from countries and regions different to their own place of origin. They are aware of their national mannerisms and can communicate across cultures. They are seen to be independent of any government, especially their own.

4. **Have a profound understanding of the terrain they seek to change.** They are in command of all the facts and a large part of the detail. They understand the constraints, the tensions, the complexity and contradictions; they understand the power games behind the scenes. They know what they can and cannot control. They are attentive of the main stakeholders and powerful states. They remain aware of how others perceive them, their position and the Organization.
5. **Formulate and communicate a vision.** They are fully aware of, but don't get bogged down in, the contradictions and the complexities of the situation. They choose a limited and realistic number of priorities, and set ambitious goals. They induce a sense of purpose, and remind people why they are there, why they joined the UN, and why the UN matters. They communicate a vision clearly and repeatedly.
6. **Promote what the UN stands for.** They understand the principles of the Charter, and the norms the Organization promotes. They foster the moral authority of the Organization and recognize that principled action, while not always expedient, lends the institution its only lasting leverage. They focus on making a difference for those who need the UN most, especially when it is difficult and controversial to do so.
7. **Are wise and courageous.** They have the moral courage to say no and to stand up for a position even when to do so will draw attack. They are courageous but their actions are calculated. They do not act impulsively. They are realistic, and understand that failure is sometimes inevitable.
8. **Build alliances.** They lead laterally and from behind the scenes when necessary. They can convince others of their vision and foster unity of purpose among UN and other international actors.
9. **Know it's all about the staff.** They know their staff, their fears and hopes. They remain in touch with staff at all levels and physical locations. They are accessible and work to gain the support of staff, making them their allies. They show they care. They consult downwards.
10. **Make room for others to lead.** They remove the obstacles that stand in the way of leadership by staff at all levels. They encourage staff to take initiative and let them take risks. They coach them and build their confidence.
11. **Are resilient and look for long-term as well as short-term gains.** They are calm and patient, and don't take things personally. They under-react to stress, and stay above the noise. They are conscious of Urquhart's dictum: "...hold on to your belief in reason and compassion despite all political maneuvering...A determined effort to do what seems objectively right ... in the end produce[s] results."

ADVICE AND GUIDANCE

- Take the **Strengths Finder and Emotional Intelligence appraisal tests**. OHRM can provide a copy of the book and access code to the online test⁶. According to management expert Tom Rath, **concentrating on your strengths has greater impact than focusing on your weaknesses**. That said, an understanding of your weaknesses can help you to better identify people with the skills to complement you.
- Try to **find people early on whom you can trust**, who will provide strong support, and can provide honest, constructive feedback.
- Refer to the International Peace Institute's (IPI) **Management Handbook for United Nations Field Missions**. It provides a summary of takeaways on leadership of UN field missions⁷, many of which apply to other UN settings.

THE IMPORTANCE OF VISION: SOME PERSPECTIVES

Leading within the UN requires a solid team that works in coordination with others across the UN system. This requires strategic direction, operational coherence, and effective communication with a wide variety of UN entities.

KEY QUESTIONS

- i. **What are some of the most important issues to keep in mind when developing a vision?**
 - As the head of a department/office, you represent the Secretary-General. In your early meetings, he may share with you his vision for your department/office. Remain faithful to this vision, and work with your staff to create a detailed strategy for its implementation.
 - It is important to give your staff a genuine opportunity to participate in the formulation of this vision.

ADVICE AND GUIDANCE

- Solicit and listen to a range of views. Town halls are one useful vehicle to achieve this.

LEADING AND MANAGING CHANGE

Leading change, which many Senior Leaders will be responsible for, will likely be one of the most challenging aspects of your new position. Staff may feel a sense of loss - real or imagined⁸ - which can be difficult to manage. You bear responsibility for the changes you oversee, and must balance your own emotional responses with those of others. This takes skill, patience and perseverance. You will need to decide where to focus your attention. This requires a keen understanding of your department/ office, its place within the Organization as a whole, its resources, and the challenges it is expected to meet.

KEY QUESTIONS

i. How can I approach change in my department/office?

In his book *Leading Change*, Harvard Business School Professor John Kotter conceptualised an eight step process to help lead change effectively.⁹

- **Step One: Establish a sense of urgency.** This requires connecting with your team and inspiring them to change by making clear the need to change.
- **Step Two: Create a guiding coalition.** Leading alone can be difficult and dangerous; it can be helpful to surround yourself with a team of committed individuals who have "position power", expertise, credibility and leadership.
- **Step Three: Develop a change vision.** A vision helps motivate, coordinate and guide action. A vision must be "imaginable, desirable, feasible, focused, flexible and communicable".
- **Step Four: Communicate the vision for buy-in.** The vision needs to be communicated through as many channels, and as often, as possible. It should be, "simple, vivid, repeatable and invitational".
- **Step Five: Empower broad-based action.** This means removing barriers, structures and processes that may prevent people from doing their best work.
- **Step Six: Generate short-term wins.** Short-term wins are a vital part of a long-term strategy. These wins need to be "visible and unambiguous"; they will help keep everyone on board the process.

- **Step Seven: Never let up.** It is essential not to lose “critical momentum”. This is the point at which it is important to insist on, and expand upon, the change underway.
- **Step Eight: Incorporate change into culture.** Culture ensures that changes remains, but for change to remain you need to prove that the new vision is better than the old. This means communicating and reinforcing that vision.

ADVICE AND GUIDANCE

- OHRM can provide advice on change management expertise that may be available.

ANNEX ONE: ASSESSING TEAM DYSFUNCTIONS

You can use the following test to assess where there are dysfunctions within your team¹⁰. Answer the following questions using (a) Usually, (b) Sometimes, (c) Never, awarding 3, 2 or 1 point to each one respectively.

1. Team members are passionate and unguarded in their discussion of issues.
2. Team members call out one another's deficiencies or unproductive behaviours.
3. Team members know what their peers are working on and how they contribute to the collective good of the team.
4. Team members know quickly and genuinely apologise to one another when they say or do something inappropriate or possibly damaging to the team.
5. Team members willingly make sacrifices (such as budget, turf, head count) in their departments or areas of expertise for the good of the team.
6. Team members openly admit their weaknesses and mistakes.
7. Team meetings are compelling, and not boring.
8. Team members leave meetings confident that their peers are completely committed to the decisions that were agreed on, even if there was initial disagreement.
9. Morale is significantly affected by the failure to achieve team goals.
10. During team meetings, the most important – and difficult – issues are put on the table to be resolved.
11. Team members are deeply concerned about the prospect of letting down their peers.
12. Team members know about one another's personal lives and are comfortable discussing them.
13. Team members end discussions with clear and specific resolutions and calls to action.
14. Team members challenge one another about their plans and approaches.
15. Team members are slow to seek credit for their own contributions, but quick to point out those of others.

Tally your scores according to the following distribution of statements:

- Dysfunction one: Absence of trust (Statements 4, 6, 12)
- Dysfunction two: Fear of conflict (Statement 1, 7, 10)
- Dysfunction three: Lack of commitment (Statements 3, 8, 13)
- Dysfunction 4: Avoidance of accountability (Statements 2, 11, 14)
- Dysfunction 5: Inattention to results (Statement 5, 9, 15)

You can then assess your final scores according to the below distribution:

- A score of 8 or 9 is probably an indication that the dysfunction is not a problem for your team.
- A score of 6 or 7 indicates that the dysfunction could be a problem.
- A score of 3 to 5 is probably an indication that the dysfunction needs to be addressed.

ENDNOTES

- ¹ Fabrizio Hochschild, *In and above Conflict, A study on Leadership in the United Nations*, July 2010.
- ² Ibid.
- ³ Interviews were conducted with Under-Secretaries-General and Assistant Secretaries-General, as well as Directors and Professional-level staff working closely with Senior Leaders.
- ⁴ Patrick Lencioni, *The Five Dysfunctions of a Team, A Leadership Fable*, Jossey-Bass, A Wiley Imprint, San Francisco, 2002.
- ⁵ Fabrizio Hochschild, *In and above Conflict, A study on Leadership in the United Nations*, July 2010.
- ⁶ Tom Rath, *Strengths Finder 2.0*, Gallup Press, 2007.
- ⁷ <http://www.ipinst.org/publication/books/detail/359-new-publication-the-management-handbook-for-un-field-missions.html>.
- ⁸ Ronald A. Heifetz, *Leadership Without Easy Answers*, the Belknap Press of Harvard University Press, London, England, 2001.
- ⁹ <http://www.kotterinternational.com/our-principles/changesteps/changesteps>.
- ¹⁰ Lencioni, Patrick, *The Five Dysfunctions of a Team, A Leadership Fable*, Jossey-Bass, A Wiley Imprint, San Francisco, 2002, page 192.

RECOMMENDED ADDITIONAL READINGS

General

- *The United Nations Handbook*, New Zealand Permanent Mission to the United Nations (produced annually, electronic version available)
- The Secretary-General's Five Year Action Agenda, 25 January 2012

Chapter One: The United Nations Charter and the Principal Organs

- The United Nations Charter
- The Universal Declaration of Human Rights
- Lecture by Dag Hammarskjöld, The International Civil Servant in Law and in Fact, delivered at Oxford University on 30 May 1961
- Standards of conduct for the international civil service, Annex IV, A/67/30
- Repertoire of the Practice of the United Nations Security Council - <http://www.un.org/en/sc/repertoire/>
- Working methods of the Security Council: S/2010/507

Chapter Two: The Secretary-General and his Executive Office

- Annual Reports of the Secretary-General, 2007-2013
- The Secretary-General's Five-Year Action Agenda
- *Biography of Dag Hammarskjöld* by Brian Urquhart

Chapter Three: The Secretariat

- A/67/329 Composition of the Secretariat
- OHCHR/DPKO/DPA/DFS Policy on Human Rights in UN Peace Operations and Political Missions, issued August 2011
- Secretary-General's Decision: no. 2012/1 on Special Circumstances
- Secretary-General's Decisions no. 2011/10 and no. 2008/24 on Integration
- UN Policy on Integrated Assessment and Planning (2013)
- 2010 UN Guidelines on Strategic Assessments (2010)
- Annual Review of Peace Operations (Center on International Cooperation)
- Annual Review of Political Missions (Center on International Cooperation)
- *The UN Secretariat, A Brief History, 1945-2006*, Thant Myint-U and Amy Scott

Chapter Four: Agencies, Funds and Programmes, Related Organizations, and System-Wide Coordination Mechanisms

- 2005 World Summit Outcome Document
- Delivering as One, Report of the Secretary-General's High-Level Panel, New York, 2006
- Report of the Secretary-General, Quadrennial Comprehensive Policy Review of Operational Activities for Development of the United Nations System, Recommendations, DESA, 2012
- Secretary-General's Decision: no. 2012/1 on Special Circumstances

- Secretary-General's Decisions no. 2011/10 and no. 2008/24 on Integration
- UN Policy on Integrated Assessment and Planning (2013)
- 2010 UN Guidelines on Strategic Assessments (2010)
- 2012 QCPR Outcome Document
- UNDG endorsed Standard Operating Procedures (SOPs) and a Plan of Action for Headquarters
- UNDG Strategic Priorities for 2013-2016

Chapter Five: Ethics, Accountability and Oversight

- Putting Ethics to Work, OHRM and Ethics Office
- A Roadmap: A Staff Members Guide to Finding the Right Place
- Standards of Conduct, ST/SGB/2002/13

Chapter Six: Human Resources – Human Resources Management

- Staff Regulations, ST/SGB/2009/6
- Staff Rules, ST/SGB/2009/7
- United Nations Competencies for the Future
- ST/SGB/2008/5 Prohibition of Discrimination, Harassment, including Sexual Harassment, and Abuse of Authority (required)
- ST/AI/371/Amend. 1 Revised Disciplinary Measures and Procedures (required)
- ST/SGB/2003/13— Special Measures for Protection from Sexual Exploitation and Sexual Abuse (required)
- Lessons Learned from the Justice System, Volume I, II and III (required)
- ST/AI/2010/5 and Corr. 1 Performance Management and Development System (required)
- ST/SGB/2009/9 Learning and Development Policy (required)

Chapter Seven: Budget and Finance

- Financial Regulations and Rules of the United Nations, ST/SGB/2003/7

Chapter Nine: Internal and External Communications

- Media Guidelines for United Nations Officials
- Additional Guidance for Using Twitter

Chapter Ten: Management and Leadership at the United Nations

- Fabrizio Hochschild *'In and Above Conflict – A Study on Leadership in the United Nations'*, Geneva, July 2010

KEY UNITED NATIONS POLICIES

(As of 7 November 2013)

The Secretary-General's Five-Year Action Agenda	2012
Strategic Framework for the Biennium 2012-2013 (A/65/6/Rev.1)	2011

Mediation, Conflict Prevention and Peacebuilding

Guidance for Mediators: Addressing Conflict-Related Sexual Violence in Ceasefire and Peace Agreements	2012
Mediation Start-up Guidelines	2011
Report of the Secretary-General on enhancing mediation and its support activities (S/2009/189)	2009
Preventive diplomacy - Report of the Secretary-General (S/2011/552)	2011
Progress report on the prevention of armed conflict - Report of the Secretary-General (A/60/891)	2006
Prevention of armed conflict - Report of the Secretary-General (A/55/958 - S/2001/574)	2001
An Agenda for Peace - Preventive diplomacy, peacemaking and peace-keeping - Report of the Secretary-General	1992
Report of the Secretary-General on peacebuilding in the immediate aftermath of conflict (A/63/881 - S/2009/304)	2009
Secretary-General's decision on UN Response to Unconstitutional Changes of Government (PC/2009/24)	2009

Democracy and Electoral Assistance

UN electoral policy - UN Support to Electoral system, Design and Reform	2013
Policy Directive - UN Electoral Assistance: Supervision, Observation, Panels and Certification	2013
United Nations Electoral Needs Assessment	2012
Promoting the Electoral Rights of Persons with Disabilities through UN Electoral Assistance	2012
Principles and Types of UN Electoral Assistance	2012
Secretary-General's decision on Democracy - Advocacy Agenda on Democracy for the Secretary-General's new term (PC/2011/26)	2011
Secretary-General's decision on Electoral Assistance Arrangements (PC/2011/23)	2011
Secretary-General's decision on Review of Electoral Assistance Arrangements (PC/2010/23)	2010
Revised Note of Guidance on Electoral Assistance (DPA and UNDP)	2010
Secretary-General's decision on Democracy - United Nations Guidance Note of the Secretary-General on Democracy (PC/2009/20)	2009
Secretary-General's decision on Towards a UN Strategy on Democracy: Core Elements and Assumptions (PC/2007/41)	2007
Joint DPA-DPKO-DFS Guidelines on Enhancing the Role of Women in Post-Conflict Electoral Processes	2007

Coordination, Integration and Crisis Response

Rights Up Front - Detailed Plan of Action	2013
Policy on Integrated Assessment and Planning (IAP)	2013
Secretary-General's decision on Policy on Special Circumstances in Non-Mission Settings (PC/2012/01)	2012
Policy on Headquarters-level Crisis Management	2012
Directive on Headquarters-level Crisis Management	2012
United Nations Operations Crisis Centre (UNOCC) Analysis Concept	2012
Directive on Operational Reporting	2012
Directive on the Production of Integrated Analysis Products	2012
Secretary-General's decision on Integration (PC/2008/24)	2008
Note of the Secretary-General on Integrated Missions	2006

Mission Settings

Policy on UN Transition in the Context of Mission Drawdown or Withdrawal	2013
Accountability Framework for Heads of Mission in Connection with Instances of Sexual Exploitation and Sexual Abuse and other Forms of Misconduct	2013
Special Political Missions Start-up Guide	2012
Human Rights in United Nations Peace Operations and Political Missions	2011
UN Strategic Assessment Guidelines	2009
Note of guidance on relations between Representatives of the Secretary-General, Resident Coordinators and Humanitarian Coordinator	2000
Standard Directives for Special Representatives of the Secretary-General	1997

Peacekeeping

Handbook for Judicial Affairs Officers in UN Peacekeeping Operations	2013
Policy - Quick Impact Projects (QIPs)	2013
The Contribution of UN Peacekeeping to Early Peacebuilding: A DPKO-DFS Strategy for Peacekeepers	2011
UN Strategic Results Framework on Women, Peace and Security	2011
Operational Concept on the Protection of Civilians in United Nations Peacekeeping Operations	2010
Civil-Military Coordination in UN Integrated Peacekeeping Missions (UN-CIMIC)	2010
Mainstreaming the protection, rights and well-being of children affected by armed conflict within UN Peacekeeping Operations	2009
Environmental Policy for UN Field Missions	2009
Justice Components in United Nations Peace Operations	2009
Civil Affairs Policy Directive	2008
United Nations Peacekeeping Operations - Principles and Guidelines (Capstone Doctrine)	2008
Public Reporting by Human Rights Components of United Nations Peace Operations	2008

Authority, Command and Control in United Nations Peacekeeping Operations	2008
Conducting <i>Vox Populi</i> in UN Peacekeeping Operations	2007
Policy on Cooperation and Coordination between the Department of Safety and Security (DSS) and the Department of Peacekeeping Operations (DPKO)	2006
Policy and Guidance for Public Information in UN Peacekeeping Operations	2006
Prison Support in UN Peacekeeping Operations	2005
Secretary-General's decision on Human Rights in Integrated Missions (PC/2005/24)	2005
Handbook on United Nations Multidimensional Peacekeeping Operations	2003
Observance by United Nations forces of international humanitarian law (ST/SGB/1999/13)	1999

Human Rights

Guidance Note on Racial Discrimination and Protection of Minorities	2013
The Corporate Responsibility to Respect Human Rights	2012
Secretary-General's decision on Human Rights Screening of United Nations Personnel (PC/2012/18)	2012
International Legal Protection of Human Rights in Armed Conflict	2011
Guiding Principles on Business and Human Rights	2011
Secretary-General's decision on Human Rights Due Diligence Policy on UN support to non-UN security forces (HRDDP) (PC/2011/18)	2011
Guiding Principles on Business and Human Rights: Implementing the United Nations "Protect, Respect and Remedy" Framework	2011
Human Rights in United Nations Peace Operations and Political Missions	2011
Provisional guidance note on the implementation of Security Council Resolution 1960 (2010) On Women, Peace and Security (conflict-related sexual violence)	2011
Secretary-General's decision on Human Rights and Development (PC/2008/18)	2008
Public Reporting by Human Rights Components of United Nations Peace Operations	2008
Integrating human rights with sustainable human development	2008
Human Rights Guidance Note for Humanitarian Coordinators	2006
Secretary-General's decision on Human Rights in Integrated Missions (PC/2005/24)	2005

Development

Guidance Note for Effective Use and Development of National Capacity in Post-Conflict Contexts	2013
Standard Operating Procedures for Delivering as One	2013
UN System-wide action plan on youth	2013
Secretary-General's decision on New Deal for Engagement in Fragile States (PC/2012/10)	2012
Lessons Learned and Good Practice Tool: Adapting coordination mechanisms to support national transitions	2012

Guidance note on Integrating Climate Change Considerations into the Country Analysis and the UNDAF	2010
Secretary-General's decision on Capacity Requirements for RC Offices in the Context of Crisis and Post-Crisis Recovery and Peacebuilding (PC/2009/29)	2009
UN Policy for Post-conflict Employment Creation, Income Generation and Reintegration	2009
Integrating human rights with sustainable human development	2008
Guidance to UN Country Teams on Integrating Disaster Risk Reduction into the Common Country Analysis (CCA) and UNDAF	2009
Guidance for UN Country Teams on Mainstreaming Environmental Sustainability in Country Analysis and the UNDAF	2009
Secretary-General's decision on Human Rights and Development (PC/2008/18)	2008
Guidance Note on Early Recovery (UNDG-ECHA Working Group on Transition)	2008
The Management and Accountability System of the UN Development and Resident Coordinator System including the "functional firewall" for the RC System	2008
Secretary-General's decision on Employment Generation in Post-conflict Situations - UN policy for post conflict employment creation, income generation and reintegration (executive summary) (PC/2008/19)	2008
Guidance for UN Country Teams on developing a recovery strategy	x
Guidance Note on UNCTs engagements in PRSPs	2003

Humanitarian

IASC Non-Binding Guidelines on the Use of Armed Escorts for Humanitarian Convoys	2013
UN Cross-Border Humanitarian Operations for Civilians in Opposition-held Areas	2013
OCHA internal legal background on Cross-Border Relief Operations	2013
IASC Transformative Agenda Protocols - Empowered Leadership	2012
IASC Transformative Agenda Protocols - Humanitarian System-Wide Emergency Activation: definition and procedures	2012
IASC Transformative Agenda Protocols - Reference Module for Cluster Coordination at the Country Level	2012
IASC Transformative Agenda Protocols - Responding to Level 3 Emergencies: The Humanitarian Programme Cycle	2012
IASC Transformative Agenda Protocols - Responding to Level 3 Emergencies: What 'Empowered Leadership' looks like in practice	2012
Operational Guidance for Coordinated Assessments in Humanitarian Crises	2012
Operational Guidelines on the protection of persons in situations of natural disasters	2011
Saving Lives Together: A Framework for Improving Security Arrangements Among IGOs, NGOs and UN in the Field	2011
Secretary-General's decision on Durable Solutions - Ending Displacement in the Aftermath of Conflict: Preliminary Framework for Supporting a more coherent, predictable and effective response to the durable solutions needs of refugee returnees and internally displaced persons (PC/2011/20)	2011
IASC Guidance for Humanitarian Country Teams	2010
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Civil-Military Relationship in Complex Emergencies - IASC Reference Paper	2008

Guidelines on the Use of Foreign Military and Civil Defence Assets in Disaster Relief ("Oslo Guidelines" – Rev. 1.1)	2007
Principles for Public-Private Collaboration for Humanitarian Action	2007
IASC Guidelines on Contingency Planning for Humanitarian Assistance	2007
IASC Gender Handbook in Humanitarian Action	2006
IASC Guidelines on Gender-based Violence Interventions	2005
Guiding Principles on Internal Displacement	2004
Exit Strategy For Humanitarian Actors in the Context of Complex Emergencies	2003

Gender Equality and Women's Empowerment

UN System Wide Action Plan for Implementation of the CEB system Wide Policy and the Empowerment of Women (SWAP)	2012
Integrating Human Rights and Gender Equality in Evaluation	2011
Guidance Note: Application of the Programming Principles to the UNDAF	2010
Secretary-General's Seven Point Action Plan On Gender Responsive Peacebuilding (Annex to Secretary-General's decision 2010/20) and in the Secretary-General's Report on Women In Peacebuilding (S/2011/598)	2010
The United Nations Country Teams (UNCT) Performance Indicators for Gender Equality and the Empowerment of Women	2008
United Nations system-wide policy on gender equality and the empowerment of women	2006
Economic and Social Council (ECOSOC) agreed conclusions 1997/2 on Mainstreaming the gender perspective into all policies and programmes in the United Nations system	1997

Public Information and Communications

UN DPI Social Media Guidelines	2011
Secretary-General's decision on UN Communications (PC/2008/23)	2008
Annexes to Public Information Policy and Guidance for UN Peacekeeping Operations	2008
Secretary-General's Bulletin on Information Sensitivity, classification and handling (ST/SGB/2007)	2007
Public Information Policy and Guidance for UN Peacekeeping Operations	2006
Media guidance to SRSGs	2001

Rule of Law and Justice

Guidance on contacts with persons who are the subject of arrest warrants or summonses issued by the International Criminal Court (S/2013/210 - A/67/828)	2013
Guidelines for UN-ICC cooperation (agreed between the UN and the Court)	2006
Secretary-General's decision on Rule of Law Arrangements (PC/2012/13)	2012
Guidance Note of the Secretary-General: Rule of Law at the International Level	2011
Secretary-General's decision on Review of rule of law arrangements in peacebuilding (PC/2011/27)	2011
Guidance Note of the Secretary-General: UN Approach to Transitional Justice	2010

Guidance Note of the Secretary-General: United Nations Assistance to Constitution-making Processes	2009
Secretary-General's decision on Guidance Note - The UN and Constitution-Making (PC/2006/46)	2006
Secretary-General's decision on Rule of Law (PC/2006/47)	2006
Support for the reform, restructuring and rebuilding of police and law enforcement agencies	2006
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Guidance Note of the Secretary-General: J4C and UN Common Approach on Justice for Children	2008

Security Sector Reform (SSR) / Disarmament, Demobilization and Reintegration (DDR)

Guideline on United Nations Police Support to the provision of security in electoral processes	2013
Policy on Functions and Organization of the Standing Police Capacity (SPC)	2012
Security Sector Reform - Integrated Technical Guidance Notes	2012
Defence Sector Reform	2011
Revised Policy: Formed Police Units in United Nations Peacekeeping Operations	2010
SOP on Detention in United Nations Peace Operations	2010
Guidelines for Integrating Gender Perspectives into the Work of United Nations Police in Peacekeeping Missions	2008
Secretary-General's decision on Security Sector Reform (PC/2007/11)	2007
Integrated DDR Standards, Operational Guide and Briefing Note for Senior Managers	2006
Support for the reform, restructuring and rebuilding of police and law enforcement agencies	2006

Responsibility to Protect

Secretary-General's decision on Responsibility to Protect (PC/2010/08)	2010
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Secretary-General's decision on Conceptual Framework for the Responsibility to Protect (RtoP) (PC/2008/21)	2008
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Secretary-General's decision on Ensuring Complementarity of Programme Delivery, Staff Security and UN Counter-Terrorism Mandates (PC/2010/12)	2010
Uniting against terrorism: recommendations for a global counter-terrorism strategy - Report of the Secretary General (A/60/825)	2008
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Programme Criticality Framework	2013
Improvised Explosive Devices (IEDs)	2012
UN Guidelines on Use of Armed Private Security Companies	2012
UN Policy on Armed Private Security Companies	2012
Hostage Incident Management	2012
Relations With Host Countries on Security Issues	2012
Saving Lives Together: A Framework for Improving Security Arrangements Among IGOs, NGOs and UN in the Field	2011
Relocation, Evacuation and Alternate Work Modalities - Measures to Avoid Risk	2011
Framework of Accountability for the United Nations Security Management System	2011
Use of Force Policy	2011
Applicability of United Nations Security Management System	2011
Guidelines for Determining Acceptable Risk	2009
Terms of Reference for the Executive Group on Security	2009
Policy and Conceptual Overview of the Security Risk Management Process	2009
Statement of the Chief Executives Board on safety and security of United Nations system staff	2009
Policy on Cooperation and Coordination between the Department of Safety and Security (DSS) and the Department of Peacekeeping Operations (DPKO)	2006
Mine Action and Effective Coordination: The United Nations Inter-Agency Policy	2005

Personnel Management

Accountability Framework for Heads of Mission in Connection with Instances of Sexual Exploitation and Sexual Abuse and other Forms of Misconduct	2013
Standards of Conduct for the International Civil Service	2013
Guidance Note of the Secretary-General on Racial Discrimination and Protection of Minorities	2013
Secretary-General's decision on Human Rights Screening of United Nations Personnel (PC/2012/18)	2012
Code of Conduct for Evaluation in the UN System	2008
Influenza Pandemic Guidelines	2008
UN Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by UN Staff and Related Personnel	2008
Prohibition of discrimination, harassment, including sexual harassment and abuse of authority (SG/SGB/2008/5)	2008
Secretary-General's bulletin on Prevention of workplace harassment, sexual harassment and abuse of authority (ST/SGB/2005/20)	2005
Secretary-General's Bulletin on Special measures for protection from sexual exploitation and sexual abuse (ST/SGB/2003/13)	2003
Secretary-General's decision on Senior Leadership Appointment in the Field (PC/2006/03)	2006
Status, basic rights and duties of United Nations staff members (ST/SGB/2002/13)	2002
Media Guidelines for UN Officials	2001

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Secretary-General's decision on Cooperation between the United Nations, the African Union and Regional Economic Communities/Regional Mechanisms on Peace and Security in Africa (PC/2013/14)	2013
United Nations World Bank Partnership Agreement	2008
Joint Declaration on UN/NATO Secretariat Cooperation	2008
Relationship Agreement between the International Criminal Court and the United Nations	2004

Forthcoming Policies

UN System-wide Policy and Framework on Conflict Prevention in Development Contexts	forthcoming
Guidelines on Post Disaster Needs Assessment and Recovery Roadmap	forthcoming
Handbook on the Policy on Integrated Assessment and Planning (IAP)	forthcoming
Legal Brief / Policy on Internment / Captured Persons	forthcoming
Policy Guidance Note on support to Core Public Administration Functions	forthcoming
Principles and framework for action on migrants in crisis	forthcoming
Strategic Guidance Framework for International Police Peacekeeping	forthcoming
Brief on Cross-border assistance	forthcoming
Policy on cybercrime and cybersecurity	forthcoming
UN system-wide action plan on youth	forthcoming
Guidance Note on reparations for conflict-related sexual violence	forthcoming
IRP Follow-up	forthcoming
Guidelines on the Mission Planning Process	forthcoming
Guidelines Promoting women's electoral and political participation through UN electoral assistance	forthcoming
Guidelines Electoral Management Bodies and other electoral bodies	forthcoming
Secretariat-wide Guidelines for Social Media	forthcoming
IASC Transformative Agenda Protocols – A Common Framework for Preparedness	forthcoming
IASC Transformative Agenda Protocols –Guidance Note on Inter-Agency Rapid Response Mechanism	forthcoming
UN System-wide Policy and Framework on Conflict Prevention in Development Contexts	forthcoming
Guidelines on Post Disaster Needs Assessment and Recovery Roadmap	forthcoming
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IASC Transformative Agenda Protocols – A Common Framework for Preparedness	forthcoming
IASC Transformative Agenda Protocols –Guidance Note on Inter-Agency Rapid Response Mechanism	forthcoming
IASC Transformative Agenda Protocols –Humanitarian Programme Cycle (revision)	forthcoming
IASC Transformative Agenda Protocols –Accountability to Affected Populations Framework	forthcoming
IASC Guidance Note on Early Recovery – revision	forthcoming

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Guidelines for Field Staff for Promoting Reintegration in Transition Situations	2003
United Nations system-wide policy on gender equality and the empowerment of women: focusing on results and impact	2006
Secretary-General's decision on Peacebuilding Support Office (PC/2007/28)	2007
Moving towards a climate-neutral United Nations	2007
Common statement by the UN System Chief Executives Board for Coordination (CEB) on the Outcome of the United Nations Conference on Sustainable Development	2011
SOP UNIFIL Crowd and Riot Control	2012
Guidelines - Civilians seeking protection at UNMISS bases	2013
WHO Emergency Response Framework	2013
Prison Incident Management Handbook	2013
Inter-agency Policy, and Associated Framework for Mine Action Planning and Rapid Response	x
Guidance Note on how the UN system can work to enhance the national capacities of Members States to investigate and prosecute war crimes, crimes against humanity, genocide, and other gross violations of human rights that constitute serious crimes under international law and to provide remedies and reparations for victims.	x
Framework for Drafting Comprehensive Protection of Civilians (PoC) Strategies in UN Peacekeeping Operations	x
The UN system at the forefront of efforts to address climate change - Statement of Purpose	x

Note: Secretary-General's decisions referenced in this listing are generally classified as Confidential or Strictly Confidential. These decisions are taken following meetings of the Secretary-General Policy Committee.



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