



**THE ESSENTIAL
GUIDEBOOK
FOR SENIOR LEADERS
OF THE UNITED NATIONS
SECRETARIAT**

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FOREWORD

Welcome to The Essential Guidebook for Senior Leaders of the United Nations Secretariat. This guide is designed to help you understand the work and purpose of the Secretariat, who we are and how we deliver our mandates.

The Charter of the United Nations sets out the guiding principles and purpose of our Organization—to save succeeding generations from the scourge of war, to reaffirm faith in fundamental human rights, to establish conditions under which justice can be maintained, and to promote social progress and better standards of life “in larger freedom”. These principles remain as true today as they did then. We live in profoundly challenging times, and sometimes progress can seem uncertain. But that makes our work even more important. Our unique position as the body that brings the nations of the world together means we have unique responsibilities to tackle the global issues that face us and work towards peace, development, human rights, and a life of dignity for all.

As Senior Leaders of this organization, our role is to lead our diverse and talented workforce to deliver this vision. As Senior Leaders we are accountable for the responsible management of our resources—human and financial—and this guide provides you a comprehensive overview of how you can successfully, ethically and efficiently manage your department or office.

I thank you for your commitment to the values and principles of the United Nations and wish you every success in your important work.

António Guterres
United Nations
Secretary-General



UN Photo/Mark Garten

Chapter

1

THE UNITED NATIONS CHARTER AND PRINCIPAL ORGANS



The United Nations Charter is an achievement exceptional to the annals of history. Seventy years after being adopted, its validity remains undiminished. The Charter is the source of the United Nations' unique legitimacy and provides guidance for its every activity. All its signatories decided to abide by its purpose, principles and provisions to “achieve international cooperation in solving international problems”.

António Guterres
Secretary-General

THE 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 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

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

- 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

What are the key principles of the UN and its Members?

- 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 needs 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 necessar-

ily 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 for standards related to human rights and fundamental freedoms referred to in the Charter. Most, if not all, of its provisions have become part of international customary law.
- Another complementary document that is an expression of these aspirations and reflects global consensus for the next decade is the plan of action for people, planet and prosperity: **Transforming our world: the 2030 Agenda for Sustainable Development**.

ROLE OF THE INTERNATIONAL CIVIL SERVANT

The role of international civil servants is outlined in Article 100 of the Charter, which states: “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

What are my obligations as an international civil servant?

- UN officials must 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.

(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)

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 has 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 has the right to waive immunity.

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 implementation. 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 Member States, 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

- Be 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 (e.g., 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 a Senior Leader is allowing yourself to be influenced by one Member State—not necessarily your own—or a 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 help or hinder that endeavor.
- 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 analysing the policies of Member States.
- 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**.
- While it is essential to inform Member States of your activities, it is equally important to ensure that 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**, 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 an 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, has helped to rebuild trust and confidence among Member States, as well as between Member States and the Secretariat. For example, in the peacemaking context, these groups are often referred to as “Friends of the Secretary-General”, and can be a source of ideas, resources, and diplomatic or financial assistance.

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.

1. GENERAL ASSEMBLY (GA)

Established in 1945 under the UN Charter (see Chapter IV), the GA has a dual function; it provides a deliberative forum for Member States to discuss the work of the Organization and oversees the work of the Secretariat. Comprising all 193 Member States, the GA provides a unique forum for multilateral discussions of the full spectrum of international issues covered by the Charter.

Primary functions of the GA:

- Plays a significant role in the process of standard setting and the codification of international law
- 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”.
- Makes recommendations to Member States (unlike the Security Council, which can impose binding obligations on all states). Recommendations can cover general principles of co-operation in the maintenance of international peace and security.
- Maintains the authority to approve budgets, playing a critical role in ensuring that resources are available for the implementation of mandates
- 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

Secretariat support to the GA is provided directly through the Department for General Assembly and Conference Management (DGACM).



KEY QUESTIONS

How does the GA reach agreement on its recommendations?

- 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” (as outlined in Article 18 of the Charter as being recommendations with respect to the maintenance of international peace and security; election of the non-permanent members of the Security Council; election of the members of the Economic and Social Council, election of members of the Trusteeship Council; admission of new Members to the United Nations; suspension

of the rights and privileges of membership; expulsion of Members; questions relating to the operation of the trusteeship system; and budgetary questions).

- 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 GA, 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 the 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)
 - » JUSCANZ (alliance of Japan, the US, Canada, Australia, New Zealand, Norway and others; it essentially includes most major non-European Union members of the WEOG)
- 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 status, 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)
 - » Organization of Islamic Cooperation (OIC)

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

Sustainable Development

In September 2000, leaders of 189 countries signed the historic **Millennium Declaration**, in which they committed to achieving a set of eight measurable goals (**Millennium Development Goals or ‘MDGs’**) ranging from halving extreme poverty and hunger to promoting gender equality and reducing child mortality by 2015.

The Millennium Declaration was followed by the **2005 World Summit**. Its Outcome Document led to the formulation of the “Delivering as One” concept in 2006, which promoted greater coherence among UN agencies, funds and programmes in the field of the environment, humanitarian assistance and development. It focused on improving the performance and coordination of the United Nations country presence with a strengthened role of the Resident Coordinators and a common management, programming and monitoring framework.

At the end of 2006, eight countries informed the Secretary-General of their intention to pilot the “Delivering as One” approach: Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay and Viet Nam. Close to 60 countries are now implementing different aspects of the “delivering as one” approach. This effort is led mostly by the United Nations Development Group (UNDG), which is a group of 32 UN entities working on international development issues.

The World Summit was also instrumental in 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 **Future We Want Outcome Document** was adopted at the UN Conference on Sustainable Development (often referred to as “Rio+20”), which was held in June 2012. The conference gathered world leaders, participants from governments, the private sector, non-governmental organizations (NGOs) and other groups, who came together to shape policies aimed at reducing poverty, advancing social equity, and ensuring environmental protection.

In September 2015, the GA approved **the 2030 Agenda**, with its 17 Sustainable Development Goals (“SDGs”), spanning from 2015 to 2030. In many ways, the 2030 Agenda is the most ambitious and comprehensive global agenda ever.

The **Addis Ababa Action Agenda**, adopted at the Third International Conference on Financing for Development (endorsed by the GA in July 2015), establishes a strong foundation to support the 2030 Agenda and provides a new global framework for financing sustainable development. It includes a comprehensive set of policy actions, with over 100 concrete measures that draw upon all sources of finance, technology, innovation, trade, debt and data in order to support achievement of the SDGs.

Humanitarian Action

In May 2016 in Istanbul, the **UN World Humanitarian Summit** was held with the goal of fundamentally reforming the humanitarian aid industry to react more effectively to today’s many crises.

The Summit convened 9,000 participants from 173 countries, including 55 Heads of State and Government, hundreds of private sector representatives and thousands of people from civil society and non-governmental organizations. Participants shared knowledge and established best practices across a wide spectrum of organizations involved in humanitarian action.

More than a dozen initiatives, partnerships, platforms and alliances were newly developed or strengthened and will help to implement the **Agenda for Humanity**, a plan outlining the changes that are needed to alleviate suffering, reduce risk and lessen vulnerability on

a global scale. According to the plan, global leaders and humanitarian actors are called upon to act on five core responsibilities:

- Act as political leaders to prevent and end conflicts
- Uphold the norms that safeguard humanity
- Leave no one behind
- Change people’s lives from delivering aid to ending need
- Invest in humanity

Climate Change

In December 2015 in Paris, countries adopted the **Paris Agreement** at the COP21—the 21st Conference of the Parties to the **UN Framework Convention on Climate Change** (the body responsible for climate based in Bonn, Germany). All countries agreed to work to limit global temperature rise to well below 2 degrees Celsius—and given the grave risks, to strive for 1.5 degrees Celsius.

Implementation of the Paris Agreement is essential for the achievement of the SDGs and provides a roadmap for climate actions that will reduce emissions and build climate resilience.

Refugees and Migrants

In September 2016, the UN GA hosted its first high-level summit to address large movements of refugees and migrants, with the aim of bringing countries together in support of a more humane and coordinated approach.

All 193 Member States signed up for one plan to address large movements of refugees and migrants: the **New York Declaration**.

Ministers, leaders from the UN System, civil society, private sector, international organizations and academia also attended the Summit.

The New York Declaration also paved the way for a follow-up process expected to culminate in an international conference and the adoption of a global compact for safe, orderly and regular migration in 2018. The agreement to move toward this comprehensive framework is a momentous one. It means that migration, like other areas of international relations, will be guided by a set of common principles and approaches.

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 (HQs), Offices Away from Headquarters (OAHs), 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).

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

- As an advisory body, reports from ACABQ include observations, conclusions and recommendations to the Fifth Committee on the proposals of the Secretary-General.

- Consists of 16 members who are elected by the GA on the basis of broad geographical representation, personal qualifications and experience. ACABQ members serve in their personal capacity and do not represent the interests of any government.
- Examines and reports on the regular and peacekeeping budgets, the accounts of the UN, and the administrative budgets of specialized agencies.
- Advises the GA on other administrative and financial matters referred to it, such as human resources reform.
- As a Senior Leader, you are expected to present and defend the strategic framework of your programme, as well as resource requirements, as outlined and submitted in the form of a Report of the Secretary-General or Proposal 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.**

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

- Comprises all 193 Member States and is responsible for administrative and budgetary matters
- Meets during the main part of the GA session (September to December) and during its resumed sessions (March and May). **The May session is primarily devoted to peacekeeping issues.**
- Supported by the Secretariat of the Fifth Committee in the Department of Management (DM)
- Reviews proposals submitted by the Secretary-General, which are accompanied by a report from the ACABQ. It can accept, reject or revise the proposals of the Secretary-General and the recommendations of the ACABQ as it sees fit.
- Fifth Committee delegates speak on behalf of their governments, but tend to negotiate in regional groups—G77, EU, CANZ, etc., although sometimes other groupings negotiate particular issues, such as the African Group or the Group of Latin American and Caribbean Countries. There are often major differences of view between groups regarding issues such as UN management and resource allocation. The Committee traditionally only adopts resolutions by consensus rather than vote, and thus negotiations can often be lengthy.
- 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.

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.
- DM supports the CPC.

2. SECURITY COUNCIL

- The Security Council (hereafter “Council”) has primary responsibility for the maintenance of international peace and security. In discharging these duties, the Security Council acts in accordance with the purposes and principles of the UN. Its main functions and powers include:
 - » 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 Council is organized so as to be able to function continuously, and a representative of each of its members must be present at UNHQ at all times. While other organs of the UN make recommendations to governments, the Council alone has the power to take decisions that 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 Council is held in turn by the members of the Council, rotating alphabetically by country. Each member holds the Presidency for one calendar month.



KEY QUESTIONS

How are decisions taken in the Security Council?

- Each Security 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 dis-

cussions 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 the Council, its 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 peace, breach of 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 calm conditions 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.

Where does the process of reforming the Security Council currently stand?

- Discussions concerning reform of the Security Council have been ongoing 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 GA.
- 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 effective.
- 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". 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 five permanent

members (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

- Council 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 a situation is believed to constitute 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 to fifteen minutes. The Council is dealing with multiple crises worldwide, and 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.

3. ECONOMIC AND SOCIAL COUNCIL (ECOSOC)

- Coordinates and mediates among the different bodies of the UN system—54 members serving three-year terms
- Makes or initiates studies and reports on international economic, social, cultural, educational, health, and human rights-related matters.
- Makes recommendations to the GA and other parts of the UN on the above issues, as well as human rights.
- Ensures coherence to the work of the specialized agencies and the rest of the UN system.
- Prepares draft conventions for submission to the GA and convenes international conferences.
- Enters into agreements with specialized agencies and makes arrangements for consultations with NGOs.
- The High-level Political Forum is convened under the auspices of the General Assembly every four years and, under the auspices of the Economic and Social Council, it is held annually in July. It provides political leadership, guidance and recommendations for sustainable development, and reviews progress in implementing sustainable development commitments.
- The Department of Economic and Social Affairs (DESA) provides secretariat support to ECOSOC.



KEY QUESTIONS

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 for Member States.

What is the relationship between ECOSOC and 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 4,500 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).

4. INTERNATIONAL COURT OF JUSTICE

- The principal function of the International Court of Justice (hereafter referred to as “the Court”) is to decide, in accordance with international law, cases that are submitted to it by States. The Court applies:
 - » International conventions establishing rules expressly recognized by the contesting states
 - » International customary law, 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 involved in a 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 Court 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).

5. TRUSTEESHIP COUNCIL

- 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.

- Suspended operation on 1 November 1994, one month after the last remaining UN trust territory, Palau, became independent.

6. SECRETARIAT

- The UN Secretary-General heads the Secretariat. The main Charter provisions concerning the Secretariat are contained in Chapter XV (Articles 97–101).
- Serves 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”.

7. OTHER RELEVANT BODIES

- While not principal organs, two bodies—the Peacebuilding Commission (PBC) established in 2005 and the Human Rights Council (HRC) established in 2006—are noteworthy and perform important functions within the Organization.



KEY QUESTIONS

What is the Peacebuilding Commission?

- Established by concurrent resolutions of the GA and the Security Council, the Peacebuilding Commission (PBC) is a key intergovernmental advisory body that supports peacebuilding efforts in countries emerging from conflict.
- Established following the High-Level Panel on Threats, Challenges and Change and the report of the Secretary-General, *In Larger Freedom*.
- 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.
- Coordinates all relevant actors within and outside the UN who are involved in post-conflict peacebuilding and reconstruction, and brings together relevant actors to marshal resources, support the development of integrated strategies, identify best practices, and help to ensure predictable financing.
- 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

- » Five top providers of assessed contributions to UN budgets and voluntary contributions to UN Agencies, Funds and Programmes
- » Five top providers of military personnel and civilian police to UN field missions

What is the Human Rights Council?

- A subsidiary, intergovernmental body of the GA 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
- 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.
- Considers violations of human rights, including gross and systemic violations, and makes recommendations
- Promotes effective coordination and mainstreaming of human rights within the UN system
- Meets for at least ten weeks a year over three regular sessions and can convene special sessions if necessary

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. It provides an 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 **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** allows individuals and organizations to bring complaints about human rights violations to the attention of the HRC.
- The special procedures of the HRC are **independent human rights experts** with mandates to report and advise on human rights from a thematic or country-specific perspective (e.g., Special Rapporteur on Trafficking in Persons, especially Women and Children).

Chapter

2

THE SECRETARY-GENERAL AND HIS EXECUTIVE OFFICE



Our most serious shortcoming—and here I refer to the entire international community—is our inability to prevent crises. The United Nations was born from war. Today, we must be here for peace.

António Guterres
Secretary-General

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 people of the world—in particular, the poor and vulnerable.

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 each situation being addressed.

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

Prior to the current Secretary-General, António Guterres, who took office on 1 January 2017 for a renewable five-year term, there were eight 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)
- Ban Ki-moon, 2007–2016 (Republic of Korea)
- António Guterres, 2017– (Portugal)



KEY QUESTIONS

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

- The Secretariat is one of the principal organs of the UN (Article 7), with the Secretary-General at its head (Article 97).
- The importance of the independence of the Secretary-General 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” (Article 98) by the other principal organs. This 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 allows the Secretary-General to carry out political functions, including the responsibility to carry out preventive diplomacy, often through the appointment of Special Representatives and Envoys to undertake his good offices.

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 nonetheless, 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”.
- 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.

What are the Secretary-General’s main priorities?

- Giving adequate priority to prevention and sustaining peace through reform of the peace and security strategy, operational setup and architecture
- Re-positioning the United Nations development system at the heart of the United Nations, through a comprehensive review aimed at improving coordination, coherence and accountability to better support Member States in the implementation of the Sustainable Development Goals and the Paris Agreement on climate change
- Reforming management of the UN by simplifying procedures and decentralizing decisions, with transparency and accountability
- Strengthening the nexus between peace and security, sustainable development, and human rights
- Delivering UN reform through integration, coordination, innovation, and partnerships
- Mainstreaming human rights across the UN system, preventing violations, and ensuring accountability
- Achieving gender equality and empowering women and girls
- Strengthening the Organization’s prevention of and response to sexual exploitation and abuse by UN personnel and non-UN international forces authorized by Security Council mandate
- Addressing the challenges of migration

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 NGOs, as well as to assist with policy and coordination of the Secretariat.
- The **principal aim** of the EOSG is to empower and draw upon the work of Departments, Agencies, Funds, and Programmes, fostering cooperation among them in pursuit of the priorities of Member States and the Secretary-General.
- 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 January 2017 in order to better integrate its various functions and elements. The structure is subject to constant review.
- A **number of bodies 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.
- In January 2017, **the Secretary-General streamlined and clarified the decision-making landscape in the UN Secretariat**, introducing more accountability and coherence across the three pillars of the Organisation.
- Secretary-General Guterres has put a **strong emphasis on delivering results**: “Mere statistics will not do. We need results that people can see and touch, results that change lives, make a difference.”
- Within EOSG, the Deputy Secretary-General (DSG) is responsible for development related matters, while the Chef de Cabinet (CdC) acts as the entry point for Member States, members of the Secretariat and others on political matters, senior appointments and management issues.

Guiding Principles

The following are the EOSG **guiding principles**:

- It is non-operational and it complements the functions of line departments.
- It is forward-looking, open to new ideas and dissenting views, and draws upon a wide variety of internal and external sources to support senior decision-making and strategic thinking.
- It pursues a coherent, system-wide approach to solving problems.
- It focuses on strategic communications to ensure leadership messages are clear, both internally and externally.

The Secretary-General, DSG, CdC, Senior Adviser on Policy and the Assistant Secretary-General for Strategic Coordination function as a team, and the staff of the Executive Office function likewise.

Executive Bodies

There are several **executive bodies** that you need to be aware of, including:

- Executive Committee (EC)
- Deputies Committee (DC)
- Senior Management Group (SMG)
- Management Committee (MC)
- Management Performance Board (MPB)
- UN System Chief Executives Board for Coordination (CEB)

These bodies are covered in this chapter, with the exception of the CEB which is covered in Chapter 4, UN System-Wide Integration and Coordination.

EXECUTIVE COMMITTEE (EC)

- Assists the Secretary-General in making decisions on issues of strategic consequence, requiring principal-level attention across all pillars. The Executive Committee is a **nimble, effective body with limited membership**. Participants engage in discussions from not only the perspective of their own department, but also from the perspective of their role as a Senior Leader, bearing in mind the overall responsibilities of the UN. Where country situations are under consideration, UN representatives in the field are consulted.
- **Supersedes the following:** Policy Committee, Senior Advisers meetings, Senior Action Group, and Executive Committees on Peace and Security and Humanitarian Affairs.
- Chaired by the Secretary-General—or DSG or CdC in his absence—and **meets weekly or more if needed**.
- Does not substitute regular consultation processes but addresses complex issues requiring system-wide attention.

The following are standing members of the EC:

- Deputy Secretary-General
- CdC
- Senior Adviser on Policy
- Under-Secretary-General for Management
- Under-Secretary-General for Peacekeeping
- Under-Secretary-General for Field Support

- Under-Secretary-General for Economic and Social Affairs
- Assistant Secretary-General for Peacebuilding
- Emergency Relief Coordinator
- High Commissioner for Human Rights
- Executive Director for UN Women
- Chair of the UN Development Group
- Other officials are invited when issues related to their area of responsibility are discussed. Substitutions are exceptional and require prior clearance.

DEPUTIES COMMITTEE (DC)

- Chaired by the Assistant Secretary-General for Strategic Coordination, the DC meets weekly or more often if necessary. If absent, another DC member or a suitable EOSG official will chair, depending on the nature of the agenda.
- Comprises the same members as the EC, but at the Assistant Secretary-General level. Officers-in-charge may exceptionally attend, with prior clearance by the Chair.
- Resolves as many issues as possible, leaving the EC free to address items requiring principal-level attention.
- Discusses the EC agenda towards agreement, for onward proposal for endorsement or further discussion and decision-making by the EC.
- Monitors and reports on progress regarding implementation of decisions taken with the assistance of the Executive Committee, the Deputies Committee, the Regional Monthly Reviews and Inter-agency/Integrated Task Forces (ITFs).
- Holds a monthly standing discussion including key Agencies, Funds and Programmes regarding demands and opportunities for preventive action—based on, *inter alia*, recommendations emerging from the Regional Monthly Reviews and ITFs.



KEY POINTS

The EC and DC are guided by the following working methods:

- Collective responsibility
- Subsidiarity
- Swift decision making
- Careful planning
- Flexibility
- Clear presentation of options and different positions



KEY QUESTIONS

How do I get my issues on the agenda of the Executive Committee and/or Deputies Committee?

- The Assistant Secretary-General for Strategic Coordination sets the agenda for the EC and DC after consulting with EC members. Principals in the UN system and the DC can also submit proposals.
- The Assistant Secretary-General for Strategic Coordination, in direct consultation with concerned UN entities, prepares a 1-2 page note per agenda item, which presents the issue requiring action and viable options. These notes, which highlight the most critical issues, **do not need to be consensus documents; they can reflect divergent viewpoints**. They do not pre-determine the outcome.
- If an issue has major implications relating to planning, finance, legal issues or human resources, the note and accompanying submission paper and options will be **consulted with relevant offices** such as the Controller, Office of Legal Affairs (OLA), Office of Human Resources Management (OHRM) and the Under-Secretary-General for GA Affairs. In such cases, the Assistant Secretary-General for Strategic Coordination may delegate the preparation of an extended submission paper to a lead department.
- In some instances, lighter and more flexible procedures, including **oral presentation of an agenda item**, may be permitted.

How does the Executive Committee make decisions?

- Decisions and tasking are confirmed in the meeting and recorded in writing to ensure follow-up.
- Members are expected to support and implement decisions taken because of EC or DC discussions.
- The DC reviews implementation and communicates progress to the EC.



ADVICE AND GUIDANCE

- The very inclusion of an item on the EC or DC agenda tends to create incentives for co-operation. Managers are expected to **bring solutions**, not only problems, before the Secretary-General.
- When an item is included on the EC or DC agenda, it is a sign that the matter is a **priority for 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 meetings are 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.

SENIOR MANAGEMENT GROUP (SMG)

- The Senior Management Group (SMG) is a high-level body, chaired by the Secretary-General, which brings together leaders of United Nations departments, offices, funds and programmes. It is a forum for policy related matters, planning and information sharing with respect to emerging challenges and cross-cutting issues. The SMG holds monthly meetings and is a vital forum for discussing key cross-cutting and strategic matters.
- The SMG ensures strategic coherence and direction to the work of the Organization. The Secretary-General uses the forum, which normally convenes once a month to raise issues and provide guidance.

MANAGEMENT COMMITTEE (MC)

- The MC considers internal reform and management-related initiatives and issues, including change management processes requiring strategic direction from the Secretary-General.
- Ensures that findings and recommendations of the main oversight bodies— Board of Auditors (BoA), the Joint Inspection Unit (JIU) and Office of Internal Oversight Services (OIOS)—are effectively fed into the executive management processes
- Maintains a Quarterly Dialogue with all oversight bodies, including the Independent Audit Advisory Committee (IAAC), to exchange views on matters of mutual interest, including oversight and risk management issues
- Functions as the Enterprise Risk Management (ERM) Committee, with responsibility for monitoring implementation of the ERM framework, reviewing the Organization's risk response strategies, monitoring the overall effectiveness of the ERM and internal control framework, and providing guidance and direction on implementation across the Secretariat
- Receives quarterly progress reports on implementation of major transformative initiatives and projects
- Reviews key elements of management-related Reports of the Secretary-General to the GA to ensure oversight and coherence of management issues
- In view of their importance and relevance to the management agenda, the MC has two standing items on its Agenda: (1) Update on the work of the Fifth Committee/ ACABQ and (2) Update on the status of documentation to the GA.
- The MC normally meets once a month, with some meetings dedicated to periodic reviews of progress made on implementation of business transformation projects and other organizational improvement initiatives.



KEY QUESTIONS

Who participates in the Management Committee meetings?

- The members of the MC are as follows:
 - » CdC (Chair)
 - » Under-Secretary-General (USG) for Management
 - » USG for Field Support
 - » Assistant Secretary-General (ASG) for Human Resources Management
 - » ASG for Programme Planning, Budget and Accounts, the Controller
 - » ASG for Central Support Services
 - » ASG for Information and Communications Technology
 - » USG for Economic and Social Affairs
 - » USG for General Assembly and Conference Management
 - » USG for Legal Affairs, the Legal Counsel
 - » ASG for Peacekeeping Operations
 - » ASG for Peacebuilding Support
 - » ASG for Political Affairs
 - » USG for Safety and Security
 - » 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 and Executive Director, United Nations Office on Drugs and Crime
 - » USG for the Coordination of Humanitarian Affairs and Emergency Relief Co-ordinator
 - » USG for Global Communications, Department of Public Information
- Overseers and additional participants:
 - » USG for Internal Oversight Services
 - » Director, United Nations System Staff College
 - » United Nations Ombudsman and Head of Ombudsman and Mediation Services
 - » Director, United Nations Ethics Office
 - » Executive Director, United Nations Institute for Training and Research
 - » Secretary, Chief Executives Board
 - » Secretary, Fifth Committee
 - » Director, Regional Commissions, New York Office

- The CdC chairs the MC on behalf of the Secretary-General. The Director of the CEB (New York) and Secretary of the High-Level Committee on Management (Geneva) also participate in the MC to facilitate collaboration and sharing of information/experiences.
- Members ensure an optimal mix of strategic and operational experience. In view of the cross-cutting nature of their functions, and to facilitate their direct engagement in decision-making, the ASGs in the Department of Management are responsible for Budget and Finance, Human Resources Management, Central Support Services, and Information Technology, participate with the USG/Department of Management (DM) as full members of the MC.
- The MC may invite representatives of any Department/Office to advise on substantive questions.

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

- The Secretary, in close consultation with various Secretariat entities—DM, Office of Human Resources Management (OHRM), Office of Programme Planning, Budget and Accounts (OPPBA), Office of Information and Communications Technology, Department of Peacekeeping Operations (DPKO), Department of Field Support (DFS), DGACM, the Secretary of the Fifth Committee, and the Oversight bodies, including the Independent Audit Advisory Committee (IAAC)—collaborates in the preparation of documentation to facilitate meetings, and to ensure socialization of issues before they are finalized for decision by the MC.
- To facilitate planning and consideration of issues, an MC Forward Agenda is prepared in advance, which takes into account priorities of the SG, recommendations and observations of the Advisory Committee on Administrative and Budgetary Questions (ACABQ) and oversight bodies, and resolutions and decisions of the Fifth Committee.
- The Forward Agenda is formulated in close consultation with officials at the working level and Principals, ensuring ownership and sustainability of management issues. In developing the Agenda, particular attention is paid to identifying emerging risks and challenges, and to ensuring that senior management as a whole stays ahead of the risk curve.

What types of issues are discussed in the Management Committee?

Management reform—including senior management engagement and leadership, strengthening governance and accountability, developing and implementing a risk management culture, overseeing the business transformation process, building greater trust between management and the oversight bodies and Member States, and implementation of oversight bodies recommendations—has been the key focus of the MC in recent years.

In view of their centrality to management reform, past MC agendas have included discussions and decisions for implementation regarding the following topics: Mobility, the International Public Sector Accounting standards (IPSAS), the Capital Master Plan (CMP), the Global Field Support Strategy (GFSS), ERM, the High-level Panel on Peace Operations, the Learning and Career Support Strategy, Support to Survivors and Affected Families, Strengthening Investigations, Strengthening Evaluation, the Gender Parity Strategy, the Anti-Fraud framework, the Occupational Health and Safety framework, and Multilingualism.

The MC has progressively developed a body of decisions on several important management areas that have been mainstreamed across the Secretariat. The oversight bodies, the ACABQ and the Fifth Committee increasingly look to the MC to ensure collective responsibility, leadership and senior management buy-in and accountability.

MANAGEMENT PERFORMANCE BOARD (MPB)

The CdC also chairs the MPB, which performs an advisory role to the Secretary-General. Its key functions include:

- Overseeing the strengthening of the accountability framework at the highest levels of the Secretariat primarily through the Senior Managers and Heads of Mission (field) Compacts—a tool for improving performance and accountability across the Organization
- Monitoring the performance of Senior Managers and Heads of field missions (hereafter “missions”) in achieving the objectives, results and targets contained in their compacts, and advising on changes/improvements to the Compacts.
- 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 management and development system within the Secretariat. Where weaknesses/shortcomings in performance are identified, the MPB recommends remedial measures for improvement. The MPB also shares best practices and lessons learned with senior managers and examines gaps/systemic issues in performance and accountability in areas such as the internal justice system and recruitment.

Senior Managers’ Compacts

The Senior Managers’ Compacts (hereafter referred to as “Compacts”) are annual agreements that the Secretary-General signs with his most senior officials. Compacts set specific programmatic objectives and managerial targets for a given year, thereby ensuring accountability at the highest levels. For each senior manager, Compacts include key objectives related to the specific mandate of each department, office, OAH, Regional Commission or mission, including objectives from relevant budget documents. Compacts identify strategic goals that are shared by all departments, offices and missions, such as the efficient management of financial resources and the implementation of oversight body recommendations.



KEY QUESTIONS

Why are Compacts so important?

- Compacts form an essential element of the Secretary-General’s drive for accountability and transparency in the Organization, starting with his senior-most managers; this is a priority shared by Member States, as made clear by the GA.

- A Compact should demonstrate your obligations to your staff, to the mandate of your department, office or mission, and to the Secretary-General and to the Organization as a whole. 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.

How do the Compacts work?

- Compacts require you to set—at the beginning of the year—your programme priorities, together with departmental, office and/or mission targets and indicators. In addition, the MPB sets management objectives that apply to all senior managers, such as the implementation of oversight body recommendations, gender representation and reduction of vacancy rates. Once the content is agreed upon, you and the Secretary-General sign your Compact.
- The targets set in your Compact should cascade 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 CdC 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, and/or 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 online.



ADVICE AND GUIDANCE

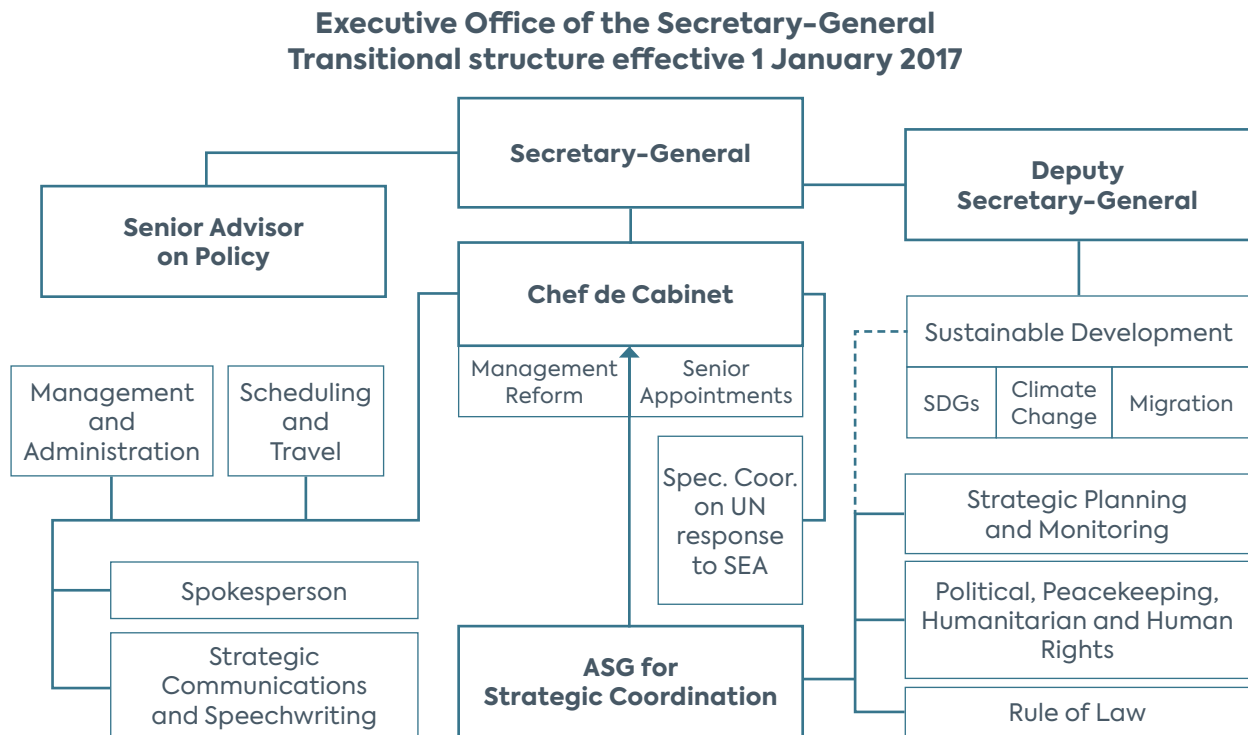
- As a Senior Leader, you are accountable for the successes and shortcomings of your Compact. However, you cannot be expected to achieve the targets on your own. You must rely on your senior managers, directors, and your staff. USGs are required to sign a Compact with their Assistant Secretaries-General, and to encourage all senior managers and staff to take seriously the performance management and development system. While this can be time-consuming, it is a critical exercise that, if done properly, will greatly improve overall programme delivery.

Individuals

There are several **individuals** that you need to be aware of in the EOSG:

- Deputy Secretary-General (DSG)
- Chef de Cabinet (CdC)
- Senior Advisor on Policy
- Assistant Secretary-General for Strategic Coordination

The key focus areas of these individuals are described in this chapter along with the teams they oversee. As of January 2017 the structure of the office was as follows:



DEPUTY SECRETARY-GENERAL (DSG)

The DSG focuses on sustainable development, including:

- Reform of the UN development system
- Financing for development
- Humanitarian-development nexus
- Climate change
- Migration
- Global health
- Other related issues

Sustainable Development Unit (SDU)

- Supports the strategic engagement of the Secretary-General on sustainable development, including financing for development, climate change, migration, global health, and related issues

- Supports the DSG in overseeing the implementation and continued global advocacy for the 2030 Agenda for Sustainable Development, Paris Agreement and the Non-Party (stakeholder) support to Global Climate Action
- Supports the DSG as she leads, on behalf of the Secretary-General, a comprehensive review of the UN development system, and the future implementation of any required changes
- Monitors progress in the follow-up to UN summits and conferences and internationally-agreed upon development goals (e.g., Africa and Least Developed Countries, Addis Ababa Action Agenda, and the G-20)
- Follows major inter-governmental debates and meetings related to the development pillar, including the UN GA, ECOSOC and major conferences, such as the Climate Change, Biodiversity, Desertification Conference of the Parties, and maintains substantive communication on development issues with different parts of the UN system, Member States and other stakeholders, including civil society
- Serves as primary conduit for and honest broker vis-à-vis the UN development system to help relevant entities align their strategies and messages and ensure that initiatives, policies and documents reflect the priorities of the Secretary-General
- Sustains effective action regarding the global health agenda, including the new approach to cholera in Haiti
- Follows up on the UN Summit for Refugees and Migrants—including the intergovernmental process leading to an international conference on migration on 2018—and related initiatives

CHEF DE CABINET (CDC)

The CdC is responsible for the overall management of the EOSG and acts as Chair of the Management Committee, the Management Performance Board and the High-Level Steering Group on Sexual Exploitation and Abuse, respectively. He or she also focuses on the following:

- Interface with Member States
- Senior appointments
- Management reform
- Peace and security architecture reform
- Alignment of the various reform tracks within the EOSG
- Political, human rights, rule of law, peace and security related issues
- Supervision of the Assistant Secretary-General for Strategic Coordination and the substantive units in the EOSG
- Supervision of the Special Coordinator on improving the United Nations response to sexual exploitation and abuse

Special Coordinator on improving the UN response to sexual exploitation and abuse

The Secretary-General places the utmost priority on the prevention of sexual exploitation and abuse in the UN. In February 2016, the former Secretary-General appointed a Special Coordinator on improving the UN response to sexual exploitation and abuse. She is coordinating and building on system-wide efforts to develop, align, strengthen and track measures that are underway in the areas of prevention, response and accountability. The Secretary-General has extended the Special Coordinator's mandate until 31 January 2018. He has also called for the appointment of a Victims' Rights Advocate (ASG level). Both report to him through his CdC.

Senior leaders will be held personally accountable as Heads of UN Departments, Offices or Missions for fulfilling their obligations to prevent and respond to sexual exploitation and abuse. Accountability measures include an obligation of Senior Leaders to certify, on an annual basis, that they have reported to the Secretary-General all allegations of sexual exploitation and abuse that have been brought to their attention and that they have taken all measures to address such allegations. Senior leaders must also certify that they have made available to all staff members and affiliated personnel training focused on the prevention of sexual exploitation and abuse.

Additionally, Senior Leader obligations to prevent and respond to sexual exploitation and abuse are assessed as part of the annual Compact. See Chapter 5: "Ethics, Accountability and Oversight" for more information on the prevention of sexual exploitation and abuse.

SENIOR ADVISOR ON POLICY

The Senior Advisor on Policy supports the Secretary-General in maintaining a holistic view and strategic oversight of policy matters across all pillars of UN work. He or she also focuses on the following:

- Initiating and leading horizontal and vertical integration for system-wide coherence on conflict prevention policies, tools and operations
- Monitoring, with the support of the Assistant Secretary-General for Strategic Coordination, emerging global issues and brewing crises, analysing their implications for the UN and advising the Secretary-General on appropriate options and responses
- Ensuring that relevant policy opportunities and challenges are identified and addressed in a timely manner
- Ensuring that fresh thinking and outside perspectives are introduced into the policy-making process, including through close links with the UN University and other research entities, and commissioning research where needed
- Undertaking *ad hoc* assignments in support of specific policy priorities of the Secretary-General
- Liaising with the DSG and the Assistant Secretary-General for Strategic Coordination to ensure prevention and other Secretary-General priorities are integrated into key decision-making processes
- Liaising with the Director of Strategic Communications and Spokesperson of the Secretary-General to assist in developing communication messages and strategies related to key policy initiatives

ASSISTANT SECRETARY-GENERAL FOR STRATEGIC COORDINATION

The Assistant Secretary-General for Strategic Coordination, working closely with line departments, supports the Secretary-General and the Deputy Secretary-General with analysis and advice across political, peacekeeping, development, humanitarian, human rights and rule of law portfolios. The Assistant Secretary-General for Strategic Coordination focuses on the following:

- Providing Secretariat support for the EC
- Commissioning policy options from relevant UN entities
- Overseeing consultations, providing substantive support, quality control, and follow-up, as well as liaising closely with the Senior Advisor on Policy
- Chairing the DC
- Overseeing and ensuring strategic coordination, coherence, and integrated information and analysis in the work of the following four units:
 - » Political, Peacekeeping, Humanitarian and Human Rights Unit (PU)
 - » Strategic Planning and Monitoring Unit (SPMU)
 - » Rule of Law Unit (RoLU)
 - » Sustainable Development Unit (SDU)
- These units function as the **Strategic Coordination Team (SCT)** to provide fully integrated information and analysis to support senior decision making.

Political, Peacekeeping, Humanitarian, and Human Rights Unit (PU)

- Provides the Secretary-General with situational awareness, trend analysis and advice on emerging and ongoing issues of interest and concern across the political, peacekeeping, humanitarian and human rights portfolios
- Supports senior management decision-making on country situations and relevant thematic files
- Ensures effective and coordinated UN system analysis, reporting, and response on situations of interest and concern to the Secretary-General
- Ensures high-quality and well-coordinated inputs to the public and private communications of the SG and diplomatic engagement with member states and others
- Ensures that human rights concerns are adequately reflected in the above work, including through continued mainstreaming of the Human Rights Up Front approach

Strategic Planning and Monitoring Unit (SPMU)

- Supports the Secretary-General with priority setting, forward planning, strategic analysis, enterprise risk management and ensuring strategic direction in budget proposals and strategic planning frameworks

- Coordinates the drafting of the Annual Report of the Secretary-General on the work of the Organization
- Coordinates the production of key strategic reports that cut across sectors and units
- Prepares planning papers and monitors the work of the UN on key issues as requested
- Supports senior management in setting strategic priorities and directions for budget formulation and allocation of resources to ensure effective, efficient and strategic use of resources
- Supports the Secretary-General in designing and organizing senior management retreats
- Supports analysis and planning for UN conflict response efforts with a particular focus on new and transitioning peace operations
- Prepares strategic considerations and options on the basis of information and advice from the system
- Translates the guidance from the Secretary-General into strategic directives that set out overall parameters for potential UN engagement
- Ensuring the strategic objectives and relevant planning policies of the Secretary-General are adhered to across the lifetime of an operation
- Enhancing integrated conflict analysis and planning capacity across the system

Rule of Law Unit (RoLU)

- Serves as the EOSG focal point for:
 - » Legal questions
 - » The rule of law
 - » Counter-terrorism and prevention of violent extremism
 - » International justice, transitional justice and accountability
 - » Organized crime and drugs
- Develops system-wide strategies, policy direction, best practice materials, and guidance for the Organization in promoting rule of law and maintaining a repository of such material
- Prepares the annual report of the Secretary-General in strengthening and coordinating UN rule of law activities
- Supports the intergovernmental dialogue on the rule of law, accountability and SDG 16 (promotion of just, peaceful and inclusive societies) and related targets
- Supports coordination of UN entities working in the area of the rule of law, enhances partnerships between the UN, International Financial Institutions, Member States and the many other actors engaged in rule of law activities.

STRENGTHENED INFORMATION MANAGEMENT, COORDINATION AND CRISIS MANAGEMENT

UN Operations and Crisis Centre

The **UN Operations and Crisis Centre (UNOCC)** is mandated to provide integrated information management, enhanced situational awareness and analysis, and facilitation of coordinated crisis response, which are critical to informed, coordinated and timely decision-making by UN senior managers.

The UNOCC became an integrated entity in January 2017, reporting to the Assistant Secretary-General for Strategic Planning in the Executive Office of the Secretary-General.



KEY QUESTIONS

How does the UN Operations and Crisis Centre operate?

- Serves as an integrated information and crisis hub for the UN system
- Provides UN senior managers with situational awareness (i.e., a common picture of the situation in the field) through the integration of all-source information that covers political, military, security, socio-economic, humanitarian and human rights developments
- Produces daily reports and ad hoc alerts that reflect critical global developments
- Provides UN senior managers with forward-looking situational analyses of complex and evolving situations in the field
- Serves as the designated venue for Headquarters response to crises in the field, and facilitates the coordination of crisis response structures, including through its management of crisis-driven information demands and dedicated crisis reporting

Regional Monthly Reviews

Regional Monthly Reviews (RMR), conceived under the Human Rights Up Front policy, were developed to ensure that the UN system has a shared understanding of situations and takes early and coordinated action for prevention. Coordinated at the Director level, the RMR uses a combination of development, political, human rights and humanitarian analyses to define recommendations for strengthening UN action.

The review members consider early warning information and agree upon possible preventive and responsive measures to support the UN field presence in responding to evolving situations. They review all countries whether or not there is a UN presence. Their decisions leverage the full range of UN mandates in response to any concerns.

The outcomes of the Regional Monthly Reviews are shared with the DC, which exercises an oversight, monitoring and accountability function over the Regional Monthly Review mechanism.

ENHANCING PERFORMANCE IN THE PEACE AND SECURITY PILLAR

To improve the governance, funding and institutional architecture relating to peace and security, the Secretary-General is pursuing process, cultural, and structural opportunities in coordination with others.

Practically speaking, this includes the co-location of and improved collaboration between Regional Divisions of the Department of Peacekeeping Operations (DPKO) and the Department of Political Affairs (DPA) and other relevant capacities of DPKO, DPA and the Department of Field Support (DFS) to facilitate more effective and integrated decision-making and implementation.

The Under-Secretaries-General for Political Affairs, Peacekeeping Operations and Field Support, in order to have enhanced joint mechanisms for individual peace operations that require close political and operational coordination, are considering the following areas that may benefit from co-location and improved collaboration:

- Planning for peace operations
- Policy
- Training
- Rapid deployment (human resources, logistics, communications and budgeting)

An internal review team (DM, DFS, DPKO, DPA, OHCHR, UNDP and PBSO) was established to study the existing proposals for change in the Secretariat's peace and security architecture that are contained in, but not limited to, the following reports:

- Peacebuilding Architecture Review
- Resolutions on Sustaining Peace
- Report of the High-level Independent Panel on UN Peace Operations (HIPPO)
- Global Study on the Implementation of Security Council resolution 1325 on Women, Peace, and Security

QUADRENNIAL COMPREHENSIVE POLICY REVIEW OF THE UN OPERATIONAL ACTIVITIES FOR DEVELOPMENT (QCPR)

The QCPR is the main mechanism through which the GA provides system-wide guidance on operational activities for development to UN departments, funds and programmes that report to the GA through the ECOSOC. The Second Committee adopted the 2016 QCPR on 13 December 2016. It was widely seen as an opportunity to re-position the UN Development System (UNDS) and make it fit for the 2030 Agenda.

The 2016 QCPR signaled Member States' expectations for increased UNDS coherence, cohesion, and integration. Against a backdrop of multiple and diverse Member States' perspectives on specific reform measures, the resolution requested the Secretary-General to present proposals on the following in 2017:

- An outline of present UNDS functions and existing capacities, with recommendations to address gaps or overlaps in the implementation of Agenda 2030.
- Proposals for the improved coordination and accountability of UNDS entities and their oversight by Member States, with a focus on strengthening the role of ECOSOC, defining better lines of accountabilities and reporting between governance structures, and enhancing the transparency of inter-agency mechanisms, such as the CEB.
- A system-wide strategic document for collective action in support of the 2030 Agenda.
- A comprehensive proposal on further improvements of the Resident Coordinator system.

Some of these elements were covered in a Report of the Secretary-General issued in July 2017 (A/72/124-E/2018/3) and others will be covered in a separate report at the end of 2017.



KEY POINTS ON THE EOSG AND INTEGRATED LEADERSHIP

- 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 EOSG **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 ongoing 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 over-burdened 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.



ADVICE AND GUIDANCE

- It is important to ensure that **your vision and public statements or 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 them with the Deputy Secretary-General, Special Advisor on Policy, Chef de Cabinet (CdC) or Assistant Secretary-General for Strategic Coordination, as appropriate. Familiarize yourself with the views of the Secretary-General through a close reading of 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 and towards constructive outcomes.

Chapter

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 carries out the diverse day-to-day work of the Organization in duty stations around the world, headed by the Secretary-General. The duties 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, interpret speeches and meetings, and translate documents into the six official languages of the Organization (English, French, Russian, Spanish, Chinese and Arabic). The Secretariat includes departments/offices at UN Headquarters in New York, Offices Away from Headquarters (OAHs), Regional Commissions, and UN field missions and presences.



KEY QUESTIONS

What is the role of the Secretariat in practice?

- The Secretariat is independent and international, with a complex role and relationship with Member States. The interests of Member States, as outlined in Chapter 1, play a significant part in the work of the Secretariat, which is intimately tied to—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 time:
 1. A parliamentary clerk to the GA and other intergovernmental organs, helping to organize and record meetings, prepare documents, etc.
 2. 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
 3. Executive implementer of the resolutions of the intergovernmental bodies
 4. The Secretary-General’s role, not explicit in the Charter, of preventing or mediating conflicts through his good offices
 5. The Secretary-General’s role as a global agenda setter, formulating and promoting new ideas, on issues such as human rights or environmental protection

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.
- While it is important to note that some departments or 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 donors. 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”.

Why is geographical representation in the Secretariat so important?

- The international composition and international responsibilities give 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 contributions.

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; 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, and 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 of 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 and the UN system—not just those of your own department/office—to meet these challenges.
- 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.**

ROLE AND PURPOSE OF MANDATES

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

How is a mandate defined? How are mandates generated?

- 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.
- 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.
- 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 or mission in question. Members of the Security Council deliberate, accept, amend or reject recommendations, often in consultations with the relevant department(s).

What is the purpose of a mandate?

- 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 reports. 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 inter-governmental 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. Examples are: promotion of human rights; promotion of sustained economic growth and development; combatting international terrorism; and maintenance of international peace and security.

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.

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 among 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: “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 utilized.
- 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 (HQ), OFFICES AWAY FROM HEADQUARTERS (OAHs), REGIONAL COMMISSIONS

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

- OAHs in Geneva, Vienna and Nairobi. They are headed by a Director General at the level of Under-Secretary-General, who is directly accountable to the Secretary-General.
- 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). They are headed by Executive Secretaries, who are accountable to the Secretary-General.
- UN field missions, including peacekeeping operations (PKOs) and special political missions (SPMs). They are headed by Special Representatives/Envoys of the Secretary-General, also accountable to the Secretary-General.

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

Which departments/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 UN
- **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 to the following:
 - » Secretariats of the Disarmament and International Security Committee (**First Committee**) and Peacebuilding Commission
 - » ECOSOC and the Economic and Financial Committee (**Second Committee**)
 - » Social, Cultural and Humanitarian Committee (**Third Committee**)
 - » 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 Services and the Office of Information and Communications Technology**. It also acts as the **Secretariat to 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, etc.
- **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 programmes
- **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 family
- **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 services

- 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)

What is the role of an Office Away from Headquarters?

- Serves as the representative offices of the Secretary-General with representation and liaison functions with permanent missions, regional organizations, governments, intergovernmental and non-governmental organizations
- Facilitates and maintains the cooperation between the UN and specialized agencies and programmes based in Switzerland, Kenya, Austria and elsewhere
- Lessens the administrative burden on New York HQ and provides local and cost-efficient administrative and conference management support to the UN entities present in Geneva, Vienna and Nairobi
- Main activities include:
 - » Human and financial resources management
 - » Information and communications technology
 - » Central support services
 - » Supporting UN funds and programmes, specialized agencies and other organizations of the UN common system in the duty station (on a reimbursable basis)
 - » 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
 - » Safety and security
- 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 ongoing 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.

What is the role of a Regional Commission?

- 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.
- Coordinates governmental and non-governmental actions directed towards this end, and seeks to reinforce economic ties among countries within their respective regions, and with other nations of the world.

- Promotes multilateral dialogue, knowledge sharing and networking at the regional level, and works 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).



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/offices in the area of peace and security?

DEPARTMENT OF POLITICAL AFFAIRS (DPA)

- Plays a central role in the **prevention and resolution of conflict**, providing support to the Secretary-General and the UN system

- Leads the UN's work on **political analysis** in order to buttress the **Secretary-General's good offices** and provides guidance and expertise to various parts of the UN system in relation to **mediation, preventive diplomacy, peacemaking and sustaining peace**
- Oversees the work of **UN envoys and political missions in the field** engaged in peacemaking and mediation
- Coordinates **electoral assistance** in countries that request it - the Under-Secretary-General for Political Affairs is the UN focal point for electoral assistance
- Supports 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 committees
- Supports the **Committees on Palestinian Rights and Decolonization**

OFFICE OF COUNTER-TERRORISM (OCT)

- **Provides leadership on the General Assembly counter-terrorism mandates** across the United Nations system
- Enhances coordination and coherence across the 38 Counter-Terrorism Implementation Task Force (CTITF) entities to ensure the balanced implementation of **the UN Global Counter-Terrorism Strategy**, through twelve inter-agency working groups
- Strengthens United Nations counter-terrorism capacity-building assistance to Member States
- Improves visibility, advocacy and resource mobilization for United Nations counter-terrorism efforts
- Ensures that the work of preventing violent extremism is firmly rooted in the UN Global Counter-Terrorism Strategy, including by acting as Secretariat to the **Secretary-General's High Level Action Group on Preventing Violent Extremism**

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
- 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
- Provides **guidance and support on military, police, mine action** and other relevant issues to UN special political missions

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 administration**

OFFICE FOR DISARMAMENT AFFAIRS (ODA)

- 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, and chemical and biological weapons
- 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
- Supports **preventive disarmament measures**, such as dialogue, transparency, and confidence building on military matters, while encouraging regional disarmament efforts through ODA regional centers as well as other regional forums

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 offices
 - » The Office on Drugs and Crime (UNODC)
- Coordination among 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 Security. Coherence and direction is also provided by the Policy Committee of the Secretary-General, which is also a decision-making body on key strategic issues.

DEVELOPMENT

The Organization covers a wide range of issues in the domain of sustainable 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, environment and climate change, human settlements and energy.

The Organization also promotes the implementation of internationally-agreed development goals, including the Sustainable 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. There are a variety of departments, agencies funds and programmes delivering policy and operational support to Member States on sustainable development (see section below on the UN system for further information on agencies, funds and programmes).



KEY QUESTIONS

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

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
- 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
- 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-OHRLLS)

- 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 REGIONAL COMMISSIONS

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

- The Regional Commissions 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 development include, for example: UNCTAD, the UN Environment Programme (UNEP), the UN Human Settlements Programme (UN-HABITAT), UNDP, and OHCHR.

Coordination among development entities and UN agencies, funds and programmes is provided by the **UN Development Group (UNDG)** 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 a 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

What are the major roles and responsibilities of the Office of the UN High Commissioner for Human Rights?

- Leads global human rights efforts and speaks out objectively in the face of human rights violations worldwide
- 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
- Sets human rights standards, conducts human rights monitoring and supports human rights implementation at the country level
- Supports 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
- 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 in Conflict, OCHA, DPKO and DPA, as well as with the wider UN system

- Works to mainstream human rights principles and standards in UN policies, guidelines and operational tools

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

- The topic of human rights has implications for a number of issues at the forefront of the UN's agenda. As such, human rights—together with peace and security and development—constitute the three 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.
- 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 Mission.
- The integration of human rights in humanitarian action provides a holistic, norm-based, 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 the 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 OHCHR.
- 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).

What is the Human Rights Due Diligence Policy?

- The **Human Rights Due Diligence Policy**, adopted in 2011, sets out principles and measures to mainstream human rights through support provided by UN entities to non-UN security forces globally. For example, if the United Nations has substantial evidence that a recipient of United Nations support is committing grave violations of international humanitarian, human rights or refugee law, the United Nations must intercede with the relevant authorities to bring those violations to an end. If, despite such intercession, the situation persists, the United Nations must suspend support to the offending elements.

What is Human Rights Up Front?

- The **Human Rights Up Front (HRuF)** action plan was introduced to address the “systemic” failings identified in the Secretary-General's 2012 Internal Review Panel on UN Action in Sri Lanka. The Panel had found that the UN did not do all that it could have for the protection of people from harm and that fragmentation and a lack of accountability had undermined UN implementation of its mandates. HRuF is meant to generate early action and more effective steps should prevention fall short. It calls for more dynamic engagement by Member States and by UN system entities. Most importantly, it calls on all UN staff and managers to recommit to our core responsibilities of protecting human rights and strengthening accountability. See Chapter 5 for more information.

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

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

UN OFFICE FOR THE COORDINATION OF HUMANITARIAN AFFAIRS (OCHA)

- Coordinates, leads, and advocates for improved, principled, humanitarian action to improve the speed and effectiveness of emergency response efforts
- Provides a host of tools and services relating to coordination, policy, advocacy, information management and humanitarian financing
- 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
 - » World Food Programme (WFP)
 - » FAO
 - » OHCHR
- Coordination among 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).

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 body that serves as the primary forum for legal questions is the GA Sixth Committee.



KEY QUESTIONS

What are the roles and responsibility of the Secretariat's Office of Legal Affairs (OLA)?

- Provides a unified, central legal service for the Secretariat and the organs of the UN
- Provides Secretariat functions to all UN bodies at HQ and in the field, including UN field missions, as well as the various sanctions mechanisms
- 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
- Assists international courts, tribunals with varying degrees of relation to the UN (e.g., International Criminal Tribunal for the Former Yugoslavia; International Criminal Tribunal for Rwanda; Mechanism for the International Criminal Tribunals; Special Court for Sierra Leone; 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 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. DPA is normally the lead agency for special political missions (SPMs), including peacebuilding offices.

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 organizations 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 in 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 better 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 in 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 politi-

cal missions such as the Special Adviser to the Secretary-General on Cyprus, and direction to the Global Service Centre in Brindisi and the Regional Service Centre 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; they need to ensure coordination and continued support during a transition.



KEY QUESTIONS

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

- 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. The presence, however, may or may not be structurally integrated. 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 tools.

What is the High-Level Panel on Peace Operations (HIPPO) report?

- The High-Level Independent Panel on Peace Operations was appointed in October 2014 to review the current state of peace operations. The panel consisted of 16 members chaired by former President of Timor-Leste and Nobel Laureate Jose Ramos-Horta. The Panel consulted Member States, regional organizations, UN partner entities, civil society, academia and research outfits and visited a number of peace operations.
- It drew on the **Brahimi Report** and other previous reports like that of the 2004 **High-level Panel on Threats, Challenges and Change**, as well as the more recent **Civilian Capacity Report**, the **New Horizons Initiative**, and the **Prodi report**. The HIPPO report presents a comprehensive vision for a UN that “plays to its strengths—politics, partnership and people—to meet the challenges ahead”.
- The Panel recommended four essential shifts:
 - » **Primacy of politics.** Lasting peace is achieved through political solutions and not through military and technical engagements alone. Political solutions must guide all UN peace operations.

- » **Responsive operations.** UN missions should be tailored to context. The UN should embrace the term ‘peace operations’ to denote the full spectrum of responses.
 - » **Stronger partnerships.** A more resilient global and regional architecture for international peace and security is needed for the future.
 - » **Field-focused and people-centred.** UN headquarters should focus more in enabling field missions and UN personnel must renew their resolve to serve and protect the people.
- The Secretary-General took forward the recommendations made by the panel in his subsequent implementation report on the future of peace operations. In this report, which came out on 2 September 2015 (A/70/357-S/2015/682), **three fundamental changes** were highlighted:
 - » The need to prioritize prevention and mediation, in order to break the cycle of responding too late and too expansively
 - » The need to change the way the United Nations plans and conducts its peace operations to make them faster, more responsive, and more accountable to countries and people in conflict
 - » The need to put in place a global-regional framework to manage today’s peace and security challenges—which should start with a reinforced partnership between the United Nations and the African Union



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.

Chapter

4

**UN SYSTEM-WIDE
INTEGRATION
AND COORDINATION**



We live in a complex world. The United Nations cannot succeed alone. Partnership must continue to be at the heart of our strategy. We should have the humility to acknowledge the essential role of other actors, while maintaining full awareness of our unique convening power.

António Guterres
Secretary-General

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

The UN system is often characterised as a “family” comprising the UN Secretariat and its funds and programmes, specialized agencies, and related organizations (see UN system chart on pages 76–77). 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. 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 Secretary-General, with the GA’s endorsement, appoints the heads of funds and programmes. Separate legislative bodies govern the specialized agencies and related organizations.

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) at an inter-agency level.

It should be noted that the term “UN system” 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 6 on Human Resources.



KEY QUESTIONS

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 GA, which sets out mandates and determines reporting arrangements. All programmes are members of the CEB, which provides an interagency mechanism to foster coordination among the funds and programmes, the Secretariat, the specialized agencies and related organizations.
- There are eleven 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)*
- » 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)
- » United Nations Conference on Trade and Development (UNCTAD)*

* 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 to fulfill the work of the programmes, or earmarked funds for specific projects undertaken by the programmes.

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 GA.
- Their degree of autonomy is very much dependent on how they were established. However, despite being autonomous, specialized agencies are required to coordinate their activities through the GA, which can make recommendations regarding their activities.
- 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 UN System Chief Executives Board for Coordination (CEB) provides an inter-agency mechanism to foster coordination among the specialized agencies and rest of the UN system organizations.
- Their goal is to help achieve:
 - » Higher standards of living
 - » Full employment
 - » Conditions of economic and social progress and development
 - » 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 religion.
- There are currently 15 specialized agencies linked to the UN (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 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)
- The Bretton Woods Institutions—the World Bank (WB) and the International Monetary Fund (IMF)—are related institutions that 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 specialized agencies.
 - As with funds and programmes, specialized agencies have diverse governance structures. For example, WHO is governed by the World Health Assembly, which is its supreme decision-making body, and is 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. These institutions 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.
 - The following institutions are treaty bodies:
 - » International Atomic Energy Agency (IAEA)
 - » World Trade Organization (WTO)
 - » Preparatory Commission for the Comprehensive Nuclear-Test-Ban Treaty Organization (CTBTO)

- » Organization for the Prohibition of Chemical Weapons (OPCW)
- » UN Framework Convention on Climate Change (UNFCCC)
- » UN Convention to Combat Desertification (UNCDD)
- » UN Convention on Biological Diversity (UNCBD)



ADVICE AND GUIDANCE

- The challenges of the world have become increasingly interdependent. Consequently, **working across the UN system is essential to maximize 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. 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 field.**
- 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 needed 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 international financial institutions, 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 Commission.

THE UNITED NATIONS SYSTEM CHIEF EXECUTIVES BOARD FOR COORDINATION

The United Nations System Chief Executives Board for Coordination (CEB) is the longest-standing and highest-level coordination forum of the UN. It was established by ECOSOC as a standing committee chaired by the Secretary-General. Today it is composed of the 31 Executive Heads of the UN funds and programmes; specialized agencies, including the Bretton Woods Institutions; and the IAEA, WTO and IOM.

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 (e.g., climate change, gender equality, and migration). Most important, the CEB allows for a collective response to global problems, such as climate change and inequality.

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)



KEY QUESTIONS

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

- The High-Level Committee on Programmes (HLCP) is responsible 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 one of 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:
 - » Follow-up to the high-level plenary meeting of the GA on Addressing Large Movements of Refugees and Migrants
 - » Equality and non-discrimination at the heart of sustainable development
 - » Risk, resilience and prevention
 - » Cross-pillar linkages and the 2030 Agenda
 - » Climate change
 - » UN system leadership
 - » Reports of UN-Water, UN-Energy and UN-Oceans
 - » Istanbul Programme of Actions for the Least Developed Countries

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
- 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
 - » UN system-wide financial and human resources statistics database and reporting system
 - » Information and communication technology and knowledge-sharing initiatives
 - » Procurement and supply-chain initiatives
 - » Procurement process and practice harmonization in support of field operations

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

What is the United Nations Development Group (UNDG)?

- Established by the Secretary-General in 1997, the United Nations Development Group (UNDG) brings together 32 UN agencies, funds, programmes, departments, and offices that play a role in development. 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 SDGs.
- 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 GA.
- The Administrator of the UNDP chairs the UNDG. The UNDG Chair reports to the Secretary-General and the CEB on progress in implementing the UNDG strategic priorities and work plan, 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 basis.

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 SDGs, 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.



KEY QUESTIONS

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 or office. The presence, however, may or may not be structurally integrated. 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 tools.

What is “Delivering as One”?

- In 2005, Member States adopted the Outcome Document at the World Summit in New York, calling for greater coherence among UN agencies, funds and programmes. The resolution focused on ensuring the UN maximizes its contribution to achieving internationally agreed development goals, including the Millennium Development Goals (MDGs), and proposals for “more tightly managed entities” in the fields of environmental protection, 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 countries, 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 channeled 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.

What is the Quadrennial Comprehensive Policy Review (QCPR)?

- The QCPR is a mechanism through which the GA assesses the effectiveness, efficiency, coherence and impact of UN operational activities for development of the United Nations system. It is a GA resolution that frames and enables much of the UN’s work in the area of development. Through the QCPR, the GA 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 GA.
- On 21 December 2016, the GA adopted a landmark resolution (71/243) on the QCPR of UN operational activities for development. It guides the UN Development System towards supporting the 2030 Agenda for Sustainable Development and continues the work of the 2012 QCPR (67/226) resolution towards an effective, efficient and coherent UN development system.

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 the country level to identify activities—drawing on the full breadth of the UN system—to support capacity building of national actors for sustainable peace.



ADVICE AND GUIDANCE

- Integrated, coherent approaches are an objective of the Organization. In your coordination efforts, watch for overlapping mandates, membership and even similar agenda items. 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

What is the Resident Coordinator (RC) system?

- Established in 1977 to ensure proper coordination of operational activities of the UN system in a particular country
- Encompasses all the UN system entities that carry out operational activities for development in programme countries
- Main mechanism for coordinating UN operations that support nationally-owned and -led development plans and programmes
- Helps to coordinate emergency, recovery and transition activities in programme countries, together with humanitarian and peace and security actors
- 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 agen-

cies” and “is empowered by clear recognition from each agency of his or her role in strategically positioning the UN in each country”.

- A letter of the Secretary-General, usually to the Head of State or Government, accredits the RC.

What is the RC relationship with UNDP?

- The management of the RC system is anchored in UNDP, and the RC is also the UNDP Resident Representative (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.

What is the RC relationship with the Special Representative of the Secretary-General (SRSG)?

- If a Special Representative of the Secretary-General (SRSG) is appointed, the RC or Humanitarian Coordinator (HC; see details in section below) will normally function as Deputy Special Representative of the Secretary-General under his or her overall authority, with responsibility for the coordination of development and humanitarian assistance. 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 support. The Secretary-General’s Decision on Special Circumstances in Non-Mission Settings issued in 2012 and the subsequent Human Rights Up Front initiative recognized the need for strengthened system-wide support to RCs and UNCTs in situations of armed conflict, political crisis and/or rising political tension.

What is the Humanitarian Coordinator (HC)?

- Established in 1988 in recognition of the special nature of coordination in humanitarian crisis situations
- 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 HC. 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.

What is a United Nations Country Team (UNCT)?

- 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 **UN Development Assistance Framework (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.

What is a Humanitarian Country Team (HCT)?

- 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.

What kind of coordination exists at the regional level?

- Regional and sub-regional offices provide an **essential link between HQ 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.
- Six regional UNDG Teams provide support to UN Country Teams with strategic priority-setting, analysis and advice based on their four core functions:
 - » Technical support to UN Country Teams
 - » Quality assurance of UNDAFs
 - » Performance management of Resident Coordinators
 - » Troubleshooting in difficult country situations

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 HQ, 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.

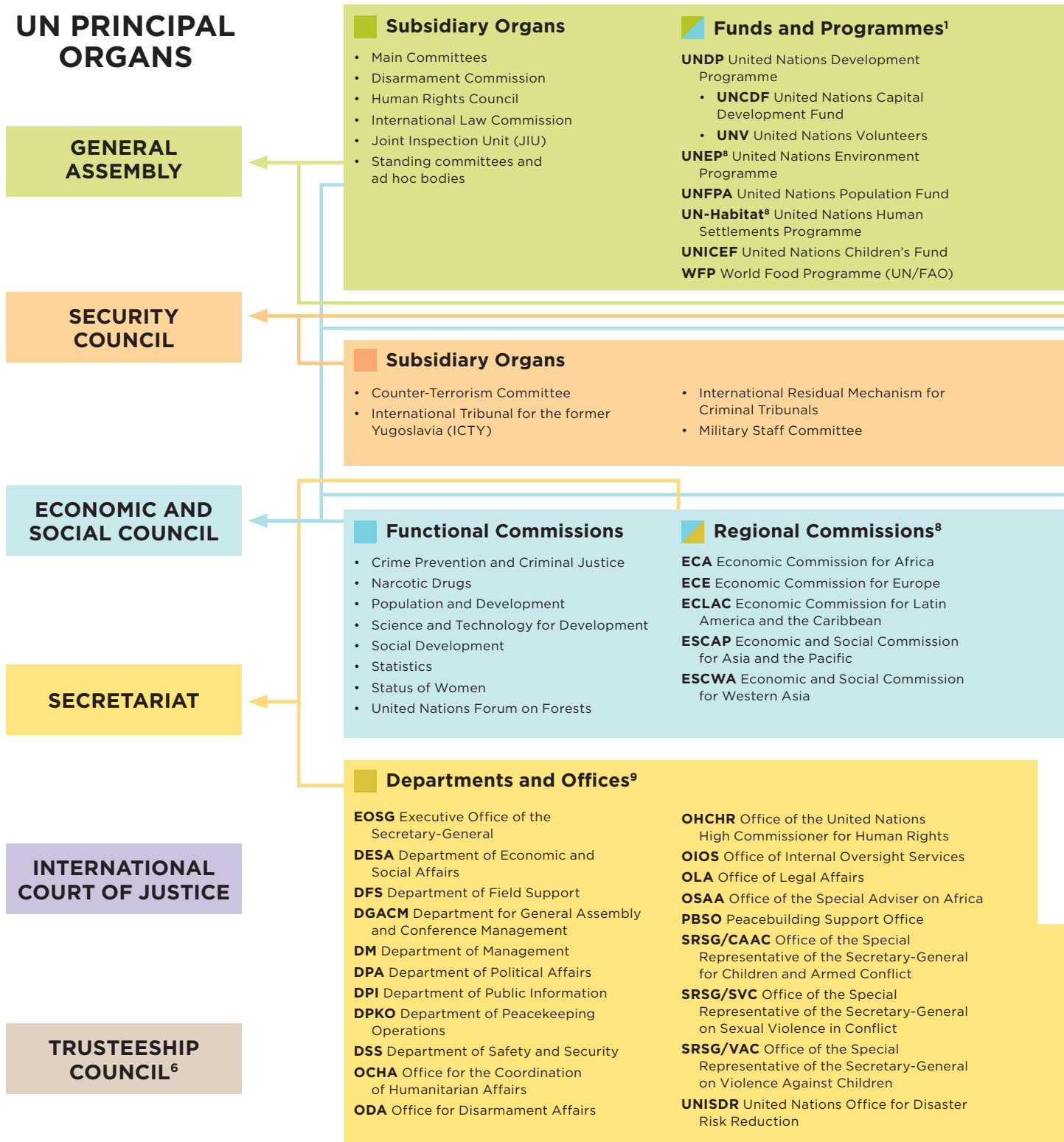


ADVICE AND GUIDANCE

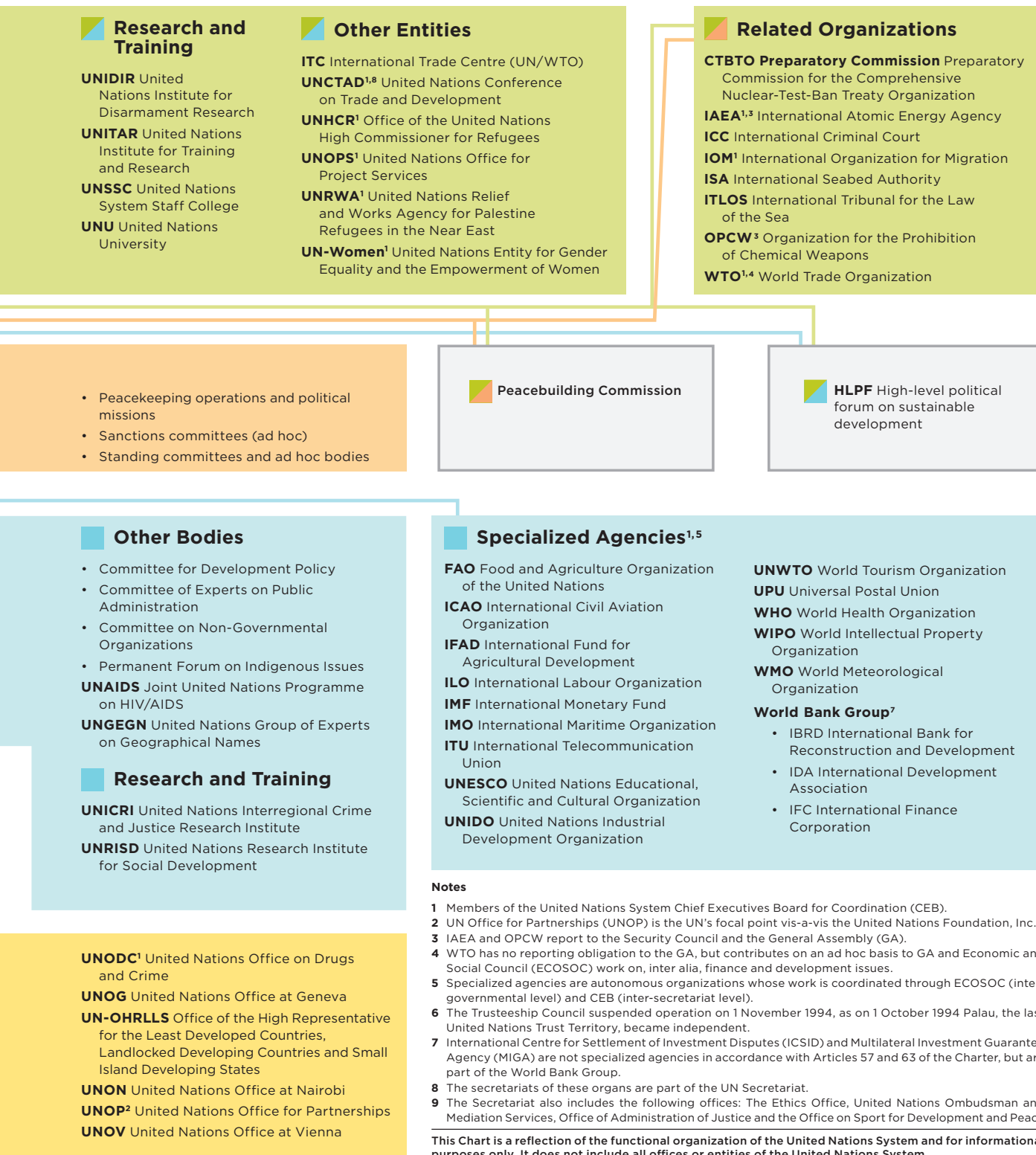
- You should send clear messages to your team about the importance of coherence and close cooperation with relevant colleagues by **creating incentives for coordination and coherence**, for example, by **making it part of staff performance evaluations**.
- **Familiarize yourself with the range of available 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. He or she 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.**



UN PRINCIPAL ORGANS



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Chapter

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 compartmentalized 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 witnesses.

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/offices on a daily basis, and ensures that difficult decisions can be made with the required information and support.



KEY QUESTIONS

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 an international civil servant. As a Senior Leader, you will be sworn into office by the Secretary-General.

- As a reminder, the oath states the following:

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.

What are the Staff Regulations and Rules of the UN?

- The Staff Regulations and Staff Rules are approved by the General Assembly (GA) 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.
- The Secretary-General provides and enforces Staff Rules, consistent with these principles, as he or she considers necessary. Secretary-General Bulletins, Administrative Instructions, and Information Circulars elaborate on the Staff Regulations and Rules, providing additional detail and procedural information.

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 staff 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 cooperation.

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.

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/offices on policy development
- Ensure coherence among the many ethics functions and operations within the UN system

What is the Leadership Dialogue?

- The Leadership Dialogue is an Ethics Office initiative, whereby all managers are expected to host an annual one-hour dialogue with their direct reports on various topics (e.g., fraud awareness and prevention and treating each other with respect and tolerance). Staff members are asked to think about ways in which to respond to ethical challenges and the role they can help play in protecting the Organization.
- As Senior Leader, you are expected to lead the first dialogue each year and, when your managers have completed theirs, to send your participation statistics to the Ethics Office.



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.
- 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 and your activities as an international civil servant – 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

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.

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.

What is misconduct?

- Misconduct is the **failure by a staff member to comply** with his or 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 authorized 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 that you treat staff unfairly, 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 exploitation and abuse** (as described in “Preventing Sexual Exploitation and Abuse” in this Chapter) 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 UN (see also Chapter 9 on Communications).
- 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 that allows you to maintain your loyalty to the UN first.



KEY QUESTIONS

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.

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.

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 that 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.

Am I allowed to enter into a partnership between my department and a private sector organization?

- 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 un-

clear. 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.

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.

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 staff. 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 NGOs 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

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

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.

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 management.
 - » **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.

PROTECTION AGAINST RETALIATION— WHISTLEBLOWER POLICY

What is the 'Whistleblower' policy?

- The **Protection Against Retaliation** policy (commonly known as the '**Whistleblower Protection**' policy) protects staff from being punished for reporting misconduct or for cooperating with an official audit or investigation. It enables the Organization to learn about and respond to misconduct, which strengthens accountability and maintains the integrity of operations and programmes.
- A revised, strengthened whistleblower protection policy was promulgated in January 2017. The major changes include the following:
 - » The Ethics Office and OIOS will now be able take preventive action where a risk of retaliation has been identified, instead of staff being required to identify a specific retaliatory act before they can request protection
 - » The policy affords protection from retaliation to whistleblowers who report wrongdoing committed not only by staff but also by contractors, non-UN peacekeepers and others
 - » Staff now have the right to seek review of Ethics Office determinations

- » Complainants will be notified of disciplinary measures taken against staff members found to have retaliated against them
- Protection against retaliation applies to all staff members, interns and United Nations volunteers. Punishing consultants who report violations of UN rules and regulations is also prohibited.

PREVENTING SEXUAL EXPLOITATION AND ABUSE



KEY QUESTIONS

What is sexual exploitation and abuse (SEA)?

- Sexual abuse is any actual or threatened physical intrusion of a sexual nature, whether by force or under unequal or coercive conditions.
- Sexual exploitation is any actual or attempted abuse of position of vulnerability, differential power or trust, for sexual purposes, including, but not limited to, profiting monetarily, socially or politically from the sexual exploitation of another.
- ST/SGB/2003/13 (Special measures for the protection against sexual exploitation and sexual abuse) addresses SEA against those the UN is mandated to protect, i.e., beneficiaries of assistance and those with whom UN personnel have a power differential.

What is the difference between SEA and sexual harassment?

- Sexual harassment, in ST/SGB/2008/5, is defined as “any unwelcome sexual advance, request for sexual favour, verbal or physical conduct or gesture of a sexual nature, or any other behavior of a sexual nature that might reasonably be expected or be perceived to cause offence or humiliation to another, when such conduct interferes with work, is made a condition of employment or creates an intimidating, hostile or offensive work environment. While typically involving a pattern of behaviour, it can take the form of a single incident. Sexual harassment may occur between persons of the opposite or same sex. Both males and females can be either the victims or the offenders”
- Sexual harassment relates to act(s) covered by ST/SGB/2008/5 (Prohibition of discrimination, harassment, including sexual harassment, and abuse of authority).

What has been the Organization’s strategy for the prohibition of SEA so far?

- In April 2003, the General Assembly adopted a resolution (A/RES/57/306) where it requested the Secretary-General to take measures to prevent sexual exploitation and abuse in humanitarian and peacekeeping operations and respond rapidly when allegations come to light. The prohibition of sexual exploitation was outlined later that year in a Secretary-General’s Bulletin (ST/SGB/2003/13).
- In March 2005, the Zeid Report, a comprehensive strategy to eliminate future sexual exploitation and abuse in United Nations peacekeeping operations, was issued. The

Zeid Report provided a comprehensive and innovative package of recommended reforms for both the UN Secretariat and Member States. Although the focus was on sexual exploitation and abuse, the problems identified related to a range of misconduct.

- In the years following the Zeid Report, the UN has implemented structural changes and put in place measures and initiatives to prevent sexual exploitation and abuse, to improve the Organization’s response to allegations, and to ensure that victims of sexual exploitation and abuse receive appropriate assistance and support in a timely manner.
- In 2014, the Secretary-General’s report to the General Assembly on Special measures for protection from sexual exploitation and sexual abuse (A/69/779) set out a wide range of new initiatives, which included expanding training and vetting of personnel for prior misconduct while in the service of a UN operation, creating new tools to enhance accountability and establishing more practical tools to support victims. Additional proposals and initiatives were put forward in the 2015 report to the General Assembly (A/70/729).

Why does SEA persist?

- The United Nations often operates in circumstances of heightened risk for sexual exploitation and abuse, where the Organisation must take stronger measures to detect, control, and prevent behavior of this kind. While peacekeeping is the most visible area of risk, prevention and response, sexual exploitation and abuse is a system-wide problem and responsibility.
- The persistence of sexual exploitation and abuse in the United Nations has also been compounded by several other factors:
 - » Weakly enforced standards with respect to civilian hiring
 - » Little to no system-wide screening of candidates for prior history of related misconduct
 - » Lack of knowledge of the values and rules of the Organization
 - » Lack of uniform and systematic training across all categories of personnel
 - » Weak civilian or uniformed leadership that fails to reinforce conduct and discipline
 - » Sense of impunity among those who perpetrate these acts
 - » Insufficient attention and un-sustained efforts on the part of the senior United Nations leadership and Member States

What is the Secretary-General’s current strategy?

- Among the measures to support the ongoing efforts of the Secretary-General to strengthen United Nations response to sexual exploitation and abuse are **preventive measures**. These include training, sensitization and community outreach, risk management and enhanced screening of all incoming personnel for prior misconduct while serving with the UN. Pre-deployment and in-mission training has been improved and there is a mandatory training course for all UN personnel— civilian, police and military— called *Prevention of Sexual Exploitation and Abuse*, which strengthens training on standards of conduct as well as the expectations of accountability and individual responsibility in matters of conduct and discipline.

- **Response measures** include immediate deployment of teams to gather and preserve evidence; rapid investigators: immediate disciplinary measures such as repatriation of uniformed personnel when the perpetrator is known; suspension of payments; DNA paternity testing and pursuing criminal accountability with Member States. Additionally, a trust fund to assist victims has been established to which Member States voluntarily contribute to improve the medical and psychosocial assistance to victims.
- **Data-gathering measures** include more information on victims, allegations, investigations and accountability measures in a website run by the Conduct and Discipline Unit, Department of Field Support. However all entities other than UN peacekeeping missions and special political missions such as UNRWA, UNICEF, UNDP, UNFPA, UNOPS, ESCWA, etc., are required to maintain statistics and report monthly on all allegations, the status of victim assistance and the investigation and outcome.
- **Educational measures** include No Excuses Cards that have been produced for UN system-wide use, which are to be carried by all UN personnel, including humanitarian and peacekeeping personnel in the field.
- **The Secretary-General has placed the highest priority on holding his senior managers accountable for fostering an environment which prevents and eradicates sexual exploitation and abuse** in the Organization and has called upon them to ensure that their staff and personnel are:
 - » Trained in the standards of conduct
 - » Aware of their responsibility to create an environment that prevents this behavior
 - » Aware of their individual obligation to report credible allegations to the appropriate UN offices
 - » Aware of their obligations to ensure victims are adequately protected and assisted regardless of the affiliation of the perpetrator, i.e., all UN staff and personnel have a responsibility to report no matter the perpetrator—whether national or non-UN international forces.
- This is set out in his March 2017 annual report, “Special measures for protection from sexual exploitation and abuse: a new approach” (A/71/818) which sets out four priorities.
 - » Focusing on the rights and dignity of victims
 - » Ending impunity for those guilty of crimes and abuses
 - » Reaching out more broadly to external experts and those affected
 - » Strengthening strategic communications for the purposes of education and transparency

What is my responsibility as a Senior Leader?

- The UN holds managers and commanders responsible for exercising their conduct and discipline functions. What this means is:
 - » **You need to be a role model and lead by example.** Your own behaviour must be exemplary
 - » You need to send a **clear message to your subordinates** that you will not turn a blind eye to such abuses

- » You need to **do everything within your** power to prevent, respond to and/or report sexual exploitation and abuse by your subordinates
- » You need to **take swift, decisive action** when an allegation is reported to you or when you become aware of such behaviour. You need to report the allegation through the established mechanisms within the UN immediately to ensure victims will receive urgent help and an investigation is launched expeditiously.

How will I be held accountable?

- The **Secretary-General will hold you personally accountable** as Heads of UN Departments and Heads of Mission for fulfilling your obligations to prevent and respond to sexual exploitation and abuse.
- You will be required to **personally certify an annual “End of Year Management Letter”** that states that your department, office or mission has reported to the Secretary-General all allegations that have been brought to its attention and has taken all appropriate measures to address them.
- Additionally, your obligations to prevent and respond to sexual exploitation and abuse will also be **assessed as part of your annual performance assessment through your Compact** that you sign with the UN Secretary-General.
- **Other managers and commanders are held accountable** through various processes, such as the performance management system, disciplinary systems such as termination and criminal law systems.
- **You set the tone.** Make it clear that there will be **no impunity** for sexual exploitation and abuse. If you adopt **zero tolerance** to sexual exploitation and abuse, others will too.

HUMAN RIGHTS UP FRONT (HRUF)

The Human Rights Up Front (HRuF) action plan was introduced in December 2013 to address the “systemic” failings identified in the Secretary-General’s 2012 Internal Review Panel on UN Action in Sri Lanka. The Panel had found that the UN did not do all that it could have for the protection of people from harm and that fragmentation and a lack of accountability had undermined UN implementation of its mandates.

HRuF is meant to generate early action and more effective steps should prevention fall short. It calls for more dynamic engagement by Member States and by the entities of the UN system, both at Headquarters and in the field. Most importantly, it calls on all UN staff and managers to recommit to our core responsibilities for protecting human rights and strengthening accountability.

HRuF introduces three types of change:

- **Cultural change:**
 - » All staff and UN entities to conduct their work with an awareness of their wider responsibility to support the UN Charter and overall UN mandates
 - » Staff to take principled positions and act with moral courage
 - » UNHQ to back staff who uphold overall UN responsibilities
 - » Greater accountability for UN action

- **Operational change:**
 - » Bring the UN's three pillars together (peace and security, development and human rights)
 - » Joint analysis and strategy by the UN system, in the field and UNHQ
 - » Better early warning and response
- **Change to UN engagement with Member States:**
 - » Proactive engagement with national authorities about concerns identified in analysis
 - » Early and full engagement with Member States to prevent large-scale human rights violations

How is HRuF implemented?

- In practical terms, for Senior Leaders, HRuF is first and foremost a cultural change. It serves as a tool to bring meaningful and sustainable changes to the UN system's culture, structures and operations that reflect the Secretary-General's chief vision of placing integration and prevention at the heart of UN policy.
- The HRuF approach is being integrated in the evolving UN management and leadership culture (e.g., accountability frameworks, management and leadership training). Staff and managers at all levels are required to complete an online training programme entitled "UN Human Rights Responsibilities," which illustrates through practical exercises how staff can recognize human rights violations as early warning signs of crises and on the options for action available to ensure the protection of people from violations.



ADVICE AND GUIDANCE

- **Read the report of the Secretary-General's Internal Review Panel** on UN action in Sri Lanka (available online) and consider what actions leaders across the UN system could have taken differently.
- **Do not ignore concerns raised about reports of misconduct or grievances and requests for investigation.** Remember that your oath is a personal one, and it 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.
- 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.

- Ask your senior staff to identify ways to apply HRuF in their unit's work, 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

What is the Office of Internal Oversight (OIOS)?

- Established by the General Assembly (GA), 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.
- Mandated to provide oversight to the UN Secretariat in New York, Offices Away from Headquarters (OAHs), Regional Commissions, field missions, humanitarian operations, and to assist funds and programmes administered under the authority of the Secretary-General.

What are the main functions of OIOS?

OIOS is organized into the following functional units:

- **Internal Audit Division:** assesses the adequacy and effectiveness of internal controls to improve 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 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 violations.

Is OIOS independent?

- Yes, the GA 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 UN Charter.
- This operational independence includes:
 - » Authority to initiate, carry out and report on any action which the Office considers necessary
 - » Ability for the Office to submit reports directly to the General Assembly
 - » Direct and confidential access of UN staff members to the Office and their protection against repercussions (see “Protection against Retaliation – Whistleblower Policy” earlier in this Chapter)
 - » Provision of adequate resources to carry out its duties

Are managers required to cooperate with OIOS?

- Yes, the relevant Secretary-General’s Bulletin 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.”

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

- OIOS follows up on all critical recommendations on a quarterly basis, and important recommendations on an annual basis.
- Information regarding past-due recommendations is included in OIOS’ annual report to the GA 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.

Can a department or office request an audit, inspection or evaluation?

- Yes, departments or 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.

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
 - » 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 Organization.
- 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 lessons learned** and/or a 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

What is the UN Board of Auditors (BOA)?

- The BOA performs external audits of the accounts of the UN and its funds and programmes. It reports its findings to the General Assembly
- The BOA supports the UN in its development of strategic thinking, improved governance, accountability and transparency, and in the delivery of its services on the ground
- The external auditors are elected on a rotational basis from the Auditors-General of Member States who are also the Heads of their Supreme Audit Institutions. As of April 2017, they are from India, Tanzania and Germany

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

- The JIU is **an independent external oversight body of the UN system** mandated to conduct evaluations, inspections and investigations in the UN
- 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
- 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 organizations

What is the JIU's purpose?

- Assists 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
- Helps improve the efficiency and effectiveness of the respective secretariats in achieving the legislative mandates and the mission objectives established for the organizations
- Promotes greater coordination between the organizations of the UN system
- Identifies best practices, proposes benchmarks and facilitates 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 mechanisms.
- Examples of recent reports include: Knowledge Management in the UN System; Safety and Security in the UN System; Review of the Ombudsman Services in the UN System

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 GA resolution 1438 (XIV).
- The Panel consists of:
 - » the members of the UN BOA
 - » 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.

Chapter

6

**HUMAN RESOURCES
MANAGEMENT**



The United Nations needs to be nimble, efficient and effective. It must focus more on delivery and less on process; more on people and less on bureaucracy.

António Guterres
Secretary-General

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 resources (this excludes General Temporary Assistance).

The Secretariat now has over **40,000 international civil servants**, with over half serving in field locations, and many performing highly specialized functions. 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 (GA) resolutions and decisions of the International Civil Service Commission** on the common system of salaries and allowances. The Secretary-General reports to the GA every two years on HRM matters. The Office of Human Resources Management (OHRM), in the Department of Management, is the central authority for 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 (HQ) in New York has an Executive Office, while offices outside New York have administrative and/or human resource offices to assist managers in carrying out their HRM functions.

The **Field Personnel Division in the Department of Field Support** supports all aspects of HRM in peace operations through daily interaction with the human resources sections in those operations.



KEY QUESTIONS

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. The development of common personnel standards and arrangements was 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 GA 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 service. The term should not be confused with the “UN system” which is described in further detail in Chapter 4.

What are the main categories of personnel in the UN Secretariat?

- The following are the main categories of staff at the UN:

- » Professional and higher (Professional [P] and Director [D])
- » General Service (GS) and related categories (e.g., Trades & Crafts, Security)
- » National Professional Officers (NPOs)
- » Field Service (FS)
- » Senior Appointments (SG, DSG, USG and ASG)
- At the UN, staff progress in a category through merit and qualifications by applying for different positions. All vacancies are advertised and recruitment processes are competitive between internal and external candidates. There is no “promotion” process as exists in many other organizations. There are also restrictions on movements between categories (e.g., GS staff may only become P staff through a competitive examination, which is normally held annually).
- Other types of non-staff personnel include: consultants, individual contractors, United Nations Volunteers, Gratis Personnel (Associate Experts, Non-reimbursable loans, interns), Police (UNPOL) and Government Provided Personnel (e.g. Military Experts)
- The total population of the staff of the global Secretariat can be found in the report “Composition of the Secretariat: Report by the Secretary-General” which is produced annually and available online. The report contains a demographic analysis of the staff of the Secretariat. This report includes, among other information, the number of staff by:
 - » Category
 - » Entity
 - » Gender
 - » Age
 - » Nationality
- Demographics on personnel in the peacekeeping missions is available from the UN Peacekeeping website.

STAFF SELECTION AND MOBILITY

- The guiding principle for the selection and appointment of staff 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 gender and geographical representation**. For 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.
- The UN Secretariat continually seeks to improve its recruitment and selection policies and processes. In 2016, a new staffing policy was introduced, which introduced mandatory mobility.



KEY QUESTIONS

What is the new staff selection and mobility system?

- In **2016**, the UN Secretariat introduced a **new staff selection and managed mobility system** for staff in the Professional and higher categories up to and including the D2 level and in the FS category.
- This new system is being implemented in a **phased approach by Job Networks**. A Job Network is a flexible grouping of job families with interrelated fields of work.
- ‘POLNET’ and ‘ITECNET’ are the first job networks to be phased in to the new system.

What are POLNET and ITECNET?

- POLNET is the Political, Peace and Humanitarian Network, and it was the first network to transition to the new staffing system and managed mobility system in January 2016. The Information and Telecommunication Technology Network (ITECNET) followed in January 2017.
- The remaining job networks will continue to be governed by the pre-existing staff selection system until they are phased in to the new system by 2020.

What does the new system cover?

The new system for POLNET and ITECNET covers two staffing processes:

- Filling of vacancies across Secretariat entities with internal or external candidates
- Lateral placement of staff members under the managed mobility programme to allow for the periodic movement of staff members

A key element of the new staffing system is the introduction of post-incumbency maximums to increase mobility. Previously, staff members were not required to change positions, and also had little opportunity to do so unless they successfully applied to vacancies.

The new system also introduces a standardized assessment approach for recruitment and a more centralized decision-making process based on human resources organizational priorities (e.g., geography and gender).

Why are there two staffing systems? What is the difference?

- The deployment of a new staffing system to all the job networks people is complex, and it was therefore decided to make the **adjustment in stages by network**. The phased approach allows for gradual adjustments based on lessons learned.
- The main difference between the two staffing systems that exist concurrently is that one is centralized and the other is decentralized. The networks that have been phased in (POLNET and ITECNET) are centralized and are governed by **ST/AI/2016/1**. This means that OHRM does most of the front-end recruitment work (e.g., assessments) and the **Assistant Secretary-General for Human Resources Management makes final selection decisions up to the P-5 level** and the **Secretary-General for D-1 and D-2 levels**. The selection decisions are based on recommendations by job network boards and the Senior Review Board, respectively, which is comprised of nominated representatives from the substantive departments (see below).

- All job networks that **have not been phased in are governed by ST/AI/2010/3**. This means that **recruitment and selection remains decentralized** with full authority for selection up to the D-1 level vested in the head of department, office or mission. The Secretary-General appoints staff at the D-2 level.

What are the key processes in the new system?

- The new system is supported by **Network Staffing Teams** that are coordinated by OHRM. Network Staffing Teams are comprised of HR practitioners and Subject Matter Experts from the substantive departments (e.g., Department of Political Affairs, Office for Disarmament Affairs, Office for the Coordination of Humanitarian Affairs). They are responsible, *inter alia*, for determining eligibility and suitability of candidates.
- **Job Network Boards** are comprised of representatives nominated by the heads of departments. The job network boards also include staff nominated by staff representative bodies and appointed by the ASG/OHRM. In addition, the boards appoint one of its members as a focal point for women. The role of the board is to review the outcomes of the assessment process and recommend selection of suitable staff up to the P-5 level to fill vacant positions, and for placement under managed mobility. The board makes its recommendations to the Assistant Secretary-General for Human Resources Management for final decision. The boards make recommendations based on the programme manager's preferences and overall workforce planning objectives of the Organization.
- The **Senior Review Board** reviews, validates and endorses suitable Director-level candidates to fill vacant positions and for placement under managed mobility. It makes recommendations, taking into account Organizational priorities such as gender and geographical representation, to the Secretary-General for final decision. The Board consists of USGs and ASGs and staff at the D-2 level from both field and headquarters locations.

How does managed mobility work?

- The periodic movement of staff to different functions, roles and duty stations is an integral part of new system. Previous attempts to introduce staff mobility have not been successful, mostly due to their voluntary nature. The new system introduces position occupancy limits for staff who serve in rotational positions (i.e., not "expert" positions that exist in one place only).
- Position occupancy limits vary, depending on duty station classification (e.g., 3 years for hardship duty stations and 7 years for non-hardship duty stations). If staff members have not moved to a different position before the end of the occupancy period, their positions will automatically be included in a managed mobility exercise for rotation.
- Staff may also participate in a managed mobility exercise before they meet the maximum post occupancy. The first two exercises for POLNET have shown that a great number of staff, in particular those serving in the field, are seeking career development through mobility.

What are the main differences between the two systems?

- The following chart shows the main differences between the two systems:

Pre-existing Decentralized System (ST/AI/2010/3)	New, Centralized System (ST/AI/2016/1)
Mobility is voluntary—staff apply at will to any function or duty station	Mobility is voluntary in the first year that a job network is phased in but mandatory, based on maximum post occupancy limits, thereafter. Examples of maximum post-occupancy limit: 7 years on a post in a H duty station (e.g., New York) 2 years on a post in a E duty station (e.g., Afghanistan)
Jobs are advertised as vacancies arise	Jobs advertised in batches twice a year
Hiring manager conducts majority of administrative tasks (e.g., screening, testing)	OHRM conducts majority of administrative tasks (e.g., screening, testing)
Hiring manager conducts the eligibility and suitability review	Network Staffing Team in OHRM conducts HR assessment. Subject Matter Experts undertake suitability review
Hiring manager drafts and evaluates test questions	OHRM administers a standardized assessment process. Programme managers participate in the development and marking of substantive tests and participate in interview panels.
Individual hiring managers recommend candidates for selection	Job Network Boards make recommendations taking into account organizational priorities (e.g., gender, geography).
Head of Department makes selection decisions up to D-1 level. The Secretary-General makes selection decisions for D-2 positions.	Secretary-General makes selection decisions for D-1 and D-2 positions.
Recruitment timelines are an average of 240 days and dependent on hiring manager	Recruitment timelines are reduced to 170 days.

What are the main advantages of the new system?

From the **Organization's perspective**:

- Improved gender and geographic representation
- Enhanced flexibility and versatility of talent in the Organization
- More strategic placement of staff
- More equitable burden sharing of staff between family/non-family and hardship/non-hardship locations
- Improved vacancy management through enhanced workforce planning

From a **manager's perspective**:

- Reduced burden of staffing-related tasks, enabling managers to focus more on their substantive work

From a **staff member's perspective**:

- Enhanced career opportunities and development
- Getting “unstuck” and having greater geographic and functional mobility
- Improved individual performance through diverse work experiences

What are the main challenges with the new system?

A number of challenges have been observed during the first year of implementation of the new system and will be addressed through ongoing improvements to the process. The policy framework is being revised in 2017 to draw on lessons learned.

Some of the main challenges are:

- Limited scope for movement due to the limited number of posts included in managed mobility exercises
- Concerns from hiring managers about what they perceive as a more limited involvement in the hiring process
- Timelines for filling of vacancies continue to be prolonged
- Reluctance of staff to pursue career options in different geographic locations

What is your role as a Senior Leader to support the mobility system?

- As a Senior Leader, you play a key role in **supporting the successful implementation of the new staffing and managed mobility system as one of the key management reforms**. This is a significant change-management exercise and changing staff members' and managers' mindsets is critical.
- Your role includes messaging from the top to your managers and staff on the overall benefits of the new system, as well as your participation in further fine-tuning the system. As part of your responsibility you should **encourage your staff and managers to actively participate and educate themselves on the system**, as well as to provide ongoing feedback about it. OHRM conducts frequent briefings on the system.



KEY QUESTIONS

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 rosters.

What causes 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.

The staff recruitment process takes a long time. Is there not a faster method? What is the roster?

- 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 roster. 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).

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

- You have the authority to re-assign 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. The assignment must also be commensurate with the staff members' skills.

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 (as described above).

What about P-1 and P-2 posts? What is the Young Professionals Programme?

- 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 (the 'Young Professionals Programme'), as well as General Service staff who have succeeded in this exam.
- The Young Professionals Programme offers young recruits (they must be under age 32 unless they are former General Service staff) with orientation, training and mobility and career support during their first five years of service.

What are rosters?

- For selections in the 'old' staff selection system (i.e., not POLNET or ITECNET) hiring managers may select a candidate from a roster of pre-approved candidates for a specific level and function, which is a faster way of recruiting a candidate. Field missions normally recruit from rosters. Under the 'new system' recruiting from a roster continues to be an option but like for all other vacancies, recommendations and decisions will go through a centralized process.

What is Inspira?

- **Inspira** is the technological tool supporting the talent management framework (inspira.un.org). It includes functionalities for staffing and recruitment, job applications, mobility, performance appraisal and learning. Inspira is continuously under expansion, and is currently being integrated with **Umoja**, the Enterprise Resource Planning software that has integrated the UN's business processes that manage financial, human and physical resources.

How can I improve gender representation? What is the gender parity strategy?

- The goal of reaching gender parity is increasingly necessary to the UN's efficiency, impact and credibility. In spite of numerous efforts, it remains unfulfilled, especially in certain functional groups and hardship duty stations.
- The Secretary-General has formulated a system-wide gender parity strategy that presents the goal of reaching parity among senior leaders including at the USG and ASG levels by 2021, and across all levels well before 2030.
- The strategy is a holistic one and will include different approaches to address specific challenges (e.g., functional areas and duty stations).
- As a senior leader who oversees the hiring practices in your department/office/mission, you have a key role in helping the UN system achieve and sustain 50/50 gender parity.



ADVICE AND GUIDANCE

At present, most recruitment is still conducted under the pre-existing system whereby the head of department/office/mission makes the selection decisions up to the D1 level. As explained above, this applies to the job networks that have not phased into the new system. As a Senior Leader, 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:

- 1. Advertisement:** 45 days for regular job openings; 14 days for temporary job openings)
 - 2. Eligibility screening: Substantive assessment:** (e.g., written test)
 - 3. Competency-based interview:** Panel members must be at the same or higher level as the vacant position
 - 4. Review by a central review body:** Central review bodies are staff-management entities made up of staff members outside your department/office that assesses compliance, fairness and transparency in selection processes. For staff members at the D-2 level, this review is conducted by the Senior Review Group, comprised of Under-Secretaries-General.
 - 5. Selection by a head of department/office:** This is an opportunity to ensure that the process was fair and that you are meeting organizational objectives and Compact targets (e.g. gender and geography).
- 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.
 - 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.**

- **Candidates for jobs 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:
 - » He or she is fully qualified for the position
 - » He or she 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 **due process is scrupulously observed and documented**.
- 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. See also “Chapter 5: Ethics, Accountability and Oversight”.

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 discretion to permit FWA, 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 working (e.g., use of web-based storage systems).



KEY QUESTIONS

What is the link between the gender parity strategy and FWA?

- Flexible work arrangements give staff with certain responsibilities (e.g., care of a child or elderly relative) the possibility to balance their multiple roles, whilst ensuring organizational results. Although flexible work arrangements are consistently cited by female staff, especially mothers, as important for their productivity levels, flex-

ibility in the work place is equally important to male and female staff, as everyone has family and interests/responsibilities outside work.

Who avails of FWA?

- Staff members use FWA across a wide range of duty stations and functions. The latest numbers show that 1607 male and 2216 female staff availed of FWA in 2016. By level, there were 1839 General Service staff, 1860 Professional staff, 97 Directors and 10 USG/ASG staff that used the arrangements.

As a Senior Leader can I, or should I, avail of FWA?

- Yes, as a Senior Leader you can show staff by example that FWA are a productive way of getting results for the Organization while taking care of other needs.

ENCOURAGING HIGH PERFORMANCE LEARNING AND CAREER SUPPORT

In the Secretariat, learning and career support is considered a **partnership between staff members, managers and the Organization**. As a Senior Leader, you play a critical role in facilitating the learning and career support needs of staff and to help them acquire the skills and experiences they need. You should encourage managers to release their staff for learning opportunities whenever possible.

There are a number of **mandatory learning programmes** for all staff, including on ethics and integrity, prevention of sexual exploitation and abuse, prevention of workplace harassment, personal security, IT security, HIV/AIDS awareness, gender awareness, human rights responsibilities and managerial training.

There are also learning opportunities in management and leadership, IT skills, communication skills and project management. Your **Executive Office or focal point for learning** can inform you about options for you and your staff as well as any financial approvals needed.

What is my role in staff development/learning?

- Instill a **culture of learning** and professional development by sharing information on learning opportunities, citing their importance in town hall meetings and other for a and encouraging your managers to release staff for in-person training or online self-study programmes, among other types of learning activities.

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

- 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 HR Portal (hr.un.org) has many resources and points to others such as Lynda.com, an online library of video courses that all staff can access.

PERFORMANCE MANAGEMENT

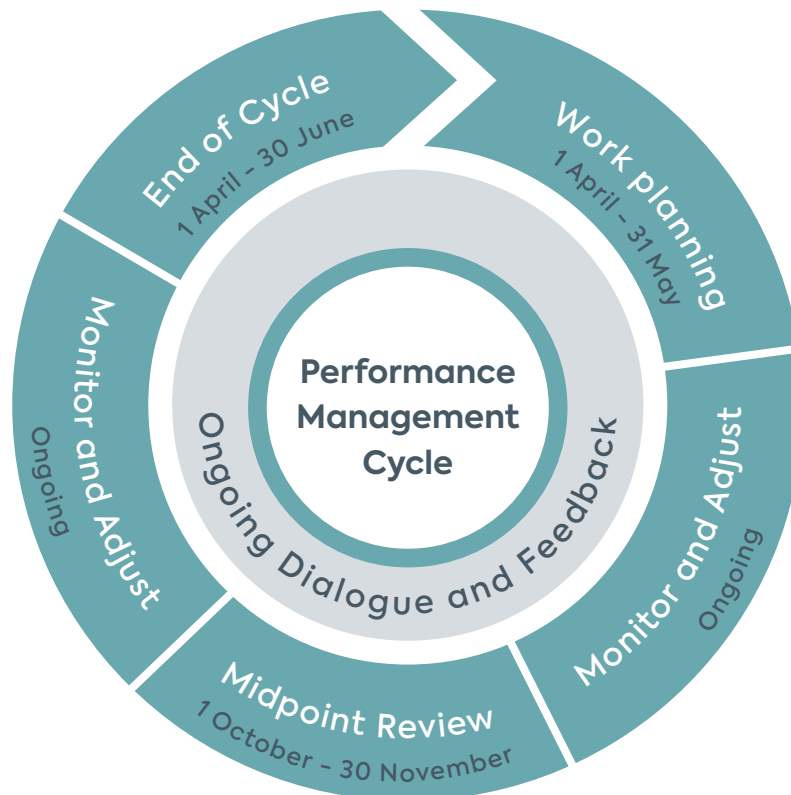
The Secretariat's performance management process is based on continuous dialogue and feedback and the shared responsibility between managers and staff for the planning, delivery and evaluation of work results. Every staff member should know how his/her work-plan links to the section/unit plan and the objectives of the Department or Office.

Senior leaders, along with all managers and staff at large, should be familiar with ST/AI/2010/5, the policy document that describes the performance management and development system. At the largest level, the system consists of the policy, the online performance appraisal tool (ePerformance in Inspira) and OHRM's role in providing learning tools and guidance to managers.

Compliance with the system is included as an indicator in the Senior Managers Compacts. Senior Leaders' 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 conduct.** These 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 the phases as outlined in the image below:



All staff members have a First Reporting Officer (FRO) and a Second Reporting Officer (SRO). The SRO is the FRO's supervisor. This two-tiered management system ensures that the staff member is managed objectively and fairly as he or she executes his or her work plan. **The SRO plays a critical role insofar as he or she ensures that FROs are managing properly. This is particularly so in cases of underperformance.** Typically, Senior Leaders act as an FRO and an SRO for numerous staff members.



KEY QUESTIONS

What is my role as a First Reporting Officer (FRO)?

- As an FRO, ensure that the staff you supervise understand what results are expected and how they should demonstrate the values of the Organization and the competencies relevant to their function. Your staff must have the necessary resources and direction from you to fulfill their role successfully. Evaluate them fairly by reflecting their skills, potential and areas for development.

What is my role as a Second Reporting Officer (SRO)?

- As an SRO, ensure that FROs—including Directors and others reporting directly to you—are fulfilling their responsibilities by **setting clear expectations and helping their staff to develop**. Your managers should also be evaluating staff fairly and in a timely fashion.
- In addition, you are expected to lead your senior management team in examining strategic HR issues for your department/office, such as performance management and rating distribution, vacancy management, priorities for learning and development and as appropriate, restructuring and downsizing. The senior management team should **devote at least one meeting per year to performance management, to discuss and provide guidance to middle managers and staff on what constitutes successful performance and how to ensure fair and equitable ratings across all levels and functions in your department**. Institutional and departmental compliance and rating distributions are tracked and reported to the General Assembly annually and senior management teams are strongly encouraged to prioritize these discussions. Your senior human resources officer should help you prepare that meeting by providing historical data and trends on performance management completion rates and ratings distribution.

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

- Apart from the fact that staff members cannot function optimally without timely work plans, mid-point reviews and performance evaluations, delays can lead to legal and financial liability.
- Delayed evaluations can also prejudice other processes, such as contract extensions, continuing appointments and other staffing exercises.

What is my role in handling underperformance?

- Handling underperformance is a challenge for all managers and the **active and robust support of Senior Leaders is critical**. Many managers do not deal adequately

with underperformance due to lack of senior leadership support. Situations of underperformance can easily escalate into conflicts between a staff member and his or her manager, often resulting in protracted disputes and loss of productivity. **Senior Leaders must be aware of any brewing conflicts** and ensure that they do not escalate and impact the work or reputation of your department/office.

Does the UN provide management training?

- All staff with supervisory or managerial responsibilities must attend training on performance management. Depending on your duty station, this programme can be a half-day or full-day programme.
- There are also more comprehensive managerial and leadership programmes that last for multiple days. Your Executive Office or learning focal point can provide you with the details.



ADVICE AND GUIDANCE

- At the beginning of each 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 help to reduce staff and manager frustration, as well as legal liabilities.
- At each stage of the cycle, send out communications to all staff instructing them to comply with the performance management processes. 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 managerial efforts were made to improve a staff member's performance. **Always seek the advice of your Executive Office on these cases.**
- Senior Leaders, like all managers, should **recognize good performance by**—for example, publicly acknowledging 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 functions. However, in a large and complex organization, you can rely on partners to help with particular staff needs:

- **Staff Counsellor’s Office:** 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 that staff carry out their jobs professionally and fairly and avoid conflicts of interest.
- **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 are required to agree to mediation.
- **Local human resources and Executive Offices:** Provides policy advice and can act as a neutral third party in the event of a conflict.



KEY QUESTIONS

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 UN status as an international organization. There is a formal UN internal justice system for resolving employment-related disputes that cannot be resolved in informal ways. The formal system includes the Management Evaluation Unit (MEU), UN Dispute Tribunal (UNDT) and UN Appeals Tribunal (UNAT). As a Senior Leader, you will need to understand how the dispute resolution mechanisms—both formal and informal—operate.

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, etc.)

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.

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

- 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 by the UNDT.
- An Ombudsman/Mediator acts with strict confidentiality, and there is no record on file.

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 or managers communicate openly; for others, there are hierarchical or other concerns. Mediation can help break down these barriers to communication.

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 concise. Seek the advice of the Administrative Law Service in OHRM regarding 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 Unit 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 MEU, 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 learned.

- 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. Conduct 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

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.

When should I consult with staff representatives?

- ST/SGB/274 guides the staff management consultation machinery at the departmental or office level. Heads of departments/offices should hold quarterly meetings with the appropriate unit representatives. Meetings may also be called at 48-hours notice by either the management or the staff side. Issues subject to consultations are those relating to:
 - » Staff welfare
 - » Working conditions
 - » Staff efficiency
 - » Problems or crises within the department/office

- These types of issues affect the entire department/office or a significant number of staff (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., ensuring that a third person is present in individual consultations; summary notes; any email-follow-up; minutes, etc.).

What is the Staff-Management Committee (SMC)?

- The SMC is the joint staff management machinery at the Secretariat-wide level for the purpose of advising the Secretary-General 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.
- The Staff-Management Committee meets once a year, usually around April or May. Depending on the topics being discussed, you may be asked for your input.



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 interactions 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 on 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 (HQ) 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 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.

At New York HQ, 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.

MSD also hosts the Staff Counsellor's Office (SCO) and the Secretariat of the United Nations Medical Emergency Response Team (UNMERT)

- The 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 the Secretariat building and collaborates with counsellors in several Offices Away from Headquarters.
- 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.

MANAGING STAFF DURING AN EMERGENCY

A crisis at UNHQ is dealt with through the UNHQ Crisis Management Plan. This is the initial crisis response tool for the Senior Emergency Policy Team (SEPT), Crisis Operations Group (COG) and the Crisis Operations Centre (COC). It is an integral part of the Organizational Resilience Management System (ORMS).

The plan describes how UN actors should collaborate to respond to a crisis at UNHQ, identifies the key management actors at both policy and operational levels and explains their roles and responsibilities.

It applies to an incident or situation whether natural or human-made that due to its magnitude, complexity, or gravity or potential consequences, requires a UN-wide coordinated multi-disciplinary response.

The focus of crisis management activities is to ensure the safety and security of personnel while maintaining the continuity of essential and time-critical business services and protect assets.

What is my role as a Senior Leader in a crisis at UNHQ?

- You should familiarize yourself with the UNHQ Crisis Management Plan. Also, depending on your department or office, you or your staff may be members of the SEPT or COG or be on the COC list.
- Ensure that your department or office has a business continuity plan and ensure that all of your staff attend all security briefings and fire drills.

What training can I attend?

- **Soft Skills in Crisis Communication for Managers (in-person training):** Covers protocols for communicating with staff in crisis/distress, principles of effective crisis response, assessment of crisis level, and crisis response strategies and techniques.
- **Personal Preparedness (in-person training):** Focuses on the importance of personal preparedness for emergencies. Sometimes individuals are unable or unwilling to function professionally at their work site following an emergency. Developing emergency plans can help staff and their families cope better during these times.

Write to epst@un.org for details.

EMERGENCY PREPAREDNESS AND SUPPORT TEAM (EPST)

EPST is a dedicated capacity within the Office of Human Resources Management (OHRM) which provides and coordinates essential human resources support to UN personnel, survivors and families of those who die or are injured as a result of malicious acts, natural disasters or other emergency incidents. EPST functions include:

- Emergency preparedness training to build UN personnel capacity at their duty stations
- Dedicated human resources focal points during an incident, providing referrals and support to UN personnel and their families
- Continuous post-incident 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 Organization.
- Management of the UN Memorial and Recognition Fund, working with surviving families to access a one-time grant from the Fund, as well as planning and coordinating the convening of the Annual Memorial Ceremony at Headquarters.

CRITICAL INCIDENT STRESS MANAGEMENT UNIT (CISMU)

- CISMU is part of the Department of Safety and Security and coordinates critical incident stress prevention and management activities, provides stress management training and delivers counselling services to UN system staff at all locations except at Headquarters and OAHs.
- The unit coordinates a worldwide network covering 90 duty stations of CISMU-trained and certified mental health professionals who are licensed in their countries.

EMERGENCY PREPAREDNESS BEGINS WITH YOU!

- An “Emergency Contact Information” module is available in Inspira: <https://inspira.un.org/> .
- This tool enables staff to create and update their emergency contact information. This information will be used for notification purposes only in case of an emergency.
- Please ensure your information is filled in and encourage your managers and staff to do the same.
- Registration is quick and simple:
 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 fill in the information, then click “Save”
 5. To provide additional information click on the button “Add Additional Information” and include it there).
- Please contact epst@un.org for more information or visit www.un-epst.org

Chapter

7

BUDGET AND FINANCE



We need to create
a consensus
around simplification,
decentralization
and flexibility

António Guterres
Secretary-General

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 2016, the UN Secretariat spent approximately \$13 billion, received through a combination of contributions that are assessed on Member States and others that are voluntary.



KEY QUESTIONS

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 (GA). The GA decides on budgets and the responsibility among Member States for payment of assessed budgets. Subsequent GA resolutions have elaborated on budgetary policies, regulations, rules and procedures.

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

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

The Advisory Committee on Administrative and Budgetary Questions (ACABQ), a subsidiary organ of the GA, assists the Fifth Committee. 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 GA, who serve in their individual capacity on the basis of broad geographical representation, personal qualifications and experience.

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 at the Offices Away from Headquarters (OAHs), duty stations, the Regional Commissions, special political missions, and various information centres. The regular budget also provides for two longstanding peacekeeping operations: the UN Truce Supervisory Organization (UNTSO) and the UN Military Observer Group in India and Pakistan (UNMOGIP)
- **Peacekeeping budgets**, which cover all peacekeeping operations and support to those operations (the “support account”)
- Budgets for the **International Criminal Tribunals** for the Former Yugoslavia and Rwanda, and the mechanism established to conclude their work (Residual Mechanism for International Criminal Tribunals)

- **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. Some UN Secretariat entities, such as the UN Environment Programme (UNEP), the Office on Drugs and Crime (UNODC), and the UN Human Settlements Programme (UNHABITAT) rely to a large extent on extra-budgetary funding, but also have a smaller assessed budgetary component.

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, which includes the following core elements: **the Strategic Framework; the budget outline; the proposed programme budget and related appropriations; the programme performance report; and evaluation reporting.**

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). 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 Advisory Committee on Administrative and Budgetary Questions (ACABQ). Approval by the GA of resolutions with PBIs allows for adjustments to the programme budget.

What is the contingency fund?

- The contingency fund is a **mechanism for financing new mandates conferred after the approval of the regular budget**. The GA sets the level of the contingency fund 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.

How are special political missions financed?

- A biennial provision for special political missions is made in the regular budget under its third section (i.e., Political Affairs). A detailed justification of resource requirements by mission is submitted to the GA, 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.

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 (GA), through the ACABQ, and cover a 12-month period from 1 July to 30 June the following year. Peacekeeping budgets include a results-based budget framework (the 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 GA 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.

How are international tribunals financed?

- As with the programme budget, the budgets of the international tribunals—of which the International Criminal Tribunal for Rwanda has liquidated—cover a biennium starting with an even-numbered year. The budgets are **reviewed by the ACABQ and approved by the GA**. The Residual Mechanism for International Criminal Tribunals was established by the Security Council to conclude the work of the tribunals.

How are Member States' assessed contributions calculated?

- Member States are **assessed in accordance with scales of assessment approved by the GA**. The scale of assessment applicable to the regular budget is determined triennially by the GA, 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 cent.
- 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 difference.
- 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.

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. The GA also considers it in the first year of a preceding biennium.

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 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 strategic plans are approved to support mandates, the resource requirements are later added in the budget. The programmatic aspects of the budget are governed by the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation.
- The Strategic Framework consists of two parts:
 - » **Part One (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 the 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 Committee for Programme and Coordination (CPC) and the GA consider the proposed Strategic Framework for the following biennium. The CPC is the main subsidiary organ of the Economic and Social Council (ECOSOC) and the GA for planning, programming and coordination. Heads of department/office have the opportunity to present their programmes to the CPC.

How are financial resources 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.
- While GA (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 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. The GA in its budget resolutions often stresses implementation of the regulation.
- **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 on an ongoing basis**, such as staffing incum-bency and financial expenditures. They should discuss with their heads of administration or 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

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 financing for the work of the Organization**, especially its humanitarian and relief assistance programmes.

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 Financial Regulations and Rules of the UN govern the establishment and management of trust funds. The GA or the Secretary-General may establish trust funds. 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 Organization.

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 authority 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 and their approved frameworks.



KEY QUESTIONS

What is results-based budgeting 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 staff by promoting a sense of teamwork, a collaborative effort and systematic approach to implementation, and staff working towards results.

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.

What is a results-based budgeting framework?

- 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.

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 GA, 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 objectives.

What are International Public Sector Accounting Standards (IPSAS)?

- The adoption of International Public Sector Accounting Standards (IPSAS) by the United Nations was pursued to align the Organization with **international accounting best practices** for public sector and not-for-profit organizations.
- This management reform measure was also considered a vital component of the United Nations drive **to excel as a modern, progressive Organization** that attains and remains up to date with best management practices by improving the quality of United Nations system financial reporting—resulting in benefits for governance, accountability and transparency.
- However, much will depend on how the depth of information provided by IPSAS will be utilized for decision-making and for steering the Organization at various levels. **Without a management reaction in this regard, there is significant risk that opportunities for full benefits realisation will not be seized.** Hence, **Senior Leaders should be active in requesting financial** information for managing day-to-day operations and for implementing mandates, so that financial information becomes part of the day-to-day decision-making.



ADVICE AND GUIDANCE

- Active and continuous management of the UN's resources is a key task of Senior Leaders and should be based on the use of Umoja business intelligence reports and data.
- **When your department proposes a change with budget implications**, the following steps should be followed:
 - » Requests for resources have to be justified in terms of the objective, expected accomplishments, products and/or services (i.e., outputs) that each department/office expects to deliver.
 - » Familiarize yourself with the legislative history of the logical framework and outputs that are specifically mentioned in your budgets, as Member States may have proposed some of them.
 - » Discuss the proposal with the Controller.
 - » Discuss the proposal with the Executive Office of the Secretary-General, if appropriate.
 - » If the proposal is approved, a report of the Secretary-General should be prepared.
 - » As head of department, you present and defend the proposal before the ACA-BQ, which will send its report with observations and recommendations to the Fifth Committee.
 - » Build support for the initiative with Member States, including the Chair of the Fifth Committee.
 - » 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 ground-work 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 year. 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 Committees. 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 a new Senior Leader, it is recommended that you meet the Chair of ACABQ in advance of official committee proceedings if possible.

ACCOUNTABILITY FOR BUDGET AND FINANCE

Accountability—both at the institutional level in terms of results achieved and resources used, and at the individual level—is fundamental to the governance and good functioning of the Organization. Although accountability remains an important issue on the agenda of the GA, 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/2016/7 to the Controller and the Assistant Secretary-General for Central Support Services. Financial authority is delegated by virtue of the function and as needed to other senior officials and individuals in the organization.

The issue of accountability is also covered in “Chapter 5: Ethics, Accountability and Oversight”.



KEY QUESTIONS

How is accountability defined at the UN?

The definition decided by the GA is:

- Accountability is the obligation of the Secretariat and its staff members to be **answerable for all decisions taken 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.

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

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 management and development system for staff at all levels below the Assistant Secretary-General. Responsibility for results consistent with the approved organizational goals and objectives cascade down through the work plans of successive levels of managers and staff (Compacts are covered in the Chapter 2 section, “The Secretary General and his Executive Office” and Performance Management is covered in Chapter 6, “Human Resources”).

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 or thematic evaluations, which are also internal to the Secretariat, are conducted by the Office of Internal Oversight Services (OIOS).

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”.

What is a Statement on Internal Control?

- In the current climate of fiscal restraint and declining availability of resources, it is important that the UN can demonstrate that the resources we are responsible for are appropriately managed and controlled.

- To this effect, the United Nations will start issuing a Statement on Internal Control together with future financial statements. This Statement is an **important accountability document in communicating assurances to the outside world that internal controls are present and functioning** and that therefore resources entrusted to us are well managed.
- The issuance of a Statement on Internal Control will be based on an organization-wide **assurance process** where heads of entities (departments, offices and missions) are envisaged to provide annual (or more frequent) assurances on a variety of internal control areas in their respective entities requiring a conscious review of internal controls at their level.
- The content of these individual assurance statements will inform the overall Statement on Internal Control. In order to support the assurances by heads of entities, **self-assessment checklists with pre-defined content** as to which areas need to be assessed by the entities will be used and will require demonstrating evidence and actions taken for key controls.
- The integrated internal control framework serves as conceptual basis for mapping existing internal controls, assessing the UN's internal controls and identifying gaps against its five components (control environment, risk assessment, control activities, information and communication, monitoring activities) and the 17 related principles.

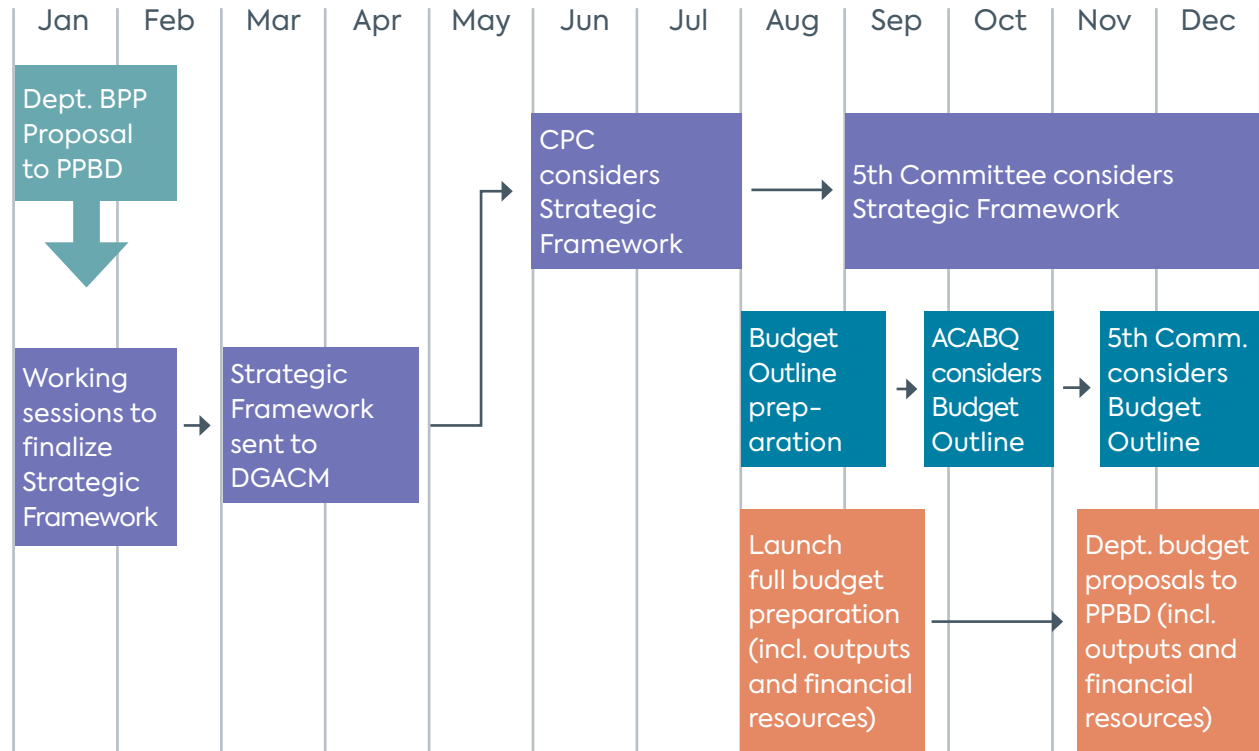


ADVICE AND GUIDANCE

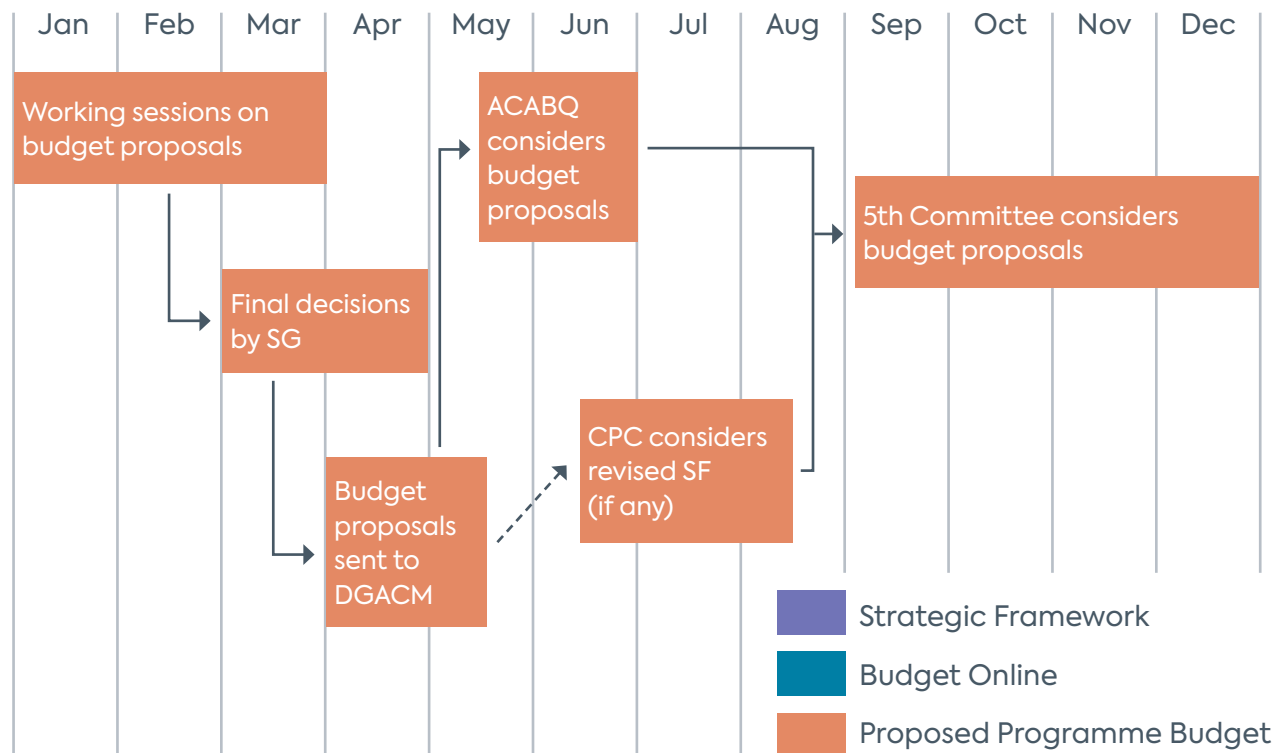
- Oversight bodies such as the Board of Auditors have drawn attention to misalignment of operational workplans with strategic goals, and the inability to relate resources to accomplishments. In response, Under-Secretaries-General will be specifically responsible for: developing more outcome-focused objectives 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**.
- Regular **reviews of internal control systems** are an integral part of the management expectations set for Senior Leaders and part of their accountability for the responsible stewardship of resources.

ANNEX ONE: REGULAR BUDGET CYCLE

Year 1



Year 2



Chapter

8

SECURITY



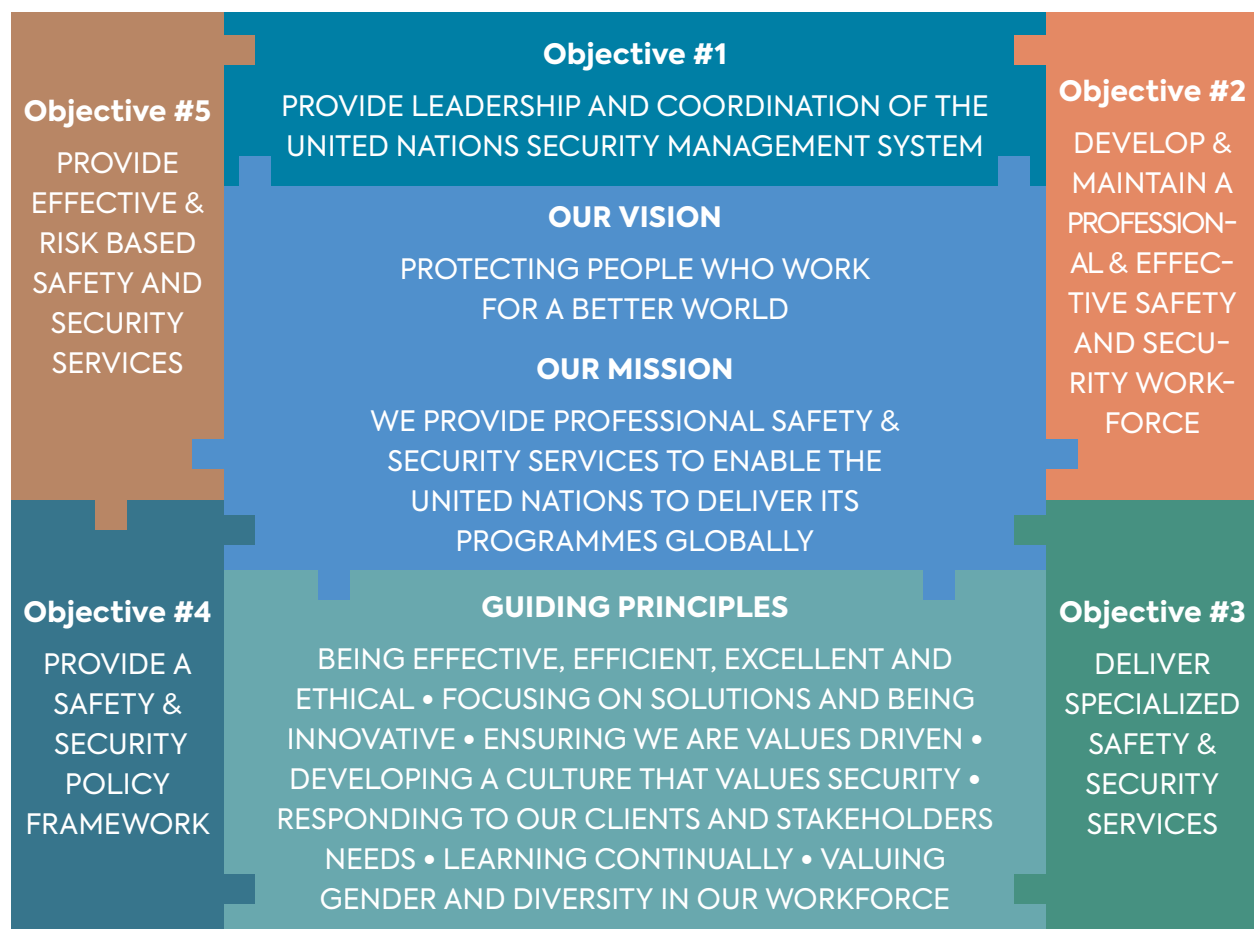
United Nations and associated personnel, their equipment and premises shall not be made the object of attack or of any action that prevents them from discharging their mandate

Convention on the Safety of United Nations and Associated Personnel, 1994

DEPARTMENT OF SAFETY AND SECURITY

UN personnel work in complex and dynamic environments, marked by uncertainty and multidimensional threats. In some duty stations there are significant security challenges ranging from post-conflict instability, criminality, civil disorder and human rights violations, to areas of full-fledged armed conflicts and terrorism.

The Department of Safety and Security (UNDSS) provides strategic leadership and technical support that enables UN operations while ensuring the safety and security of its personnel and eligible family members. These number over 150,000 in 180 countries and approximately 2,000 duty stations. The Department also protects UN assets and operations.



KEY QUESTIONS

What is the United Nations Security Management System (UNSMS)?

- The UN Security Management System (UNSMS) is a framework that guides all organizations of the UN system, as well as non-UN entities that have signed a memorandum of understanding with the UN on security management. All organizations of the

UNSMS **collectively agree on a set of principles, policies and guidelines aimed at enabling UN operations while protecting UN personnel.** One fundamental principle is the primary responsibility of the host Government for ensuring the security and safety of the UN at all locations.

- UNDSS reports annually to the General Assembly (GA), which provides its mandates and legislative framework.

How is security managed at Headquarters (HQ), Offices Away from Headquarters (OAHs) and Regional Commissions?

- In collaboration with host Government authorities, UNDSS provides technical advice and guidance to Directors-General, Executive Secretaries, Registrars and Heads of Departments/Offices of the relevant locations and provides relevant security measures for all personnel, delegates, visiting dignitaries and other visitors in these locations.

How is security managed in the field?

- In each country or designated area where the UN is present, the most senior UN system official is normally appointed as the **Designated Official for Security (DO)**.
- 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 the **Security Management Team (SMT) and field-based Security Adviser, Chief Security Adviser or Principal Security Adviser**, who provide expert advice on security-related matters. The SMT is composed of heads of UN agencies, funds, and programmes at the country level, who may be supported by their own security professionals. In field missions, key senior mission personnel, including the Force Commander and the Police Commissioner in peace-keeping operations, are members of the SMT.

What is the staff member's responsibility in security?

- All those employed by the UN system, regardless of rank or level, must abide by security policies, guidelines, directives, plans and procedures of the 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 the security management information relevant to areas in which they will work or operate
 - » Attending and completing security training and briefings
 - » Reporting all security incidents in a timely manner
- In order to support operations in field environments, UNDSS offers a variety of generic and specialized security courses, as do several other agencies, funds and programmes. Senior Leaders should be aware that some of these courses are mandatory while others are only required by the security circumstances. As such, Senior Leaders who are appointed as Designated Officials are required to undertake a mandatory security briefing organized by UNDSS.



ADVICE AND GUIDANCE

- Senior Leaders are encouraged to familiarize themselves with the main policies of the UNSMS, to ensure they have access to security information in their area of operations, and **rely on their security professional locally or at HQ to provide expert advice.**
- The rules of effective leadership also apply to security. Though decisions are normally made in a consultative manner reflecting the views and recommendations of the SMT members, the **Designated Officials are responsible for making the final decisions** on security related issues. UNDSS supports Senior Leaders in making effective and justifiable security-related decisions.

PREPARING FOR AND RESPONDING TO SECURITY-RELATED INCIDENTS

Faced with an increasing demand for UN system engagement, particularly in high-threat and conflict environments, the UNSMS has adopted an enabling approach, which is essential to delivering UN programmes in highly challenging security situations.



KEY QUESTIONS

What is my role as a Senior Leader concerning the security of my personnel?

- While the **primary responsibility for the security and protection of UN personnel rests with host Governments, the UN has a duty as an employer, to reinforce, and where necessary, supplement the capacity of the host Government.** The Framework of Accountability specifies the responsibilities and accountabilities of UN officials and personnel in this regard. When operating in high-risk environments, Senior Leaders should keep in mind the “duty of care” to UN personnel, including psychosocial and medical support.
- Senior Leaders should **set an example for their personnel by respecting security policies and procedures**, and make sure that security-related decisions and measures are complied with. They should ensure that any up-to-date security information is disseminated to all personnel in a timely manner. Finally, as a Senior Leader, you may also be expected to attend security-related meetings, and take decisions on balancing security risks with the criticality of UN programmes.

As a Senior Leader, what exactly am I accountable for in terms of security management?

- In New York HQ, if you are a head or deputy head of a department or office, you may be a member of the Senior Emergency Policy Team (SEPT) of the Secretary-General. The SEPT is responsible for policy decisions related to emergency preparedness and preventive measures to address possible threats.

- In other locations, outside UNHQ in New York, if you are a Designated Official (DO), you are responsible for the security of UN personnel, premises and assets throughout the country, designated area or field mission. You have the authority and responsibility to make security-management decisions for the protection of UN personnel, assets and operations, with the advice and support of UN security professionals and in consultation with the Security Management Team (SMT).
- The most important aspects of security management include:
 - » Establishing liaison with the host Government on security and protection of UN personnel
 - » Making justifiable and rationale security risk management decisions
 - » Managing a crisis
- The UNSMS policies on Relations with Host Countries on Security Issues, Security Risk Management, Relocation, Evacuation and Alternate Work Modalities provide specific guidance and principles on these important areas.

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 requested, and have been granted, a **security clearance** through the UNDSS on-line TRIP system prior to your travel. In addition, all travelers must have completed the online **Basic Security in the Field** course and, if applicable to the location to which you are destined, also the **Advanced Security in the Field** course.
- Depending on your 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 UNDSS to conduct an ad-hoc Security Risk Management (SRM) process for the trip.

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 and the most senior security professional in the country where the conference is to be held**. They will coordinate with UNDSS/New York, which is responsible for the coordination and provision of strategic and technical advice for all special events held at venues away from UN Secretariat Headquarters.

How do I budget for security needs and concerns in my programmes?

- As a Senior Leader, you should **understand the critical importance of adequate funding for security**, especially in terms of enabling programme delivery.
- First and foremost, the establishment and approval of an accurate SRM process will **support and justify security risk management measures decided for the location of for the specific programmes**. Depending on the SRM process and particular circumstances on the ground, there might be a need to fund additional security requirements that will support common security services, projects and activities in the designated area, not funded through other resources. This would be the basis for the establishment of a “locally-cost shared security budget”.

As a Senior Leader, what is the typical process to follow when responding to a security-related concern or crisis in the field?

- All Under-Secretaries-General, including heads of agencies, funds and programmes, are individually responsible and accountable for directing preparedness and response activities within their entities in their mandated areas of responsibility. The Secretary-General **typically delegates the responsibility for ensuring an effective, coordinated UN crisis response to a lead coordinating entity or entities at HQ and to Senior Leaders in the field.**
- In the event of a security-related concern or crisis **in a country-team setting:**
 - » UNDSS Headquarters must be informed immediately of the event.
 - » To the extent feasible, crisis management and crisis response activities should be coordinated with, and supported by, the host Government.
 - » Management of safety and security crisis in the field should be conducted at the closest to where the crisis is occurring. As such, the Designated Official is designated as the lead for the management and coordination of safety and security crisis in country. The Secretary-General delegates to the Designated Official the requisite authority to take decisions in exigent circumstances, including, but not limited to, the mandatory relocation or evacuation of personnel.
- In the event of a crisis at a **peacekeeping operation or 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.
 - » UNDSS HQ maintains responsibility for the overall safety and security of UN civilian personnel, their recognized eligible family members and individual military and police personnel (i.e., not deployed with their contingent or unit). UNDSS HQ is an integral part of the crisis response mechanism established by DPKO/DFS/DPA, and UNDSS representative(s) participate in the coordination of UN crisis response efforts through the support of the UN Operations Crisis Center (UNOCC).
- In exceptional circumstances, such as incapacitation of the field leadership or when the scope of the crisis extends beyond the capacity of the UN presence in the field, HQ may assume greater crisis management responsibilities until such time as field leadership capacity can be strengthened or re-established.



ADVICE AND GUIDANCE

- Member States and donors expect the UN system to work in increasingly challenging areas, including amid ongoing conflicts. UNDSS has developed a set of tools to assess and manage this risk. When planning programmes, **it is important to turn to UNDSS for support to ensure a proper balance is struck 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 and financial/procurement issues. No matter what programme is being developed; **security management should always be a significant consideration from the inception stage and planning.**

The failure or success of programmes most often depends on the quality of their leadership at the strategic and technical levels, including in security management. Effective leadership in security **requires clear, targeted and tailored communication among UN entities and with UN personnel** under your responsibility.

Chapter

9

**INTERNAL
AND EXTERNAL
COMMUNICATIONS**



Think like a wise man,
but communicate in the
language of the people.

W. B. Yeats

COMMUNICATIONS AT THE UNITED NATIONS

Good communications help 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.

Remember that you are the face and the voice of the Organization.



KEY QUESTIONS

What is the structure and role of the Department of Public Information (DPI)?

- The **DPI News and Media Division creates and distributes multimedia products** (e.g. print, web, television, social media, radio and photo) about UN activities for dissemination worldwide. It provides coverage of intergovernmental meetings through its Meetings Coverage, UNTV and webcast; monitors media coverage of the UN and provides analysis of the Secretary-General's messages and major international campaigns and provides support to journalists who work at the UN.
- The **DPI Outreach Division 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**. It leads the printing and distribution of **UN publications**. Its diverse work also includes the **Dag Hammarskjöld Library** and **Visitors Services**, which manages UN tours.
- The **DPI Strategic Communications Division develops and implements strategies for communicating UN messages on priority topics and events**. It manages the global network of more than **59 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.

Do departments/offices have their own public affairs capacity?

- Certain departments/offices such as the Department of Peacekeeping Operations (DPKO), Department of Political Affairs (DPA) and the Office for the Coordination of Humanitarian Affairs (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 (HQ) (including the Executive Office of the Secretary-General (EOSG), Office of the Spokesperson of the Secretary-General (OSSG) and DPI). As such, it is important to liaise with the public affairs entities of departments/offices on issues relating to their work, either at HQ 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, which is in line with the UN's overall communications strategy.



KEY QUESTIONS

Why should I message internally?

- Effective communications begin 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 members 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.

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.

What kind of support can DPI offer me in designing a communications strategy?

- DPI's Strategic Communications Division 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 the Strategic Communications Division.



ADVICE AND GUIDANCE

- **Learn about DPI's in-house media platforms**, 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 about a particular subject, which conferences are underway (even those that do not fall in your area of expertise) and which areas are being scrutinized 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 them;** 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 opportunities for feedback.
- Do not underestimate the intercultural 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 excellent resource** for enhancing communications. If you need to know more about a particular topic or aspect of the organization, the library has highly trained researchers who can assist.
- **Use the press to assist you in reaching your goals.** The press can raise awareness among 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

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; however, when doing so, **staff 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 ways of speaking to the media.

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 organization when it is being open and forthcoming about its activities.

- More than one person can and should speak about the UN; the responsibility 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-General.

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 multilingual, multimedia platforms, including:
 - » www.un.org, the main UN website
 - » UN News
 - » UN Video
 - » UN Webcast
 - » UN Photo
 - » UNifeed for broadcasters
- 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 59 operational 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 non-governmental organizations 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. As the saying goes, “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.
- **Writing statements** and ensuring they convey the right political message is an important skill.

- **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, Deputy Secretary-General and other senior officials within the UN Secretariat.



KEY QUESTIONS

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.

I would like to make a statement to the press—both via a major television channel and through a newspaper op-ed column—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, to issue a joint statement or op-ed with another UN entity, or to arrange an interview.
- You should also contact the DPI News and Media Division, so that they can disseminate the content of your statement or op-ed through its various media platforms (UN News) and monitor its pick-up by major media organizations. You can also contact the DPI Strategic Communications Division 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.

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.



ADVICE AND GUIDANCE

- Whenever you are making public statements or giving interviews regarding 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. For example, if 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 and 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

In which languages should messages be disseminated?

- The Department of Public Information has social media and multimedia platforms in the six official languages (Arabic, Chinese, English, French, Russian and Spanish) as well as in Kiswahili and Portuguese. Through DPI, OSSG and others, the Organization also has the capacity to disseminate messages and content in other languages, including through the global network of UNICs.
- 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.

I would like to transmit a message to a newspaper. What is the process? How much time will the process take?

- 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 Strategic Communications Division 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 Strategic Communications Division 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

A wide range of social media platforms can be used to promote the message of your department/office. 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.



ADVICE AND GUIDANCE

- Social media happens in real time so post about things as soon as they are relevant, but be mindful of over-posting which can alienate followers. Space out the timing of your posts to avoid user fatigue or being unfollowed. Keep in mind that social media posts are **considered public domain, and may be used by other users or journalists as quotes**. Your posts may also be shared by people other than your followers.
- Consider posting on **current issues**, or topics that may be actively discussed on social media, and that are relevant to your work. Look at what is trending on social media platforms to see what is being discussed in real time, but keep in mind that trending topics may not be relevant to the work of the Organization. Consider tweeting work-related activities such as visits, trips, meetings with heads of state or other senior officials.
- **Include context** in your posts 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, social media can be a way to promote it.
- When suitable for the platform, consider including relevant **hashtags** in your posts to increase visibility and tap into online conversations. The UN sometimes promotes specific hashtags during high-level events, International Days and campaigns which can be included where appropriate.

- Before posting something, it is best to assume it will stay on the Internet forever—even if you delete it. 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.
- Establish a way to monitor what people say on social media about your department/office.
- Keep in mind that regardless of what is stated in your “Bio” section, it will be assumed by social media users that your posts represent the position of the UN or your department/office. **Be careful what you post**; you may also want to run your posts by people working closely on the issues or EOSG first if you have any concerns.
- Posts should be well-written, concise, and understandable at first reading. Whenever possible, **have someone quickly proofread your posts, especially those on sensitive topics**.
- Give careful consideration to the images you post, mindful of gender parity, and geographic diversity, as well as any copyright issues.
- 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.
- Social media is a great tool to interact with others inside and outside of the UN system. Find out about the accounts of other officials so you can tag them in your posts and help generate engagement. **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.

REPUTATION MANAGEMENT

- Criticism of the UN, of your specific department/office, and even of 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

What process should I follow if I think there is a risk to the reputation of my department/office or the Organization as a whole?

- Consultation 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.

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 UNHQ, 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

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 tra-

ditionally 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.

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. The iSeek platform offers a broad spectrum of information such as staff union activities; senior leader appointment announcements; UN events; UN policies; information on all departments and offices, and a global staff directory.

FURTHER READING AND REFERENCES

CHAPTER 1: UNITED NATIONS CHARTER - PURPOSES AND PRINCIPLES

Charter of the United Nations: <http://www.un.org/en/charter-united-nations/>

Security Council: <http://www.un.org/en/sc/>

General Assembly: <http://www.un.org/en/ga/>

Subsidiary Organs of the Security Council: <https://www.un.org/sc/suborg/en/>

Subsidiary Organs of the General Assembly: <http://www.un.org/en/ga/about/subsidiary/>

Journal of the UN: <http://www.un.org/en/sections/documents/journal-united-nations/index.html> (for meeting schedules and summaries)

Economic and Social Council: <https://www.un.org/ecosoc/en/>

Subsidiary Organs of the Economic and Social Council: <http://www.un.org/en/ecosoc/about/subsidiary.shtml>

International Court of Justice: <http://www.icj-cij.org/court/index.php?p1=1>

Trusteeship Council: <http://www.un.org/en/sections/about-un/trusteeship-council/index.html>

United Nations Secretariat: <http://www.un.org/en/sections/about-un/secretariat/index.html>

Permanent Missions to the UN: <https://www.un.int/>

CHAPTER 2: THE SECRETARY-GENERAL AND HIS EXECUTIVE OFFICE

Secretary-General: <https://www.un.org/sg/en>

Executive Office of the Secretary-General: <https://iseek-newyork.un.org/eosg>

Latest Secretary-General speeches: <https://www.un.org/sg/en/latest/sg/statement>

Three Pillars of the UN: <http://www.un.org/un70/en/content/videos/three-pillars>

Global Issues Overview: <http://www.un.org/en/sections/issues-depth/peace-and-security/>

Quadrennial Comprehensive Policy Review: <https://www.un.org/ecosoc/en/content/what-quadrennial-comprehensive-policy-review-qcpr>

Senior Management Group: <https://www.un.org/sg/en/content/senior-management-group>

Sustainable Development Goals: <http://www.un.org/sustainabledevelopment/sustainable-development-goals/>

Refugees and Migrants: <http://refugeesmigrants.un.org/>

Women, Peace and Security: <http://www.unwomen.org/en/what-we-do/peace-and-security> and <http://www.un.org/en/peacekeeping/issues/women/wps.shtml> and <http://www.securitycouncilreport.org/un-documents/women-peace-and-security/>

Sexual Exploitation and Abuse: <https://iseek-newyork.un.org/node/848248> <https://www.un.org/sg/en/content/sg/personnel-appointments/2017-01-06/secretary-general-announces-task-force-un-response>

Senior Management Compacts: https://iseek-newyork.un.org/webpgdept1940_12

CHAPTER 3: THE SECRETARIAT

UN Secretariat bodies: <http://www.un.org/en/sections/about-un/secretariat/index.html>

FURTHER READING AND REFERENCES

Department of Political Affairs (DPA): <http://www.un.org/undpa/en>

Department of Peacekeeping Operations (DPKO): <http://www.un.org/en/peacekeeping/about/dpko/>

Department of Field Support (DFS): <http://www.un.org/en/peacekeeping/about/dfs/>

Current Peacekeeping Operations: <http://www.un.org/en/peacekeeping/operations/>

Current Special Political Missions: <http://www.un.org/undpa/en/in-the-field/overview>

Peacekeeping fact sheet: <http://www.un.org/en/peacekeeping/resources/statistics/factsheet.shtml>

Policies and Best Practices in Peacekeeping: <http://www.un.org/en/peacekeeping/resources/policy.shtml>

Peacebuilding Support Office: <http://www.un.org/en/peacebuilding/pbso/>

Report of the High-level Panel on Peace Operations: http://peaceoperationsreview.org/wp-content/uploads/2015/08/HIPPO_Report_1_June_2015.pdf

Ten-year review of the UN Peacebuilding Architecture: <http://www.un.org/en/peacebuilding/pdf/150630%20Report%20of%20the%20AGE%20on%20the%202015%20Peacebuilding%20Review%20FINAL.pdf>

Review of the implementation of Security Council 1325 on women, peace and security in peacekeeping: http://www.un.org/en/peacekeeping/documents/10year_impact_study_1325.pdf

Department of Economic and Social Affairs: <https://www.un.org/development/desa/en/>

Office of the Special Adviser on Africa: <http://www.un.org/en/africa/osaa/>

The Office of the High Representative for the Least Developed Countries, Landlocked Development Countries and Small Island Development States (UN-OHRLS): <http://unohrlls.org/>

Regional Commissions: <http://www.regionalcommissions.org/>

United Nations Office for the Coordination of Humanitarian Affairs (OCHA): <http://www.unocha.org/>

UN Agencies, Funds Programmes and related organisations: <http://www.un.org/en/sections/about-un/funds-programmes-specialized-agencies-and-others/>

United Nations Chief Executives Board for Coordination (CEB): <http://www.unsystem.org/> and http://www.un.org/en/aboutun/structure/pdfs/17-00023e_UN%20System%20Chart_8.5x11_4c_EN_web.pdf

United Nations Development Group (UNDP): <https://undg.org/>

UN coordination at the country level: <https://undg.org/about/un-country-level/>

UNHQ New York, including departmental sub-units and staff titles: <https://iseek-newyork.un.org/>

CHAPTER 4: UN SYSTEM-WIDE INTEGRATION AND COORDINATION

United Nations System Chief Executives Board for Coordination: <http://www.unsystem.org/>

UN Funds Programmes and Specialized Agencies: <http://www.un.org/en/sections/about-un/funds-programmes-specialized-agencies-and-others/>

UN Development Operations Coordination Office: <http://www.un.org/en/sections/about-un/funds-programmes-specialized-agencies-and-others/>

FURTHER READING AND REFERENCES

Quadrennial Comprehensive Policy Review: <https://www.un.org/ecosoc/en/content/what-quadrennial-comprehensive-policy-review-qcpr>

Delivering As One: <http://www.un.org/en/ga/deliveringasone/>

UN Resident Coordinator: <https://undg.org/leadership/the-un-resident-coordinator/> and <https://undg.org/document/the-un-resident-coordinator-system-an-overview/>

UN Humanitarian Coordinator: <https://www.unocha.org/our-work/coordination/humanitarian-coordination-leadership>

UN Country Team: <https://undg.org/about/un-country-level/>

CHAPTER 5: ETHICS, ACCOUNTABILITY AND OVERSIGHT

Ethics Office: <http://www.undp.org/content/undp/en/home.html>

Ethics Roadmap (guide to finding the right place): <http://www.un.org/en/ethics/pdf/roadmap.pdf>

Seek advice on ethics and misconduct: <https://hr.un.org/page/how-look-for-advice-ethical-issues>

Office for Internal Oversight Services (OIOS): <https://oios.un.org/>

Independent Audit Advisory Committee: <https://www.un.org/ga/iaac/>

United Nations Board of Auditors (BOA): <http://www.un.org/en/auditors/board/>

Joint Inspection Unit of the United Nations System: <https://www.unjui.org/en/Pages/default.aspx>

Human Rights Up Front initiative: <https://www.un.org/sg/en/content/ban-ki-moon/human-rights-front-initiative>

Prevention of Sexual Exploitation and Abuse: <http://www.un.org/apps/news/story.asp?NewsID=56511#.WUmGyOsrKpo> and <http://www.un.org/apps/news/story.asp?NewsID=56322#.WUmG2esrKpo>

Whistle-blower Protection Policy: <http://www.un.org/en/ethics/protection.shtml> and <https://iseek.un.org/article/uns-new-whistleblower-protection-policy> and <https://hr.un.org/handbook/source/secretary-general%27s-bulletins/date>

Standards of Conduct for the International Civil Service: <https://icsc.un.org/resources/pdfs/general/standardsE.pdf>

Maintaining a harmonious workplace: <https://hr.un.org/page/create-positive-work-environment>

Financial Disclosure Programme: <http://www.un.org/en/ethics/disclosure.shtml>

CHAPTER 6: HUMAN RESOURCES

HR Portal (all human resources information and documentation): <https://hr.un.org/>

UN Competencies and Values: https://careers.un.org/lbw/attachments/competencies_booklet_en.pdf

Applying for a job at the UN: careers.un.org

United Nations System of Common Salaries, Allowances and Benefits

Composition of the Secretariat report: http://www.un.org/ga/search/view_doc.asp?symbol=a/71/360

FURTHER READING AND REFERENCES

- Lessons Learned from the Justice System, A Guide for Managers:** https://iseek-newyork.un.org/webpgdept10_161
- UN Staff Rules and Regulations:** <https://hr.un.org/handbook/source/secretary-general%27s-bulletins/date>
- United Nations Ombudsman and Mediation Services:** <http://www.un.org/en/ombudsman/>
- Office of Administration of Justice:** <http://www.un.org/en/oaj/>
- Step-by-step guide to the Administration of Justice:** <http://www.un.org/en/oaj/unjs/stepbystep.shtml>
- Management Evaluation Unit:** <https://iseek-newyork.un.org/m210dept1686>
- Maintaining a harmonious workplace:** <https://hr.un.org/page/create-positive-work-environment>
- Staffing and Mobility:** <https://hr.un.org/page/recruitment-un> and <https://hr.un.org/page/mobility>
- Performance Management:** <https://hr.un.org/page/performing-results>
- Flexible Work Arrangements:** <https://hr.un.org/page/flexible-working-arrangements>
- Career Support Opportunities:** <https://hr.un.org/page/your-career>
- Learning Opportunities:** <https://hr.un.org/page/your-learning>
- Mandatory Learning Programmes:** <https://hr.un.org/page/mandatory-learning>
- Gender Equality and Parity:** <https://iseek-newyork.un.org/article/learning-spotlight-gender-equality-workplace> and <https://iseek-newyork.un.org/article/un-womens-heforshe-launch-online-course-building-gender-iq> and <https://iseek-newyork.un.org/article/step-step-towards-gender-parity-our-organization>
- Multilingualism in the United Nations:** <http://www.un.org/Depts/DGACM/multilingualism.shtml> and <https://hr.un.org/page/language-learning>
- Visa Information:** <https://hr.un.org/node/2417/>
- Health and Well-being:** <https://hr.un.org/page/health-and-wellbeing>
- Emergency Preparedness:** <https://hr.un.org/page/emergency-preparedness-and-support>
- Emergency Preparedness Guide for UN personnel in New York:** <https://hr.un.org/sites/hr.un.org/files/file/refmaterials/documents/UNHQ%20NY%20Emergency%20Preparedness%20Guide-2014.pdf>
- UN Organisational Resilience Management System:** <https://iseek-newyork.un.org/ORMS>
- Staff Counsellor:** <https://hr.un.org/page/how-contact-your-staff-counsellor>

CHAPTER 7: BUDGET AND FINANCE

- Office of the Controller:** https://iseek-newyork.un.org/departmental_page/contact-us
- Office of Programme Planning Budget and Accounts (OPPBA):** <https://iseek-newyork.un.org/m210dept153>
- General Assembly Fifth Committee (administrative and budgetary):** <http://www.un.org/en/ga/fifth/>
- Advisory Committee on Administrative and Budgetary Questions:** <http://www.un.org/ga/acabq/>
- Accountability:** <https://iseek-newyork.un.org/accountability>

FURTHER READING AND REFERENCES

International Public Sector Accounting Standards: https://iseek-newyork.un.org/webpgdept2186_50

Scale of Assessments – see A/RES/67/238 and A/RES/67/239: http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/67/238 and http://www.un.org/en/ga/search/view_doc.asp?symbol=A/RES/67/239

Policies and procedures for trust funds are governed by ST/SGB/188, ST/AI/284, ST/AI/285 and ST/AI/286.

Enterprise Risk Management Guide for Managers: <https://iseek-newyork.un.org/article/enterprise-risk-management-guide-managers>

Budget one-hour online training programme: https://hr.un.org/learning-catalogue?search_api_views_fulltext=budget&field_learning_cat_category=All&field_learning_cat_type=All

Enterprise risk management and internal control: https://iseek-newyork.un.org/webpgdept1940_28

CHAPTER 8: SECURITY

Department of Safety and Security: <https://iseek-newyork.un.org/dss> and <http://www.un.org/undss/?q=howwework> and <http://www.un.org/undss/?q=whatwedo>

Security training: <https://training.dss.un.org/>

Security clearance: <https://dss.un.org/dssweb/WelcometoUNDSS/tabid/105/Default.aspx?returnurl=%2fdssweb%2f>

Report of the Independent Panel on the Safety and Security of UN Personnel in Iraq, 20 October 2003: <http://www.un.org/News/dh/iraq/safety-security-un-personnel-iraq.pdf>

Inter-agency Security Management Network (IASMN): <https://iseek-newyork.un.org/article/iasmn-23rd-session-brings-major-policy-developments-security> and

CHAPTER 9: INTERNAL AND EXTERNAL COMMUNICATIONS

Department of Public Information: <https://iseek-newyork.un.org/dpi>

Media Guidelines for UN Officials: https://iseek-newyork.un.org/webpgdept580_9

DPI social media guidelines: https://iseek-newyork.un.org/departmental_page/dpi-social-media-guidelines

DPI Communications Guidance: https://iseek-newyork.un.org/system/files/2017_dpi_guidance_final_3_jan.pdf

