



# General Assembly

Distr.: General  
5 March 2010

Original: English

---

## Sixty-fourth session

Agenda item 146

### **Administrative and budgetary aspects of the financing of the United Nations peacekeeping operations**

## **Budget for the support account for peacekeeping operations for the period from 1 July 2010 to 30 June 2011**

### **Report of the Secretary-General**

#### *Summary*

The present report contains the budget for the support account for peacekeeping operations for the period from 1 July 2010 to 30 June 2011, which amounts to \$313,891,800, excluding enterprise resource planning requirements in the amount of \$57,033,000, and provides for a total of 1,314 posts (1,245 continuing posts, taking into account the proposed redeployment of 4 posts to the United Nations Logistics Base at Brindisi, Italy, and 73 new posts, including 12 general temporary assistance positions converted to posts).



**Financial resources**

(Thousands of United States dollars. Budget is from 1 July to 30 June.)

<i>Category</i>	<i>Expenditures (2008/09)</i>	<i>Apportionment (2009/10)</i>	<i>Cost estimates (2010/11)</i>	<i>Variance</i>	
				<i>Amount</i>	<i>Percentage</i>
	<i>(1)</i>	<i>(2)</i>	<i>(3)</i>	<i>(4)=(3)-(2)</i>	<i>(5)=(4)÷(2)</i>
I. Post resources	169 633.6	183 688.8	201 482.8	17 794.0	9.7
II. Non-post resources					
General temporary assistance	18 808.4	19 618.5	23 917.2	4 298.7	21.9
Consultants	5 819.8	6 049.6	4 595.5	(1 454.1)	(24.0)
Official travel	12 050.3	17 307.0	17 992.4	685.4	4.0
Facilities and infrastructure	24 890.0	21 548.3	23 898.7	2 350.4	10.9
Communications	3 082.4	2 684.2	2 671.6	(12.6)	(0.5)
Information technology <sup>a</sup>	27 753.1	29 726.3	24 874.7	(4 851.6)	(16.3)
Medical	525.1	203.5	200.0	(3.5)	(1.7)
Other supplies, services and equipment	9 400.9	13 204.7	14 258.9	1 054.2	8.0
<b>Subtotal II</b>	<b>102 330.0</b>	<b>110 342.1</b>	<b>112 409.0</b>	<b>2 066.9</b>	<b>1.9</b>
<b>Total, I and II</b>	<b>271 963.6</b>	<b>294 030.9</b>	<b>313 891.8</b>	<b>19 860.9</b>	<b>6.8</b>
<b>Enterprise resource planning</b>	<b>—</b>	<b>28 516.5</b>	<b>57 033.0</b>	<b>28 516.5</b>	<b>100.0</b>
Staff assessment income	25 906.3	27 486.9	29 810.6	2 323.7	8.5
<b>Net requirements</b>	<b>246 057.3</b>	<b>295 060.5</b>	<b>341 114.2</b>	<b>46 053.7</b>	<b>15.6</b>

<sup>a</sup> The apportionment for information technology requirements for 2009/10 does not include the additional amount of \$2,031,860 for the secondary data centre approved by the General Assembly in its resolution 63/269, which will be absorbed within existing resources.

## Contents

	<i>Page</i>
Abbreviations .....	5
I. Introduction .....	7
A. Level of peacekeeping resources and the support account .....	7
B. Analysis of resource requirements .....	11
C. Impact of applying projected vacancy rates used for continuing posts on the costing of proposed new posts .....	13
D. Analysis of consultancy requirements .....	14
E. Results-based-budgeting framework .....	14
F. Budget parameters .....	15
G. Information on rejustification and reclassification of posts .....	16
H. Evolution of the support account .....	18
II. Proposed staffing .....	18
III. Results-based-budgeting frameworks and analysis of resource requirements .....	19
A. Department of Peacekeeping Operations .....	19
B. Department of Field Support .....	80
C. Department of Management .....	130
D. Office of Internal Oversight Services .....	206
E. Executive Office of the Secretary-General .....	220
F. Office of the United Nations Ombudsman .....	223
G. Ethics Office .....	229
H. Office of Legal Affairs .....	233
I. Department of Public Information .....	237
J. Department of Safety and Security .....	242
K. Office of Information and Communications Technology .....	251
L. Advisory Committee on Administrative and Budgetary Questions secretariat .....	263
IV. Action to be taken by the General Assembly .....	267
Annexes	
I. Proposed staffing of the Department of Peacekeeping Operations for the period from 1 July 2010 to 30 June 2011 .....	268
II. Proposed staffing of the Department of Field Support for the period from 1 July 2010 to 30 June 2011 .....	269

III.	Proposed staffing of the Department of Management for the period from 1 July 2010 to 30 June 2011 .....	270
IV.	Proposed staffing of the Office of Internal Oversight Services for the period from 1 July 2010 to 30 June 2011 .....	274
V.	Proposed staffing of the Office of the Ombudsman for the period from 1 July 2010 to 30 June 2011 .....	275
VI.	Proposed staffing of the Ethics Office for the period from 1 July 2010 to 30 June 2011 .....	276
VII.	Proposed staffing of the Office of Legal Affairs for the period from 1 July 2010 to 30 June 2011 .....	277
VIII.	Proposed staffing of the Department of Public Information for the period from 1 July 2010 to 30 June 2011 .....	278
IX.	Proposed staffing of the Department of Safety and Security for the period from 1 July 2010 to 30 June 2011 .....	279
X.	Proposed staffing of the Office of Information and Communications Technology for the period from 1 July 2010 to 30 June 2011 .....	280
XI.	Proposed staffing of the Advisory Committee on Administrative and Budgetary Questions secretariat for the period from 1 July 2010 to 30 June 2011 .....	281
XII.	Summary of follow-up action taken to implement requests of the General Assembly in its resolution 63/287 and requests and recommendations of the Advisory Committee on Administrative and Budgetary Questions endorsed by the Assembly and of the United Nations Board of Auditors .....	282

## Abbreviations

AMISOM	African Union Mission in Somalia
ASEAN	Association of Southeast Asian Nations
BINUB	United Nations Integrated Office in Burundi
BINUCA	United Nations Peacebuilding Support Office in the Central African Republic
CSTO	Collective Security Treaty Organization
DFS	Department of Field Support
DM	Department of Management
DPA	Department of Political Affairs
DPI	Department of Public Information
DPKO	Department of Peacekeeping Operations
DSS	Department of Safety and Security
EOSG	Executive Office of the Secretary-General
FS	Field Service
GS	General Service
GS (OL)	General Service (Other level)
GS (PL)	General Service (Principal level)
ICAO	International Civil Aviation Organization
ICRC	International Committee of the Red Cross
ICT	information and communications technology
IT	information technology
IMIS	Integrated Management Information System
IPSAS	International Public Sector Accounting Standards
MINURCAT	United Nations Mission in the Central African Republic and Chad
MINURSO	United Nations Mission for the Referendum in Western Sahara
MINUSTAH	United Nations Stabilization Mission in Haiti
MONUC	United Nations Organization Mission in the Democratic Republic of the Congo
NATO	North Atlantic Treaty Organization
NGS	national General Service
ODS	Official Document System
OHCHR	Office of the United Nations High Commissioner for Human Rights
OICT	Office of Information and Communications Technology
OIOS	Office of Internal Oversight Services
OLA	Office of Legal Affairs

OPICS	Operations Processing Integrated Control System
OPPBA	Office of Programme Planning, Budget and Accounts
OUSG	Office of the Under-Secretary-General
SWIFT	Society for Worldwide Interbank Financial Telecommunication
UNAMA	United Nations Assistance Mission in Afghanistan
UNAMI	United Nations Assistance Mission for Iraq
UNAMID	African Union-United Nations Hybrid Operation in Darfur
UNDOF	United Nations Disengagement Observer Force
UNDP	United Nations Development Programme
UNFICYP	United Nations Peacekeeping Force in Cyprus
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
UNIFIL	United Nations Interim Force in Lebanon
UNIOSIL	United Nations Integrated Office in Sierra Leone
UNITAR	United Nations Institute for Training and Research
UNHCR	Office of the United Nations High Commissioner for Refugees
UNLB	United Nations Logistics Base at Brindisi, Italy
UNMEE	United Nations Mission in Ethiopia and Eritrea
UNMIK	United Nations Interim Administration Mission in Kosovo
UNMIL	United Nations Mission in Liberia
UNMIS	United Nations Mission in the Sudan
UNMIT	United Nations Integrated Mission in Timor-Leste
UNMOGIP	United Nations Military Observer Group in India and Pakistan
UNOCI	United Nations Operation in Côte d'Ivoire
UNOMIG	United Nations Observer Mission in Georgia
UNPOS	United Nations Political Office for Somalia
UNSAS	United Nations Standby Arrangements System
UNTSO	United Nations Truce Supervision Organization
WFP	World Food Programme

## I. Introduction

### A. Level of peacekeeping resources and the support account

1. As indicated by the Secretary-General in his report on the work of the Organization (A/64/1), the challenges that peacekeepers face today are unprecedented in scale, complexity and level of risk. Their engagement includes supporting political dialogue between parties, assisting national Governments to extend State authority, strengthening human rights and the rule of law, advising on security sector reform, supporting disarmament, demobilization and reintegration programmes and protecting civilians. Over the last five budget periods, the range of peacekeeping activities continued to expand, placing new demands on all Secretariat departments and offices funded from the support account.

2. The number of military and police personnel in United Nations peacekeeping operations has grown from 73,200 in 2005/06 to 113,600 in 2009/10, representing a 55 per cent increase, with a 104 per cent increase in peacekeeping civilian staff deployed in the field, from 13,200 in 2005/06 to 26,900 in 2009/10 (see table below).

#### Overview of financial and human resources for peacekeeping operations, 2005-2010

(Millions of United States dollars)

	2005/06	2006/07	2007/08	2008/09	2009/10	2010/11 (projected)
<b>Budget levels</b>						
Peacekeeping missions	4 838.9	5 174.6	6 499.8	6 974.0	7 479.2	7 908.3
UNLB	31.5	35.5	40.4	45.8	58.0	73.7
Support account	146.9	189.0	230.5	282.4	294.0 <sup>a</sup>	313.9 <sup>a</sup>
Strategic deployment stocks	—	—	—	—	—	—
<b>Total</b>	<b>5 017.3</b>	<b>5 399.1</b>	<b>6 770.7</b>	<b>7 302.2</b>	<b>7 831.2</b>	<b>8 295.9</b>
<b>Number of missions</b>						
Peacekeeping missions	17	16	17	17	16	16
Special political missions	16	17	17	17	16	15
<b>Number of personnel</b>						
Military and police personnel authorized by the Security Council	73 221	84 737	113 128	117 020	113 613	114 547
Civilian staff in missions	13 225	18 921	18 013	19 490	26 927	26 391
Support account posts	831	819	1 122	1 220	1 245	1 314

<sup>a</sup> Excluding provisions for enterprise resource planning.

3. Compared with the 2005/06 period, the level of the total peacekeeping budget in 2010/11 is expected to increase by 65 per cent, from \$5 billion to \$8.3 billion (including UNLB and the support account), even though the number of active

peacekeeping missions in 2009/10 compared with 2005/06 decreased by 1, to 16 missions (including UNTSO and UNMOGIP). The number of special political and peacebuilding missions has also decreased by 1 to 15 in 2009/10 compared with 2005/06, and currently includes such complex operations as UNAMA and UNAMI.

4. The Department of Peacekeeping Operations and the Department of Field Support currently manage 15 peacekeeping operations and 1 special political mission comprising over 140,000 military, police and civilian personnel. The Department of Field Support provides administrative and logistical support to an additional 15 field-based presences, as well as a logistical support package to AMISOM.

5. With the additional resources provided by the General Assembly over the past five years, the support account has grown from 831 posts and an approved budget of \$146.9 million in 2005/06 to 1,245 posts and an approved budget of \$294.0 million in 2009/10 (excluding provisions for enterprise resource planning). The proposal for the 2010/11 period includes a staffing establishment of 1,314 posts and a resource level of \$313.9 million (excluding provisions for enterprise resource planning). As shown in the table below, the proportion of support account requirements as a percentage of total and projected (2010/11 period) resources for peacekeeping operations, including UNLB, remained at approximately 4 per cent and is broadly commensurate with the growth in peacekeeping activities and the resulting support requirements.

#### Support account and budget levels for peacekeeping operations, 2005-2010

(Millions of United States dollars)

	2005/06	2006/07	2007/08	2008/09	2009/10	2010/11 (projected)
<b>Budget levels</b>						
Peacekeeping missions and UNLB	4 870.4	5 210.1	6 540.2	7 019.8	7 537.2	7 982.0
Support account	146.9	189.0	230.5	282.4	294.0 <sup>a</sup>	313.9 <sup>a</sup>
<b>Support account as a percentage of peacekeeping missions and UNLB budgets</b>						
	<b>3.0</b>	<b>3.6</b>	<b>3.5</b>	<b>4.0</b>	<b>3.9</b>	<b>3.9</b>

<sup>a</sup> Excluding provisions for enterprise resource planning.

6. Continued challenges in the field warrant a professional and integrated approach in order to adapt to a variety of operating environments, different mandates and the various stages of a mission life cycle. In accordance with the request made by the General Assembly in its resolution 63/286, the report of the Secretary-General on the global field support strategy (A/64/633) outlined plans to transform service delivery to field missions over the next five years, with the aim to improve the timeliness and quality of service. Emphasis is placed on improving the safety and living conditions of personnel, strengthening accountability for resource management and achieving greater efficiency and economies of scale. The strategy also aims to contribute to local and regional capacity-building efforts, and to reduce in-country environmental impacts of field operations.



7. The support account resource requirements of the Department of Peacekeeping Operations and the Department of Field Support for the 2010/11 period reflect the following initiatives aimed at further strengthening support to peacekeeping operations:

(a) Development of a comprehensive DPKO/DFS field safety policy and a generic field safety programme template to ensure the safety and welfare of mission military and police personnel in their work environment through organizing efforts and procedures to identify workplace hazards and coordinate with responsible areas to ensure that mutually reinforcing policies and equipment are in place to reduce accidents and exposure of personnel to harmful situations;

(b) Development of organizational resilience plans and programmes, initially in the areas of crisis response and business continuity/recovery, to enhance Headquarters continuity of critical functions that support field missions, and guide/assist field missions in their development/review and refinement of mission-specific plans to identify and ensure continuity of mission-critical functions;

(c) Establishment of a Somalia coordination and planning team to lead and coordinate integrated planning for United Nations activities on the security and peacekeeping tracks in Somalia, in accordance with Security Council resolutions 1772 (2007), 1814 (2008), 1846 (2008), 1851 (2008), 1863 (2009), 1872 (2009) and 1910 (2010), and in support of the integrated Secretariat approach on Somalia as detailed in two Policy Committee decisions;

(d) Enhancement of security and strengthening the rule of law, including the provision of support to justice and/or prison systems, improvement of programme implementation in the area of corrections, establishment and management of disarmament, demobilization and reintegration programmes, reform of security sector institutions and conduct of humanitarian mine action activities;

(e) Improvement and development of interoperability, cooperation and coordination with partner organizations and knowledge of each other's systems in support of peacekeeping through the facilitation and conduct of a number of activities, including lessons learned and after-action reviews, and development of guidance on joint planning and training and other events co-sponsored with partners;

(f) Implementation of a global field support strategy, pending approval by the General Assembly, to transform service delivery to field operations through a comprehensive integrated programme which draws lessons learned from several decades of experience. The strategy is designed to achieve four core, operationally focused objectives and two objectives that consider the field operations' deployment footprints as described by the Secretary-General (A/64/633);

(g) Setting up the Headquarters team in support of AMISOM in DFS, which would liaise with the Somalia Coordination Planning Team led by DPKO, and the Integrated Task Force for Somalia which is chaired by DPA, and working groups on piracy, among other issues, which directly affect support of AMISOM at the policy and strategic levels and to ensure proper alignment across the different bodies responsible for implementing the overall mandate for Somalia. The primary focus of the Headquarters team in support of AMISOM would be to assist senior management with strategic planning, policy guidance and implementation of all aspects of the mandate and to ensure a comprehensive United Nations approach and

implementation of integrated operational objectives among all departments involved in providing support to AMISOM;

(h) Preparations for and hosting in January 2011 of the meeting of the Working Group on Contingent-Owned Equipment, held every three years pursuant to resolution 54/19 B, to conduct a comprehensive review of the rates of and to review proposals for changes to the current contingent-owned equipment system for approval by the General Assembly.

8. Further information on the initiatives undertaken by DPKO and DFS is provided in the report of the Secretary-General on the overview of the financing of peacekeeping operations (A/64/643).

9. The support account resource requirements of the Department of Management will provide additional capacity for the Department to implement the following initiatives:

(a) Further strengthening of the procurement function in order to expand vendor rosters to include businesses in developing countries and countries with economies in transition, complete the development of an online procurement training module and procurement certification programme, and expand training of peacekeeping procurement staff;

(b) Further strengthening of the capacity of the Office of Programme Planning, Budget and Accounts in order to ensure the timely processing of accounting transactions, operationalize IPSAS-compliant accounting policies and develop the related procedures, as well as undertake relevant training for affected staff;

(c) Focus on the implementation of the Secretary-General's Serving as One vision for human resources management, continue implementing the United Nations human resources reform agenda in field missions (see resolution 63/250), including the launch of the talent management system (Inspira), focus on institutionalizing a United Nations Secretariat model on strategic workforce planning to enable field missions to produce workforce demand projections and staffing gap analysis;

(d) Implementation of the pilot project of the award review board to review procurement challenges filed by unsuccessful vendors, and conduct prompt management evaluations of contested administrative decisions to determine whether they comply with the Organization's applicable regulations, rules and policies;

(e) Further strengthen the capacity to represent the Administration in hearings before the United Nations Dispute Tribunal in the new administration of justice system and to provide legal advice to mission staff.

10. The support account requirements of OIOS reflect the continuation of the pilot restructuring of the Investigations Division hubs, taking into account the decisions of the General Assembly in its resolution 63/287 and the comments of the Independent Audit Advisory Committee in its report (A/64/652). In addition, the proposed budget for OIOS includes resource requirements for the strengthening of the evaluation function (Inspection and Evaluation Division) and for the strengthening of audit teams in the Information and Communications Technology Section, the Professional Practices Section and the Special Assignments Section (Internal Audit Division).

11. The proposed 2010/11 support account budget for the Office of the Ombudsman would allow the Office to address and resolve employment-related disputes, as well as to analyse and identify systemic issues in peacekeeping operations.

12. During the 2010/11 period, the Ethics Office would target the achievement of 100 per cent compliance of peacekeeping staff with a requirement to file financial disclosure or declaration of interest statements and would implement customized ethics-related training courses and workshops for peacekeeping staff at Headquarters and in the field.

13. The requested strengthening of the Department of Safety and Security will enable it to deliver its training programmes in support of peacekeeping operations, in particular the training of close protection officers for peacekeeping missions.

14. The proposed 2010/11 support account budget for the Office of Information and Communications Technology includes initiatives and related resource requirements for the implementation of the enterprise content management, customer relationship management, enterprise rations and fuel management, enterprise information portal, enterprise identity management and global warden systems and solutions in support of peacekeeping operations.

## **B. Analysis of resource requirements**

15. The proposed support account budget for the 2010/11 period amounts to \$313,891,800 million, excluding provisions for the enterprise resource planning project, representing a 6.8 per cent increase compared with the approved 2009/10 support account resources of \$294,030,900 million.

16. Pursuant to General Assembly resolution 64/243 and based on the revised estimates presented by the Secretary-General in his first progress report on the enterprise resource planning project (A/64/380), resource requirements related to enterprise resource planning in the amount of \$57,033,000 for the 2010/11 period are proposed to be funded from the support account for the period from 1 July 2010 to 30 June 2011. The estimates for the project will be reviewed by the Secretary-General and submitted to the General Assembly in his second progress report on enterprise resource planning at the main part of its sixty-fifth session, as requested by the Assembly in the same resolution.

17. In accordance with General Assembly resolution 64/228, resource requirements related to the peacekeeping share of the maintenance support costs of the secondary data centre in the amount of \$1,254,190 have been included in the budget of the support account for the 2010/11 period.

18. The proposed budget includes requirements related to the projected after-service health insurance costs of the current peacekeeping retirees for the 2010/11 period.

19. The increase of \$19,860,900 (excluding enterprise resource planning) in the proposed level of the support account requirements for the 2010/11 period, representing a 6.8 per cent increase over resources approved for the 2009/10 period, is attributable mainly to the proposed establishment of 73 new posts, including the proposed conversion to posts on a cost-neutral basis of 12 general temporary

assistance positions approved for 2009/10, combined with the increase in standard salary costs and the application of a 12 per cent and 7 per cent vacancy rate to all continuing posts approved for 2009/10 in the Professional and General Service categories, respectively, as opposed to the 65 per cent and 50 per cent delayed recruitment factor applied to the new posts approved in both categories, respectively, approved for 2009/10. The increase under post requirements amounts to \$17,794,000, representing a 9.7 per cent increase over the approved support account post resources for 2009/10 and accounts for 89.6 per cent of the total proposed increase in support account requirements for 2010/11.

20. With regard to non-post resources, the net increase of \$2,066,900 represents an increase of 1.9 per cent over the approved 2009/10 support account non-post resources and is attributable to increased requirements under the general temporary assistance, official travel, facilities and infrastructure, and other supplies, services and equipment classes of expenditure, offset in part by reduced requirements under the consultants, and communications and information technology classes of expenditure. The net increase under non-post requirements accounts for 10.4 per cent of the total proposed increase in support account requirements for 2010/11.

21. The increase under the general temporary assistance class of expenditure (\$4,298,700, 21.9 per cent) is attributable to the continuation of general temporary assistance positions approved for 2009/10 in respect of which vacancy rates of 25 per cent (Professional category) and 12.5 per cent (General Service category) were applied, as well as to the proposed establishment of 30 new positions. The application of budgeted vacancy rates for 2010/11 to the computation of requirements for the continuing Professional and General Service category positions, is 7 per cent and 5.2 per cent, respectively.

22. The increase under the travel class of expenditure (\$685,300, 4.0 per cent) is attributable to increased transportation costs associated with travel by Headquarters staff in all departments and offices in support of peacekeeping operations, including needs assessment, provision of advice and evaluation of substantive and support activities, consultations, and provision of technical and logistical support in all support areas, as well as in connection with the training of peacekeeping personnel.

23. Increased requirements under the facilities and infrastructure class of expenditure (\$2,350,400, 10.9 per cent) are attributable primarily to the proposed establishment of additional posts, which will necessitate additional provisions for office space.

24. The increase in requirements under the other supplies, services and equipment class of expenditure (\$1,054,200, 8.0 per cent) is attributable mainly to: provisions for conference services in support of the 2011 meeting of the Working Group on Contingent-Owned Equipment, which is held every three years pursuant to resolution 54/19 B; requirements for the translation of training materials into four languages and the reclassification of posts. The increased requirements are offset in part by one-time provisions funded in 2009/10 for the new administration of justice system pursuant to General Assembly resolution 62/228, and the one-time start-up acquisition of firearms and ammunition supplies for the close protection training programme.

25. The projected additional requirements for 2010/11 are offset by reduced requirements under the consultants class of expenditure (\$1,454,000, 24.0 per cent)

as well as reduced provisions under information technology (\$4,851,600, 16.3 per cent), which reflect reduced requirements associated with the stage of certain approved information technology projects planned for development or implementation in peacekeeping operations, in particular, amounts approved for the one-time start-up acquisition by the Office of Information and Communications Technology of enterprise content management and customer relationship management solutions in the 2009/10 budget period.

26. Reduced requirements under the communications class of expenditure (\$12,600, 0.5 per cent) are attributable to videoconferencing equipment approved in the 2009/10 budget period.

### C. Impact of applying projected vacancy rates used for continuing posts on the costing of proposed new posts

27. Pursuant to General Assembly resolution 63/287, the 2010/11 support account budget includes details of the full annual costs of the proposed additional posts for the subsequent budget, with the application of the budgeted 2010/11 vacancy rates of 12 per cent for the Professional category of staff and 7 per cent for the General Service category of staff. As indicated in the table below, the establishment of the proposed additional posts, where applicable, would result in additional resource requirements for 2010/11 in the amount of \$4,773,000.

(Thousands of United States dollars)

Category	Proposed budget 2010/11 (1)	Full cost (2)	Variance	
			Amount (3)=(2)-(1)	Percentage (4)=(3)÷(2)
Department of Peacekeeping Operations	75 135.4	76 786.5	1 651.1	2.2
Department of Field Support	65 959.9	66 436.5	476.6	0.7
Department of Management	35 025.2	36 949.8	1 924.6	5.2
Office of Internal Oversight Services	15 099.6	15 659.1	559.5	3.6
Executive Office of the Secretary-General	914.2	914.2	—	—
Office of the Ombudsman	1 157.9	1 200.4	42.5	3.5
Ethics Office <sup>a</sup>	—	—	—	—
Office of Legal Affairs	2 823.7	2 823.7	—	—
Department of Public Information	617.6	617.6	—	—
Department of Safety and Security	2 900.7	3 019.4	118.7	3.9
Office of Information and Communications Technology	1 848.6	1 848.6	—	—
Advisory Committee on Administrative and Budgetary Questions <sup>a</sup>	—	—	—	—
<b>Total</b>	<b>201 482.8</b>	<b>206 255.8</b>	<b>4 773.0</b>	<b>2.3</b>

<sup>a</sup> General temporary assistance positions only.

## D. Analysis of consultancy requirements

28. The table below reflects the budgetary levels for consultants from 2005/06 to 2010/11. All requirements for consultants have been carefully analysed and reviewed case-by-case, based primarily on: (a) whether the study/review/report has been mandated by a legislative body; (b) whether the study/review/report has been recommended by OIOS and/or the Board of Auditors; (c) whether the requirement and the related output are associated with the results-based-budgeting framework; and (d) cases where in-house expertise is not available, in particular with regard to information technology expertise.

29. The proposed support account consultancy provisions for 2010/11 reflect requirements for specialized expertise which cannot be accommodated in-house. While the majority of consultancy requirements are related to requests made by the General Assembly and observations and recommendations of the Board of Auditors and OIOS, the proposed budget also reflects requirements for the ongoing projects for which consultancies were approved for 2009/10, for example, the development and conduct of specialized training programmes on substantive areas of peacekeeping operations by the Policy, Evaluation and Training Division of the Department of Peacekeeping Operations, the review of staff files in connection with the financial disclosure programme conducted by the Ethics Office, two in-depth programme evaluations and one thematic evaluation of peacekeeping missions conducted by OIOS, and new projects proposed by the Department of Management in the areas of information technology (Inspira), financial and accounting policy and standards (IPSAS implementation) and procurement (award review board pilot). The engagement of consultants does not circumvent the established criteria and procedures for selecting staff.

### Budgetary provision under consultants

(Thousands of United States dollars)

	<i>2005/06 approved</i>	<i>2006/07 approved</i>	<i>2007/08 approved</i>	<i>2008/09 approved</i>	<i>2009/10 approved</i>	<i>2010/11 proposed</i>	<i>Six-year average</i>
Consultancies	1 768	4 666	4 711	6 812	6 050	4 596	4 767
Increase (percentage)	22.7	163.9	1.0	44.6	(11.2)	(24.0)	32.8
Support account total	146 935	189 017	230 510	282 402	294 031	313 892	242 798
Increase (percentage)	20.8	28.6	22.0	22.5	4.1	6.8	17.5
Consultancies as a percentage of the support account	1.2	2.5	2.0	2.4	2.1	1.5	2.0

## E. Results-based-budgeting framework

30. As has been done for the 2009/10 support account budget, the principles of the results-based-budgeting framework, using a logical framework that defines and links objectives, expected accomplishments, indicators of achievement, outputs and inputs, will continue to be applied in the 2010/11 support account budget.

31. A new element has been introduced in the 2010/11 support account budget in order to facilitate the review by legislative bodies of the results-based-budgeting frameworks. In the four large departments/offices that have resources funded from

the support account (DPKO, DFS, DM, OIOS), a brief introductory section has been included at the beginning of the results-based-budgeting framework of each division or office outlining its mandate, main responsibilities and major priorities for the 2010/11 financial period.

32. Furthermore, efforts have been made to continue to refine the formulation of the results-based-budgeting frameworks to ensure that the indicators of achievement and planned outputs are specific, measurable, attainable, realistic and time-bound, and that the formulation of outputs is linked more closely to resource requirements. In particular, efforts have been made to further improve the measurability of the indicators of achievement and outputs. To the extent possible, the indicators of achievement in the frameworks include baselines (for the 2008/09 and 2009/10 financial periods) and targets (for the 2010/11 financial period). To the extent possible, outputs have been quantified and formulated in a concise way, clearly defining the product or service to the end-user. Finally, with a view to streamlining the presentation of the support account budget proposals and addressing concerns raised by legislative bodies, efforts have been made to reduce the number and length of descriptions of outputs in each Division or Office by focusing on the outputs that are the most significant and resource-intensive, while ensuring that all outputs are specific, measurable, attainable, realistic and time-bound.

## **F. Budget parameters**

### **Posts**

33. Standard salary costs established by the Office of Programme Planning, Budget and Accounts for New York have been applied to all posts at United Nations Headquarters, and the standard salary costs for Vienna and Nairobi have been applied to posts at the regional investigation hubs at those duty stations. The computation of requirements for all continuing posts reflects the application of budgeted vacancy rates of 12 per cent and 7 per cent, respectively, for all Professional and General Service category posts, and 65 per cent and 50 per cent, respectively, for the proposed new Professional and General Service category posts, which are based on the recommendation of the Advisory Committee on Administrative and Budgetary Questions, in view of performance in recent years (see A/63/841, para. 52). With regard to the OIOS Resident Auditor posts in peacekeeping missions, the relevant mission-specific salary costs by category and grade level and turnover factors based on past performance have been applied. Budgeted vacancy rates of 7 per cent and 5.2 per cent have been applied to the computation of requirements for continuing general temporary assistance positions of 12 months' duration for all Professional and General Service category posts, respectively. Vacancy rates of 25 per cent and 12.5 per cent have been budgeted for new general temporary assistance positions of 12 months' duration for Professional and General Service category posts, respectively.

### **Non-post resources**

34. Following the report of OIOS on the audit of the standard costs applied to Headquarters overhead (A/60/682), the Secretariat has reviewed the standard costs and, to the extent possible, has applied the revised rates in the formulation of the requirements under recurrent costs, such as rental of premises, office supplies and

equipment, commercial communications costs (fax and telephone charges), service-level agreements and infrastructure costs for information technology maintenance, and under non-recurrent costs, such as the purchase of furniture and office equipment, including computers and telephones, and alterations or improvements, for newly proposed posts in the 2010/11 budget.

35. The annual rental rate of \$14,300 per staff member has been applied to all proposed posts at Headquarters, New York, based on the current market rate for commercial space. Rental of premises in Addis Ababa has been considered, based on the standards applied at the headquarters of the Economic Commission for Africa in Addis Ababa. In 2010/11, rental of premises for the regional hubs in Nairobi and Vienna has been estimated at a rate of \$10,300 per staff, as rent-free accommodation is no longer expected to be provided. In addition, the costs for rent, alterations and improvements as well as furniture are budgeted at rates applied to corresponding grade levels and the average of rates, respectively, based on the estimation guide for standard common services costs in New York. Those costs are centrally administered by the Department of Management on behalf of all departments and offices funded from the support account.

36. Provision for the maintenance of information technology equipment are based on the OICT standard service-level agreements A, B and C in the amounts of \$2,160, \$1,560 and \$1,060, respectively, per staff member. The provision for the cost of central information technology infrastructure (information storage and backup, application hosting, departmental servers) per staff member is derived from past expenditure patterns.

37. A standard desktop computer is provided for each new post and, pursuant to General Assembly resolution 59/296 (sect. XXI, para. 6), the ratio of printers to desktop computers of 1:4 has been applied for all new staff as well as for the replacement of existing network printers. Provision for the purchase of new desktop computers and laptops is based on average costs, maintained from 2008/09, of \$1,300 and \$1,400 per unit, respectively, while a standard provision of \$1,500 has been applied for network printers.

38. Commercial communications costs are budgeted at a standard rate of \$1,400 per staff member and telephone/fax installation services at \$300 per newly proposed staff member, based on past expenditure trends, as recommended by OIOS (see A/60/682, para. 67). A one-time charge for standard equipment (telephone sets) is budgeted at a standard rate of \$300 per newly proposed staff member. Updated standards for the provision for non-recurrent costs of alterations/improvements and communications equipment have been applied to all new posts.

39. Requirements for office supplies, rental of office equipment, standard communications requirements, standard information technology requirements and other supplies, services and equipment for DPKO and DFS, as well as for DM, are centrally administered by their respective Executive Offices and are presented as such.

## **G. Information on rejustification and reclassification of posts**

40. The General Assembly, in paragraph 12 of its resolution 58/298, requested information with respect to posts that will have been vacant for at least 12 months by 30 June of a given year. No posts are projected to be vacant for 12 months as at



30 June 2010. Rejustification of posts resubmitted for Assembly approval is included under the justification of posts sections for each department, where applicable.

41. In paragraph 19 of its resolution 57/318, the General Assembly requested the Secretary-General to include in the next support account report information on details of reclassification upward and downward of posts, as well as the breakdown of appointments to posts reclassified upward, as between internal and external candidates, for the previous two years and annually thereafter.

42. The General Assembly approved three reclassifications for 2009/10 as follows: one reclassification in the Air Transport Section of the Logistics Support Division of DFS (Air Transport Officer, from the P-3 to the P-4 level); and one reclassification each in the Treasury and the Peacekeeping Financing Division of the Office of Programme Planning, Budget and Accounts (Department of Management) (Budget and Finance Officer, UNAMID, from the P-3 to the P-4 level and Finance Officer, P-4, to Chief, Banking Relations Section, P-5).

43. In the 2010/11 budget, six reclassifications are proposed as follows: one reclassification in the Public Affairs Section of the Office of the Under-Secretary-General for Peacekeeping Operations (Associate Public Affairs Officer, P-2, to Public Affairs Officer, P-3); reclassification of three seconded officer posts in the Office of Military Affairs (DPKO) to civilian posts (Assessments Officer, P-4; Policy and Doctrine Officer, P-4; and Planning Officer, P-4); reclassification of two posts in the Peacekeeping Financing Division of the Office of Programme Planning, Budget and Accounts (Department of Management) (Finance and Budget Officer, P-4, to Chief of Section, P-5; and Finance and Budget Officer, from the P-3 to the P-4 level).

44. In paragraph 28 of its resolution 63/287, the General Assembly took note of paragraph 45 of the report of the Advisory Committee on Administrative and Budgetary Questions (A/63/841), and requested the Secretary-General to include in the rejustification of the totality of support account staffing requirements, *inter alia*, information on and an analysis of the following, taking into account the relevant legislative mandates:

- (a) The lead agency, entity, department and/or offices for major strands of activity and the scope of their respective responsibilities;
- (b) Comprehensive assessment of the evolution of the support account;
- (c) Related human resources funded from the regular budget and other sources of funding, including in other departments of the Secretariat, resources in field missions and, where relevant, the specialized agencies and funds and programmes;
- (d) Impact of the requested resources on the improvement to the administrative and financial management of peacekeeping operations;
- (e) All functions covered by the proposed resources other than that of backstopping peacekeeping operations;
- (f) The impact of information and communications technology initiatives, including related business process improvements, in enhancing productivity and on the level of resources requested;
- (g) The outcome of business process improvements;

(h) Lessons learned from recent experience of operating the support account, including on the conversion of general temporary assistance positions.

45. In order to facilitate the review by the legislative committees of, on the one hand, the support account budget proposal for the 2010/11 financial period, and, on the other hand, the requested rejustification for the totality of the support account staffing requirements, the section on rejustification will be included in an addendum to the present report.

## H. Evolution of the support account

46. A study was commissioned on the evolution of the support account, the results of which were presented in the support account budget for 2009/10 (A/63/767 and Corr.1). The study concluded that the evolution of the support account was correlated with the increased complexity of peacekeeping operations mandates and the significant increase in the deployment of peacekeeping personnel to the field. The Secretariat acknowledges the conclusion of the study, and, in the support account budget for 2010/11, proposes resources in the amount of \$207,000 to conduct a follow-up study to develop a conceptual staffing model for the support account.

## II. Proposed staffing

### Proposed staffing by department/office, 2010/11

Department/office	Approved 2009/10 staffing	Proposed changes 2010/11			Proposed 2010/11 staffing
		Redeployment in	Redeployment out	New posts	
DPKO	425	—	—	25	450
DFS	437	—	(4)	8	441
DM	223	—	—	28	251
OIOS	99	—	—	10	109
EOSG	5	—	—	—	5
Office of the Ombudsman	7	—	—	1	8
OLA	15	—	—	—	15
DPI	4	—	—	—	4
DSS	18	—	—	1	19
OICT	12	—	—	—	12
<b>Total</b>	<b>1 245</b>	<b>—</b>	<b>(4)</b>	<b>73</b>	<b>1 314</b>

**Proposed new posts by department/office**

<i>Department/office</i>	<i>New posts</i>			<i>Percentage of new posts to total posts</i>
	<i>Professional and above</i>	<i>General Service</i>	<i>Total</i>	
DPKO	14	11	25	34.2
DFS	7	1	8	11.0
DM	20	8	28	38.3
OIOS	8	2	10	13.7
EOSG	—	—	—	—
Office of the Ombudsman	—	1	1	1.4
OLA	—	—	—	—
DPI	—	—	—	—
DSS	1	—	1	1.4
OICT	—	—	—	—
<b>Total</b>	<b>50</b>	<b>23</b>	<b>73</b>	<b>100</b>

**III. Results-based-budgeting frameworks and analysis of resource requirements****A. Department of Peacekeeping Operations****(a) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	4	—	—	—	4	—
D-1	10	—	—	—	10	—
P-5	41	—	1	2	44	3
P-4	183	—	2	4	189	6
P-3	87	1	—	4	92	5
P-2/P-1	10	(1)	—	1	10	—
<b>Subtotal</b>	<b>335</b>	<b>—</b>	<b>3</b>	<b>11</b>	<b>349</b>	<b>14</b>
<b>General Service and other</b>						
Principal level	2	—	—	—	2	—
Other level	88	—	1	10	99	11
<b>Subtotal</b>	<b>90</b>	<b>—</b>	<b>1</b>	<b>10</b>	<b>101</b>	<b>11</b>
<b>Total</b>	<b>425</b>	<b>—</b>	<b>4</b>	<b>21</b>	<b>450</b>	<b>25</b>

**(b) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10) <sup>a</sup>	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	63 611.2	68 501.8	75 135.4	6 633.6	9.7
II. Non-post resources					
General temporary assistance	2 156.1	2 079.1	2 253.1	174.0	8.4
Consultants	804.4	1 758.8	1 203.9	(554.9)	(31.5)
Official travel	5 696.3	7 506.2	7 628.4	122.2	1.6
Facilities and infrastructure	500.5	623.3	664.7	41.4	6.6
Communications	2 499.9	1 275.7	1 323.0	47.3	3.7
Information technology	10 674.4	2 427.2	2 443.0	15.8	0.7
Other supplies, services and equipment	1 115.0	1 086.6	1 729.4	642.8	59.2
<b>Subtotal II</b>	<b>23 446.6</b>	<b>16 756.9</b>	<b>17 245.5</b>	<b>488.6</b>	<b>2.9</b>
<b>Total</b>	<b>87 057.8</b>	<b>85 258.7</b>	<b>92 380.9</b>	<b>7 122.2</b>	<b>8.4</b>

<sup>a</sup> Includes costs centrally administered by the Executive Office of DPKO and DFS.**1. Office of the Under-Secretary-General****(a) Results-based-budgeting framework**

47. The mandate of the Office of the Under-Secretary-General was established by the General Assembly in its resolution 47/71 and was recently extended in its resolution 63/287. As of January 2010, DPKO supports 15 active peacekeeping operations (including UNTSO and UNMOGIP, which are funded through the biennial programme budget), 1 special political mission funded through the biennial programme budget, and planning for the support of AMISOM

48. The Office of the Under-Secretary-General will, during the budget period, contribute to a number of expected accomplishments, established by the General Assembly by delivering related key outputs, shown in the frameworks below. The indicators of achievement show a measurement of progress towards such accomplishments during the budget period.

49. The Office of the Under-Secretary-General undertakes a broad range of activities to ensure a coordinated and integrated approach to planning, directing, managing and supporting peacekeeping operations and special political missions. Priority areas of activity include: supporting the Under-Secretary-General in the performance of his political, programmatic, managerial and administrative functions; developing the Department's programme of work, while ensuring alignment with the strategic goals and priorities of United Nations peacekeeping; managing media relations, publicity and external relations and supporting public information activities in field operations; leading cross-cutting management, reform and information management initiatives; providing situational awareness on developments that have an impact on United Nations peacekeeping in order to support decision-making;

delivering policy advice on safety and security issues related to peacekeeping operations, and facilitating crisis response for DPKO and DFS.

50. The Office of the Under-Secretary-General includes the front office and the Office of the Chief of Staff, which comprises the Executive Office, the Public Affairs Section and the Situation Centre.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	<p>1.1 Endorsement by the Special Committee on Peacekeeping Operations of all recommendations of the Secretary-General on United Nations peacekeeping (2008/09: not applicable/not available; 2009/10: 100 per cent; 2010/11: 100 per cent)</p> <p>1.2 Access of Member States to all public information documentation related to peacekeeping and related field support issues within 24 hours of issuance (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 24 hours)</p> <p>1.3 All troop- and police-contributing countries are informed of casualties among uniformed personnel within 1.5 working hours of receipt of an initial report from a field mission (2009/10: 2 hours; 2010/11: 1.5 hours)</p>

#### *Outputs*

#### **Front office of the Under-Secretary-General**

- Report of the Secretary-General to the Special Committee on Peacekeeping Operations and briefings in response to all requests by the Special Committee and the Fourth Committee of the General Assembly
- 40 briefings to the Security Council, General Assembly and legislative bodies on developments in peacekeeping operations and on cross-cutting strategic and policy issues related to peacekeeping
- 300 meetings with or briefings to Member States, regional organizations and groups of friends/contact groups on all aspects of peacekeeping

#### **Office of the Chief of Staff**

- 3 briefings on field safety, security force protection and organizational resilience to the Special Committee on Peacekeeping Operations

#### **Public Affairs Section**

- Comprehensive public opinion survey conducted in 2 host countries to assess perceptions of United Nations peacekeeping
- 2 new media and social networking initiatives, such as Facebook and blogs, that provide immediate access to discussions, images, reports and analysis on peacekeeping-related issues
- 20 outreach activities, such as conferences, exhibits and public briefings, and 3 outreach projects with external partners

- Quarterly press briefings by the Under-Secretaries-General for Peacekeeping Operations and Field Support on developments of major peacekeeping issues and 20 media engagements with the senior leadership of both Departments

### Situation Centre

- Notifications to troop- and police-contributing countries of all casualties among uniformed personnel serving in 14 field operations
- 40 briefings to troop- and police-contributing countries on operational developments in 15 field operations

#### *Expected accomplishments*

2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates

#### *Indicators of achievement*

2.1 Public information components of peacekeeping operations, including specialist functions, are deployed within the time requirements for establishing new peacekeeping operations (2008/09: within 30 days; 2009/10: within 30 days; 2010/11: within 30 days)

#### *Outputs*

### Public Affairs Section

- In collaboration with the Department of Public Information and the Department of Field Support, 3 consultations with Member States and regional organizations to share information on the development of public information rosters and to solicit recommendations for rapidly deployable public information experts
- In collaboration with the Department of Public Information and the Department of Field Support, qualified candidates from underrepresented countries and target regions with required language skills are identified for all areas of public information activities in peacekeeping operations

#### *Expected accomplishments*

3.1 Increased efficiency and effectiveness of peacekeeping operations

#### *Indicators of achievement*

3.1 100 per cent of heads of mission have performance compacts (2008/09: not applicable/not available; 2009/10: 100 per cent; 2010/11: 100 per cent)

3.2 Compliance by 5 field operations with organizational records management and information management standards (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 5)

3.3 Compliance by 14 field operations and UNLB with DPKO/DFS field safety standards (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 14)

3.4 Compliance by 9 Joint Operations Centres and Joint Mission Analysis Centres with DPKO/DFS standards for information gathering, processing and analysis (2008/09: not applicable/not available; 2009/10: 6; 2010/11: 9)

*Outputs***Front office of the Under-Secretary-General**

- 19 visits to peacekeeping operations to review progress and provide direction to mission leadership on issues related to the implementation of mission mandates

**Public Affairs Section**

- In collaboration with the Department of Public Information, 4 technical assessment visits
- Issuance of 2 standard operating procedures on crisis management for public information components at Headquarters and in peacekeeping operations and on the role of military/police Public Information Officers in the field
- 90 peacekeeping-themed stories generated and posted on iSeek and DPKO/DFS Intranet

**Office of the Chief of Staff**

- Issuance of guidelines and templates for performance compacts for all heads of mission and their deputies
- Implementation of field information management programmes in 5 missions, including a recommended information management programme, organizational information management guidance, the peacekeeping recordkeeping toolkit, the peacekeeping file classification scheme and peacekeeping operations retention schedules
- Issuance of field information jumpstart kit with information management tools and resources, including an information management governance model, Intranet template, information sensitivity toolkit, peacekeepers glossary and the e-Research package
- 20 inputs on the peacekeeping dimension of security in all policies and procedures developed by the Inter-Agency Security Management Network
- Development of standardized security and safety threat and risk assessment and risk mitigation methodology (force protection) for United Nations civilian security, military and police components for peacekeeping operations and UNLB, in coordination with the Department of Safety and Security
- Implementation of DPKO/DFS field safety policy and generic programme in 14 field operations, UNLB and all support sites
- Development of Headquarters organizational resilience concept and departmental organizational resilience plan for DPKO and DFS
- 10 visits to key troop- and police-contributing countries and other Member States to develop strategic partnerships and build common approaches to support peacekeeping

**Situation Centre**

- Operations 24 hours a day, 7 days a week, as the information hub for peacekeeping operations, and monitoring and reporting on developments in DPKO/DFS operations and other areas of interest
- 6 visits to field operations to review progress and provide direction to Chiefs of Joint Operations Centres and Joint Mission Analysis Centres on issues related to the implementation of relevant policies and guidelines

- Activated DPKO/DFS crisis response mechanism in response to all crises in 14 field operations
- Monthly reports on topical issues affecting the current situation and/or possible developments in ongoing and potential DPKO/DFS operations and related areas of interest

*External factors*

Member States will provide the necessary political support and ability to implement mission mandates, and peacekeeping partners will provide the necessary support

**(b) Human resources requirements**

Category	Approved support account posts 2009/10	Redeployment, reassignment, reclassification	General temporary assistance conversions	Additional new posts requested	Total proposed 2010/11	Change
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	1	—	—	—	1	—
D-1	2	—	—	—	2	—
P-5	5	—	—	—	5	—
P-4	9	—	—	2	11	2
P-3	20	1	—	1	22	2
P-2/P-1	4	(1)	—	1	4	—
<b>Subtotal</b>	<b>41</b>	<b>—</b>	<b>—</b>	<b>4</b>	<b>45</b>	<b>4</b>
<b>General Service and other</b>						
Principal level	2	—	—	—	2	—
Other level	23	—	—	2	25	2
<b>Subtotal</b>	<b>25</b>	<b>—</b>	<b>—</b>	<b>2</b>	<b>27</b>	<b>2</b>
<b>Total</b>	<b>66</b>	<b>—</b>	<b>—</b>	<b>6</b>	<b>72</b>	<b>6</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	9 142.2	9 707.3	10 295.0	587.7	6.1
II. Non-post resources					
General temporary assistance	324.7	254.0	478.1	224.1	88.2
Consultants	109.4	—	—	—	—
Official travel	446.8	535.3	800.8	265.5	49.6
Facilities and infrastructure	500.5	623.3	664.7	41.4	6.6



Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
Communications	2 499.9	1 275.7	1 323.0	47.3	3.7
Information technology	10 674.4	2 427.2	2 443.0	15.8	0.7
Other supplies, services and equipment	245.9	189.0	271.1	82.1	43.4
<b>Subtotal II</b>	<b>14 801.6</b>	<b>5 304.5</b>	<b>5 980.7</b>	<b>676.2</b>	<b>12.7</b>
<b>Total</b>	<b>23 943.8</b>	<b>15 011.8</b>	<b>16 275.7</b>	<b>1 263.9</b>	<b>8.4</b>

**(d) Justification of posts**

**Front office/Office of the Chief of Staff**

51. The staffing establishment of the Office of the Chief of Staff currently includes 13 posts funded from the support account as follows: 1 Chief of Staff (D-2); 1 Senior Programme Officer (P-5); 3 Information Management Officers (1 P-4 and 2 P-3); 2 Administrative Officers (P-3); 2 Administrative Assistants (General Service (Other level)); 2 Information Management Assistants (General Service (Other level)); and 2 Correspondence Assistants (General Service (Other level)).

*Redeployment of 1 post (P-5 Senior Security Coordination Officer) from the Situation Centre to the Office of the Chief of Staff*

52. The post of Senior Security Coordination Officer, currently approved in the Situation Centre, serves as the DPKO and DFS focal point for safety and security, including security/force protection, and interfaces among civilian security and military and police components; advises, through the Chief of Staff, the Under-Secretaries-General for Peacekeeping Operations and Field Support on safety and security policy; represents DPKO and DFS in the Inter-Agency Security Management Network and its Steering Group; serves as alternate for the Chief of Staff in the Crisis Operations Group; serves as the DPKO and DFS focal point for organizational resilience/emergency preparedness planning focused on Headquarters and the field; serves as the DPKO and DFS focal point for field safety policy and programme development focused on the field; liaises with the Department of Safety and Security and security focal points of other departments and United Nations agencies; and supervises the management of the security occupational group. Given the core functions of the post and the wide dissimilarity of those functions to those of the Situation Centre, it is proposed that the Focal Point for Security report directly to the Under-Secretary-General for Peacekeeping Operations, through the Chief of Staff.

53. Redeployment of the post would shorten the line of communication to the two Under-Secretaries-General, thus enhancing the timeliness of security advice. It would better enable the Chief of Staff to monitor developments in the evolving areas of civilian, security, military and police threat/risk assessment and risk mitigation/force protection and the areas of organizational resilience continuity and field safety. This redeployment would remove functions that are not core to the Situation Centre, thus enhancing its day-to-day activities. Furthermore, field safety and security is considered as a shared resource of both DPKO and DFS. Under this

approach, the incumbent of the post would represent the security and safety interests of both departments.

*Field Safety Officer (1 P-4, new)*

*Administrative Assistant (1 GS (OL), new)*

54. Field safety is a cross-disciplinary area concerned with protecting the safety and welfare of mission civilian, military and police personnel as they engage in their work. The goal of field safety is to foster a safe work environment. Field safety management organizes efforts and procedures to identify workplace hazards and coordinate with responsible areas to ensure that mutually reinforcing policies and equipment are in place in order to reduce accidents and exposure of personnel to harmful situations. Hazards include, but are not limited to: mechanical hazards (e.g., collisions, falls, slips/trips, entanglements, equipment-related injuries); physical hazards (e.g., noise, vibration, lighting, radiation, electricity, asphyxiation, cold stress, heat stress); chemical hazards (e.g., related to acid and base heavy metals); exposure to lead solvents and particulates (e.g., asbestos); exposure to fumes and highly reactive chemicals; fires, conflagrations and explosions; biological hazards (e.g., bacteria, viruses, fungi, blood-borne pathogens, tuberculosis); psychosocial hazards (e.g., stress, violence, sexual harassment); and musculoskeletal disorders resulting from bad ergonomic design. Field safety also includes the training of personnel in accident prevention, accident response, emergency preparedness and the use of protective clothing and equipment. As a cross-disciplinary area, field safety involves coordination with senior and line management and mission units dealing with engineering, supplies, contingent-owned equipment, air and surface transport and movement control, aviation safety, human resources, information technology, fire prevention and mitigation, security, and military and police components.

55. To date, the approach to field safety has been ad hoc, unclear and not sustained over time. DPKO and DFS require a comprehensive field safety policy and programme in order to reduce and prevent workplace fatalities, injuries and illnesses among the approximate 120,000 civilian, military and police personnel serving in DPKO or DFS-directed field operations. Currently, comprehensive data on workplace injuries and illnesses does not exist, which hampers the taking of corrective and proactive action that is based on sound situation analysis. However, for illustrative purposes, credible data from UNMIL for a one-year period from July 2008 to June 2009 shows that 79 workplace-related injuries (not including fatalities) that were reported involved primarily national staff and contractors. When this single mission datum is seen in the context of all field operations, it is prudent to conclude that a significant field safety problem exists.

56. Accordingly, it is proposed that one post of Field Safety Officer be established at the P-4 level. The incumbent of the post would develop a comprehensive DPKO/DFS field safety policy and a generic field safety programme template. He or she would offer continual guidance on safety issues and policy both to field operations and the various entities responsible for the delivery of support in the areas mentioned above to ensure unity and integration of effort; work with relevant Headquarters and mission staff, Member States (in particular troop- and police-contributing countries) and safety specialists of external organizations to clarify multi-hazard safety standards and guidance for implementation in missions; develop

a generic field safety reporting and incident database for use by field operations and Headquarters in monitoring global safety and to support senior management and troop- and police-contributing countries in their awareness and decision-making; and keep Member States informed on fire safety as it affects personnel from troop- and police-contributing countries.

57. The proposed programme does not overlap with the objectives of existing and viable DPKO/DFS safety programmes within specific areas of work (e.g., aviation and road safety) nor with any DSS safety initiative. The mandate of DSS does not address military and police personnel and to date has addressed only aviation, fire and driving safety, within a limited scope. Furthermore, the programme would not overlap with the responsibilities of the Medical Services Division of the Office of Human Resources Management or the DFS Medical Support Section, as those two organizations focus strictly on occupational health and medicine rather than safety. Workload statistics are not available, as this is a newly proposed programme.

58. It is proposed that a post of Administrative Assistant (General Service (Other level)) be established. Since comprehensive data on workplace injuries and near-misses does not currently exist, which hampers the taking of corrective and proactive action based upon sound situation analysis, the incumbent of the post would support the development of a field safety database through the following tasks: generate and input data on incidents (fatalities, injuries and near-misses) and field safety objectives, indicators and benchmarks to establish a foundation for monitoring and assessing programme progress and performance; produce statistical analyses for decision-making purposes by DPKO/DFS senior management; and continuously maintain/refine the populated database. In addition, he or she will establish a database of lessons identified and provide such information to the Department's Peacekeeping Best Practices Section for distribution to all field operations. The incumbent would also provide general administrative support.

*Programme Officer (1 P-4, new)*

59. OIOS, in its audit of the Secretariat's structure for managing and sustaining peacekeeping operations (A/63/837), recommended that all heads of mission and their deputies complete performance compacts. In response to the agreement of the Secretary-General to that recommendation, as well as the statement made by the President of the Security Council on 22 July 2009 on peacebuilding in the immediate aftermath of conflict (S/PRST/2009/23), which welcomed the Secretary-General's efforts to enhance the authority and accountability of senior United Nations representatives in carrying out their duties and responsibilities, the Office of the Chief of Staff is now required to develop three sets of annual guidance and templates for the compacts of heads of mission and their two deputies (distinct guidance and a separate template are required for the Deputy/Resident Coordinator/Humanitarian Coordinator, given the need to align the performance requirements with the methodologies of the United Nations Development Group and the Office for the Coordination of Humanitarian Affairs), as well as to coordinate the development and review of the heads of mission compacts and performance assessments against those compacts. DPKO currently manages 17 heads and 18 deputy heads of mission. The management of the performance compact process will be more complex and resource-intensive for personnel in the field than for staff at Headquarters owing to the more frequent rotation of mission leadership and their support staff and the complex factors that influence the mandate implementation of

field operations. The Department of Management currently dedicates approximately 5 months of person-hours at the P-5 level to the development of guidance and templates for the compacts of Under-Secretaries-General with the Secretary-General, the compacts of Assistant Secretaries-General with their respective Under-Secretaries-General and the associated performance appraisals, as well as the coordination and technical/methodological review of 29 Under-Secretary-General compacts and performance assessments.

60. In response to other audits of DPKO, DFS and field operations which highlighted the need to strengthen planning, risk management, monitoring and evaluation processes, and, as part of the ongoing efforts of DPKO and DFS to develop policies and procedures in areas of activity where clear guidance and its consistent application is required, the Office of the Chief of Staff has developed a draft policy and guidelines on programme management for DPKO, DFS and field operations. A core element of the policy is the requirement that all organizational units (departments, offices, divisions, services, sections and units) develop comprehensive programme/subprogramme plans, and systematically monitor, evaluate and report against those plans. This requirement will create the need for ongoing technical and methodological assistance and training to be made available to DPKO and DFS subprogrammes, as well as to all DPKO-led operations and the mission support components of other operations and offices, as required.

61. As part of the DPKO restructuring in 2007, the function of a Senior Programme Officer was created in the Office of the Under-Secretary-General, for Peacekeeping Operations, to assist the Chief of Staff in programme management and reform/change management activities, including: leading the development of the DPKO programme plan and coordinating its implementation as well as developing plans for reform initiatives; coordinating the development of all subprogramme plans, including the results-based-budget elements of the DPKO strategic framework, support account budget and regular budget, as well as the performance compacts of the Under-Secretaries-General and Assistant Secretaries-General; and monitoring, evaluating and reporting on the results achieved, or coordinating such activities. The incumbent of the Senior Programme Officer post is also responsible for initiating/coordinating the development of policies, procedures, proposals, position/background papers, reports, guidance, tools and speeches on cross-cutting issues in the areas of management, programme management and reform/change management, and follows up to ensure the effective implementation of the resulting directives and guidelines. In addition, he or she monitors the deliberations of United Nations legislative bodies and supports the Chief of Staff in maintaining contacts with permanent missions and Secretariat departments concerning their contribution to peacekeeping operations and other field operations. In addition, the incumbent provides or coordinates substantive support to consultative and other meetings and conferences.

62. In this context, it is proposed that a post of Programme Officer be established at the P-4 level. In addition to the functions described above, the incumbent of the post would provide methodological assistance to 17 heads of mission and 19 deputy heads of mission for the development of their compacts and performance assessments. He or she would also provide technical and methodological assistance to all subprogrammes (offices, divisions, services, sections and units in DPKO and DFS, as required) for the development, implementation, monitoring and reporting of programme and subprogramme plans, in compliance with the programme

management policy for DPKO, DFS and field operations; develop and update training materials on programme management for DPKO and DFS and field operations; and conduct training sessions on programme management for senior managers and staff with programme management responsibilities at Headquarters, as well as for planners in field operations, as required. Should the funding for this post not be approved, the Office of the Chief of Staff would not have the capacity to support the DPKO/DFS objective to strengthen programme management processes (planning, monitoring, evaluating and reporting) and practices in DPKO, DFS and field operations to improve the delivery of programmes and subprogrammes, in terms of both the efficiency of those processes and the quality of associated deliverables. The Office would also lack the capacity to support the DPKO/DFS and broader organizational objective to strengthen accountability frameworks and mechanisms for institutional and personal accountability, as endorsed by Member States.

### **Executive Office**

*Associate Administrative Officer (1 P-2, new)*

*Administrative Assistant (1 GS (OL), new)*

63. The staff of the Executive Office currently includes 17 posts funded from the support account as follows: human resources team, 1 D-1, 1 P-5, 1 P-4, 2 P-3, 1 General Service (Principal level) and 9 General Service (Other level); and budget/finance and administration team, 1 P-4 and 1 General Service (Other level). The Executive Office is one of the shared resources providing services to the Departments of Peacekeeping Operations and Field Support in budgetary, financial, human resources and administrative support services and is responsible for financial management and performance reporting. In addition, the Executive Office administers the Office of the Special Representative of the Secretary-General for Children and Armed Conflict and the Peacebuilding Support Office. Over the past several budget periods, the expansion and the restructuring of DPKO has led to a tremendous increase in the workload of the Executive Office in tasks related to the budget and financial and human resources, as well as administrative functions, with no parallel or corresponding increase in staff resources. The post of Administrative Officer was established in January 1994 when DPKO had a total staffing complement of 308 posts (54 regular budget and 254 support account posts). The current authorized staffing complement for DPKO and DFS is 920 posts (58 regular budget and 862 support account posts), representing a 200 per cent increase in staff over the past 15 years. With the exception of one Finance Assistant post established in July 2007, no additional posts from the support account have been proposed for the budget/finance and administration team since January 1994.

64. The upward trend of the number of staff and transactions administered by the Executive Office has contributed to the increasing workload of the Administrative Officer, who provides budgetary and financial support to staff members within DPKO and DFS, as set out in the staffing and transactional statistics below. Accordingly, it is proposed that two posts be established, one at the P-2 level and one General Service (Other level). The number of posts is based on the authorized staffing of DPKO and DFS. The statistics do not include general temporary assistance personnel funded under the support account and extrabudgetary resources. Furthermore, 30 per cent of the support account posts are for personnel

on secondment who are rotated on an average period of three years. The recruitment and repatriation process is administered by the Executive Office during the rotation of those seconded personnel.

	2006/07	2007/08	2008/09	2009/10
Number of posts	617	791	859	862
Number of personnel actions	3 609	4 607	5 484	—
Total posts	638	870	969	—
Ratio of staff to administrative assistants	106:1	145:1	162:1	—

65. The following statistics reflect the number of travel authorizations processed in IMIS both prior to the recommendations made by the Panel on United Nations Peace Operations (A/55/305-S/2008/809, known as the Brahimi report (1997-2000) and after the restructuring of DPKO and the establishment of DFS (2006-2009). However, they do not include the amendments made to those documents, which are requested in 80 per cent of cases:

	1997/98	1998/99	1999/2000
Number of travel authorizations	327	358	373
Ratio of travel authorizations to administrative assistants	327:1	358:1	373:1

	2006/07	2007/08	2008/09
Number of travel authorizations	1 136	1 467	1 745
Ratio of travel authorizations to administrative assistants	568:1	734:1	873:1

### Public Affairs Section

*Reclassification of one post (Associate Public Affairs Officer (P-2) to Public Affairs Officer (P-3))*

66. The staffing establishment of the Public Affairs Section currently includes 5 posts funded from the support account as follows: 1 P-5, 1 P-4, 1 P-2 and 2 General Service (Other level). The Section is responsible for media relations, departmental publicity, external relations and corporate messaging/internal communications. In liaison with the integrated operational teams and DPI, the Section also provides technical advice and operational support to public information components in the field operations. DPI, DPKO and DFS collaborate on planning, policy, training and evaluation. Since its establishment in 2007, the scope of the workload and responsibilities of the Section have increased significantly, in particular with the split of DPKO into two departments, two new Assistant Secretaries-General (DFS and the Office of Military Affairs) and the deployment of additional peacekeeping operations. While requirements to support additional senior management and field operations have led to an increase in workload, in particular in media relations activities, the responsibilities require more senior and experienced staff to make decisions and perform functions at higher levels with less supervision.

*Internal Communications Officer (1 P-3, new)*

67. The operational environments of DPKO/DFS are constantly evolving. To meet those changing demands, peacekeeping has launched a series of reform agendas, including the Brahimi report, Peace Operations 2010, the New Horizons initiative and the DFS global field support strategy. The two departments also regularly need to address crises stemming from the volatile environments in which peacekeeping missions operate and natural disasters (e.g., the bombing of UNAMI headquarters in Baghdad and guesthouse in Afghanistan, the abduction of staff in Darfur, attacks on peacekeepers, the earthquake in Haiti). During those periods, the role of internal communications has been critical, as it ensured that staff at Headquarters and in the field clearly understood organizational objectives and priorities, allowing them to perform their functions and operate more effectively, in particular during times of crisis, and drove support for the departments' objectives, promoted transparency and assured compliance with organizational standards, policies and procedures on different aspects of corporate governance, in particular as they relate to peacekeeping and field support. Among the tasks performed, the Public Affairs Section provided daily content to the DPKO/DFS Intranet, which is accessed by staff both at Headquarters and in all peacekeeping operations. Information posted includes daily news clippings and messages from the Under-Secretaries-General for Peacekeeping Operations and Field Support, and an online discussion forum was created in which staff can express their concerns or ideas relating to specific issues. The Section has also identified focal points within all peacekeeping missions to ensure consistency in all internal messages. Most recently, following the devastating earthquake in Haiti, the Section broadcast daily messages from the Under-Secretaries-General for Peacekeeping Operations and Field Support to all staff at Headquarters and the field. In addition to communicating developments related to reform agendas and addressing the daily internal communications needs of the two departments, the Section has the additional responsibility of both coordinating with DPI, the Field Personnel Division, the Office of Rule of Law and Security Institutions and other relevant sections on internal communications issues relating to DPKO/DFS and providing technical and operational support to public information offices in the field. Furthermore, the Section is in the process of establishing rosters of rapidly deployable public information experts through consultation with relevant Member States and media organizations.

68. In the past, the Public Affairs Section has addressed the internal communications needs of the two departments through the temporary redeployment of existing resources. However, given the increasing day-to-day demands on DPKO and DFS and the reality that there will always be a need for effective and rapid responses to crises, it is necessary to establish a permanent capacity within the Section that can effectively develop and implement a unified and systematic internal communications programme rather than addressing issues on an ad hoc basis. In this context, it is proposed that a post of Internal Communications Officer be established at the P-3 level. The creation of the post would allow the departments to determine what information is communicated to staff members to promote transparency and timely information-sharing; ensure that communication is used by the departments and mission leadership to clarify direction, unify the efforts and engagement of staff for mandate programme delivery, keep staff informed of organizational performance and challenges and build a culture of trust within the two departments.

**(e) Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$10 295.0	\$587.7	6.1%

69. The provision of \$10,295,000 would cover salaries, common staff costs and staff assessment for the 66 continuing posts and 6 proposed new posts. The variance is attributable to increased standard costs and the proposed establishment of five new posts, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service posts, respectively, and delayed recruitment factors of 65 per cent and 50 per cent for the proposed new posts in those categories.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$478.1	\$224.1	88.2%

70. The proposed requirements in the amount of \$478,100 would cover the establishment of three new general temporary assistance positions, as described below.

**Front office/Office of the Chief of Staff**

*Field Safety Officer (1 P-4 position, 8 months, new)*

*Organizational Resilience Officer (1 P-4 position, new)*

*Administrative Assistant (1 GS (OL) position, new)*

71. It is proposed that a general temporary assistance position of Field Safety Officer be established at the P-4 level for eight months. The incumbent of the position would support the proposed Field Safety Officer in the development of policy, guidance and templates and, on that basis, would develop four modules and deliver three train-the-trainers field safety courses to 30 field operations personnel. During the development process, further requirements may emerge based on the responsibilities and workload for programme maintenance and revision. The policy, guidance, programme, standards, training and resource-related outputs that would be developed by the incumbent of the proposed general temporary position are fundamental to the development of field operations safety programmes. An effective field safety programme will: reduce and/or prevent workplace-related fatalities, injuries and illnesses, with consequent results of enhanced operational readiness (all mission components); provide economic savings to the Organization through the reduction of lost productivity; and fulfil the duty of the Organization to take care of its personnel.

72. In the DPKO/DFS context, organizational resilience is a cross-cutting area of work that comprises the prevention, mitigation, immediate crisis response, business continuity and recovery associated with natural or man-made disasters that degrade the critical functions of DPKO and DFS at Headquarters and the field operations they support. Over the past several years, a number of important steps have been taken to strengthen the Organization's capacity to rapidly restore its

<sup>1</sup> Resource requirements are expressed in thousands of United States dollars.



communications and information technology capacity in the aftermath of a crisis. In addition, at Headquarters, a number of steps have been taken to lay the policy and structural groundwork for crisis management and emergency preparedness. Examples include planning and preparatory work in the context of response to the influenza A (H1N1) pandemic. Efforts are still lacking, however, to identify critical and essential business processes and staff and ensure that the systems are in place to manage crises (whether they affect Headquarters or a field operation) and to ensure continued command and control and mission-critical operations during and after a crisis.

73. DSS has led the effort to develop an overarching crisis response structure, while the Department of Management has led the effort to develop business continuity plans and programmes. Those efforts provide the chapeau under which DPKO, DFS and all other departments will develop their own crisis response and business continuity plans and programmes. While the Department of Management and DSS have set the overall structure for crisis response and business continuity, they do not engage in the development of plans at the departmental or mission levels. In addition to developing those plans for DPKO and DFS at Headquarters, both departments need to engage with the field operations they support to both oversee the development and integration of field operation and departmental organizational resilience plans and ensure that they comply with and are integrated into broader Secretariat policies and systems. Such plans will need to include resolution of such issues as: contingency chain-of-command; contingency location decisions; identification of critical and essential immediate and medium-term functions and the designation of staff to perform them; identification and establishment of required delegations of decision-making; and appropriate contingency transfer of financial and administrative authorities. The question of required training and accountability mechanisms will also need to be addressed.

74. In this context, it is proposed that a general temporary assistance position of Organizational Resilience Officer be established at the P-4 level. The incumbent of the position would develop organizational resilience plans and programmes, initially in the areas of crisis response and business continuity/recovery, enhance Headquarters continuity of critical functions that support field operations, and guide and assist field operations in their development/review and refinement of mission-specific plans to identify and ensure continuity of mission-critical functions. During 2009, the Front Office focused on Headquarters and field emergency preparedness and business continuity issues, primarily on contingency planning for the influenza A (H1N1) pandemic. Approximately 70 per cent of the workload of a staff member deployed in a temporary position was dedicated to administrative tasks associated with the development and maintenance of lists of critical functions and staff, along with the coordination of associated training and issuance of equipment, at the expense of making progress in substantive contingency planning.

75. It is proposed that a general temporary assistance position of Administrative Assistant (General Service (Other level)) be established. The incumbent of the position would provide required administrative support for organizational resilience activities and maintain and adjust, as required, the existing DPKO/DFS Headquarters continuity database (including critical functions, critical staff, training and status of equipment). With counterparts in field operations, he or she develop, populate and maintain field operation continuity databases (including critical functions, critical staff, training and status of equipment).

**Executive Office**

*Maternity/sick leave (1 P-3 position, 4 months; 1 GS (OL) position, 4 months)*

76. It is proposed that two general temporary assistance positions be established for four months each to replace staff on maternity and long-term sick leave in the Executive Office.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	<b>\$800.8</b>	<b>\$265.5 49.6%</b>

77. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/consultation	571 200	3 consultations with Member States and regional organizations to share information on the development of public information rosters and to solicit recommendations for rapidly deployable public information experts  19 visits to peacekeeping operations to review progress and provide direction to mission leadership on issues related to the implementation of mission mandates  20 outreach activities, such as conferences, exhibits and public briefings, and 3 outreach projects with external partners
Technical support	155 600	Development of Headquarters organizational resilience concept and departmental organizational resilience plan for DPKO and DFS  Implementation of DPKO/DFS field safety policy and generic programme in 14 field operations, UNLB and all support sites  In collaboration with DPI, 4 technical assessment visits  6 visits to field operations to review progress and provide direction to chiefs of Joint Operations Centres/Joint Mission Analysis Centres on issues related to the implementation of relevant policies and guidelines
Seminars/conferences/ workshops	74 000	—
<b>Total</b>	<b>800 800</b>	

78. An amount of \$571,200 is proposed for travel to field operations to undertake the following mission planning/assessment/consultation activities: ongoing staff exchange programme, whereby four staff members from the field serve at Headquarters for a period of three months (\$148,200); political consultations through meetings with and briefings to Member States and regional organizations and representational visits (\$175,200); meetings of the Under-Secretary-General with senior leadership in African peacekeeping missions (\$118,800); consultations with UNMIL on lessons learned from the existing field safety programme and its implementation in five pilot field operations (\$68,500); public information activities

in field operations associated with referendums and elections (\$41,300); joint Situation Centre information-sharing seminar, development of the KREIOS information-sharing portal, as agreed at the Situation Centre/Operations Centre international seminar hosted by the European Union in December 2006. KREIOS serves as a secure method for sharing pertinent information on situational awareness and exchange of information during crises among the international situation centres of the United Nations, UNHCR, WFP, the World Bank, the African Union, the European Union, NATO and the Organization for Security and Cooperation in Europe (\$19,200).

79. An amount of \$155,600 is proposed for travel to undertake the following technical support activities: support the implementation of the revised Joint Mission Analysis Cell policy and guidelines (\$133,200); finalize arrangements with regard to various administrative, human resources and financial issues related to the African Union Peacekeeping Support Team in Addis Ababa; and to assess the service centre in Entebbe, Uganda, as the location from which to deliver support and services to field operations in the region (\$22,400).

80. An amount of \$74,000 is proposed for travel in connection with the following seminars/conferences/workshops: a senior management skills workshop for civilian security, military and police personnel conducted at UNLB (\$18,800); regular meetings of the Inter-Agency Security Management Network to represent DPKO and DFS in this United Nations system-wide security forum (\$31,800); workshop for Joint Mission Analysis Cell staff funded by the Nordic Coordinated Arrangement for Military Peace Support, which requires support from United Nations Headquarters (\$8,600); and heads of mission conference (\$14,800).

81. The variance is attributable primarily to travel in connection with consultations and meetings between the Under-Secretary-General and senior leadership in African missions, the implementation of the field safety programme in five pilot missions and administrative support for personnel on the African Union Peacekeeping Support Team in Addis Ababa, and an assessment of the service centre in Entebbe, Uganda, as the location from which to deliver support and services to field operations in the region.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$664.7	\$41.4	6.6%

82. The proposed amount of \$664,700 would provide for requirements for office supplies that are centrally administered by the Executive Office on behalf of both DPKO (\$233,000) and DFS (\$285,500). The requirements also include the cost for rental of photocopiers in the amount of \$146,200 for DPKO. The variance is attributable to additional requirements related to the proposed new posts and general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$1 323.0	\$47.3	3.7%

83. The estimate of \$1,323,000 would provide for requirements that are centrally administered by the Executive Office on behalf of both DPKO and DFS, for

commercial communications services at the standard rate derived from past expenditure trends in the amounts of \$653,900 (DPKO) and \$657,700 (DFS), as well as for the acquisition of standard communications equipment (telephone sets), in the amounts of \$7,500 (DPKO) and \$3,900 (DFS). The variance is attributable to additional requirements related to the proposed new posts and general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$2 443.0	\$15.8	0.7%

84. The estimate of \$2,443,000 would cover requirements that are centrally administered by the Executive Office on behalf of both DPKO and DFS for the maintenance and repair of information technology equipment based on the standard service level agreement established by OICT, in the amounts of \$993,600 (DPKO) and \$1,008,700 (DFS), as well as the acquisition of standard information technology equipment, which includes new and replacement desktop and laptop computers and network printers in the amounts of \$51,000 (DPKO) and \$389,700 (DFS). All of the items are budgeted in accordance with the most recent estimation guide from OICT.

85. The variance is attributable to additional requirements related to the proposed new posts and general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$271.1	\$82.1	43.4%

86. An amount of \$271,100 is proposed for subscriptions to various magazines, books, journals and periodicals, online external advertising and the printing of results-based-budgeting framework poster kits. The variance is attributable to the increased cost for online subscriptions for the Dag Hammarskjöld Library consortium and an additional subscription for CASE Database to be used by Aviation Safety Section.

## 2. Office of Operations

### (a) Results-based-budgeting framework

87. The mandate of the Office of Operations was established by the General Assembly in its resolution 47/71 and recently extended pursuant to resolution 63/287. The functions of the Office were clarified in the Secretary-General's bulletin on the organization of DPKO of 5 February 2010 (ST/SGB/2010/1).

88. The priorities of the Office of Operations are: to develop overarching integrated strategies and provide strategic direction on cross-cutting, mission-specific and political issues and day-to-day operational support to new and ongoing field operations, including guidance on policy and operational issues; to devise, promote agreement on and implement integrated solutions to the political and operational challenges of field operations and support them vis-à-vis the parties to the conflict and other interested stakeholders; to convey relevant concerns to members of the Security Council, Member States and other relevant partners and vice versa; to lead the integrated mission planning process for new operations and coordinate transitions in existing operations, including consolidation and exit

strategies, through the provision of an overall political, strategic and operational framework; and, through the integrated operational teams, to ensure unity of command and integration of the efforts of DPKO and DFS in the political direction, planning and operational management of missions.

89. The Office comprises four divisions: Africa I; Africa II; Asia and Middle East; and Europe and Latin America. The divisions include a total of seven integrated operational teams.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	1.1 Security Council resolutions incorporate recommendations for establishing potential or a major adjustments to existing peacekeeping operations and support of AMISOM (2008/09: 100 per cent; 2009/10: 100 per cent; 2010/11: 100 per cent)  1.2 100 per cent of reports of the Secretary-General to the Council reflect briefings with troop-contributing countries and Member States as part of the New Horizon requirement

#### *Outputs*

- 45 multidimensional substantive reports of the Secretary-General to the Security Council
- 55 letters from the Secretary-General to the President of the Security Council
- 160 advisory notes for briefings to and engagement with Member States and other peacekeeping partners
- 30 consultations with troop- and police-contributing countries to provide updates on political and operational developments in 13 peacekeeping operations and the United Nations support of AMISOM
- 40 oral briefings to the Security Council on peacekeeping issues, including updates on political and operational developments in 13 peacekeeping operations and support of AMISOM
- 51 weekly briefing notes to the Security Council on developments in 13 peacekeeping operations and support of AMISOM
- Briefings and consultations in response to all requests made by the General Assembly, the permanent missions to the United Nations, United Nations agencies, the Bretton Woods institutions, international and regional governance and security organizations and non-governmental organizations, on peacekeeping issues, including updates on political and operational developments in 13 peacekeeping operations and support of AMISOM

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates	2.1 Security Council time requirements are fulfilled in the establishment new or adjustment to existing peacekeeping operations and support of AMISOM (2008/09: 100 per cent; 2009/10: 100 per cent; 2010/11: 100 per cent)

#### *Outputs*

- A rapidly deployable capacity for political and civil affairs to assist with the start-up of new field operations and existing operations that require specialized support

- Integrated concepts of operations are developed, in line with Security Council mandates, for new field operations and existing peacekeeping operations that require significant adjustments

*Expected accomplishments**Indicators of achievement*

3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Issuance of integrated strategic frameworks for field operations (2008/09: not applicable/not available; 2009/10: 6; 2010/11: 5)

3.2 Planning/implementation of 18 bilateral or multilateral field programmes in collaboration with peacekeeping partners (2008/09: 18; 2009/10: 16; 2010/11: 18)

*Outputs*

- 120 integrated mission task force meetings with agencies, funds and programmes, chaired by DPKO, on joint strategic planning and programming matters for complex multidimensional peacekeeping operations
- 10 integrated strategic assessments of field operations to review and make recommendations on issues such as mission concepts, as well as approaches, challenges or opportunities to mandate implementation
- 30 integrated technical assessment visits to provide overall guidance and assist peacekeeping operations and support of AMISOM on planning and mandate implementation issues
- 2 training modules on the integrated mission planning process for peacekeeping operations and support of AMISOM
- 2 workshops on integrated mission planning for a total of 63 field personnel
- 1 workshop for heads of political affairs components in 13 peacekeeping operations and support of AMISOM to share best practices on the development and implementation of political strategies and to identify priority activities to support the objectives of a renewed partnership with United Nations peacekeeping stakeholders
- 30 consultations in Addis Ababa and the five subregional brigade headquarters of the African Standby Force with 600 senior management and civilian, police and military planning staff, that facilitate the strengthening of the capacity of the African Union to plan, deploy and manage peacekeeping operations and support of AMISOM

*External factors*

Parties to conflicts cooperate and are willing to resolve their disputes peacefully; peacekeeping partners provide the necessary support; and the security environment permits the establishment or continuation of peacekeeping operations and support of AMISOM

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	1	—	—	—	1	—
D-1	3	—	—	—	3	—
P-5	11	—	—	—	11	—
P-4	24	—	—	—	24	—
P-3	14	—	—	—	14	—
P-2/P-1	5	—	—	—	5	—
<b>Subtotal</b>	<b>58</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>58</b>	<b>—</b>
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	20	—	—	—	20	—
<b>Subtotal</b>	<b>20</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>20</b>	<b>—</b>
<b>Total</b>	<b>78</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>78</b>	<b>—</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2008/09)</i>	<i>Apportionment (2009/10)</i>	<i>Cost estimates (2010/11)</i>	<i>Variance</i>	
				<i>Amount</i>	<i>Percentage</i>
	<i>(1)</i>	<i>(2)</i>	<i>(3)</i>	<i>(4)=(3)-(2)</i>	<i>(5)=(4)÷(2)</i>
I. Post resources	11 358.4	11 958.7	12 934.7	976.0	8.2
II. Non-post resources					
General temporary assistance	480.8	234.2	542.7	308.5	131.7
Official travel	1 108.9	1 147.0	1 175.4	28.4	2.5
Other supplies, services and equipment	—	17.0	17.0	—	—
<b>Subtotal II</b>	<b>1 589.7</b>	<b>1 398.2</b>	<b>1 735.1</b>	<b>336.9</b>	<b>24.1</b>
<b>Total</b>	<b>12 948.1</b>	<b>13 356.9</b>	<b>14 669.8</b>	<b>1 312.9</b>	<b>9.8</b>

**(d) Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	<b>\$12 934.7</b>	<b>\$976.0</b>	<b>8.2%</b>

90. The provision of \$12,934,700 would cover salaries, common staff costs and staff assessment for the 78 continuing posts. The variance is attributable to increased standard costs and the continuation of an additional post approved for

2009/10 in respect of which a delayed recruitment factor of 65 per cent (Professional category) was applied.

	<i>Cost estimates</i>	<i>Variance</i>
<b>General temporary assistance</b>	\$542.7	\$308.5 131.7%

91. The proposed requirements in the amount of \$542,700 would cover the continuation of two general temporary assistance positions and the establishment of five positions as set forth below.

### **Africa Division I/African Union Peacekeeping Support Team**

*Coordination Officer (1 P-4 position, continuation)*

*Team Assistant (1 GS (OL) position, continuation)*

92. The Division comprises 27 posts funded from the support account as follows: 1 D-1, 5 P-5, 10 P-4, 4 P-3, 1 P-2 and 6 General Service (Other level), representing a workload distribution of on average three staff per mission. The current staffing establishment of the African Union Peacekeeping Support Team comprises the following posts funded from the support account: 1 P-5 and 1 P-4 at Headquarters and 1 P-5, 3 P-4, 2 P-3 and 2 National General Service staff in Addis Ababa. The scope of the responsibilities and objectives of the African Union Peacekeeping Support Team is more extensive than for other missions and includes delivering technical expertise to the African Union Peace and Security Department in Addis Ababa, providing guidance and assistance on cross-cutting issues, such as doctrine and training, and coordinating, within the United Nations and with other partners, the provision of support to capacity-building for African peacekeeping. In this respect, the focus of the team is on supporting the long-term development of the African peace and security architecture under the peace and security cluster of the 10-Year Capacity-Building Programme for the African Union. There is a need to continue coordination with other departments within the Secretariat on United Nations support to capacity-building for African peacekeeping. The need to liaise/coordinate with the African Union Commission on partners' support to the development of the African peace and security architecture is an increasing priority in the development of a coherent approach.

93. The incumbent of the Coordination Officer position performs specific functions in terms of coordinating short-term operational needs with long-term African Union capacity-building as part of the follow-up to the report of the African Union-United Nations panel on modalities for support for the African Union peacekeeping operations of 31 December 2008 (A/63/666-S/2008/813) and the report of the Secretary-General on support to African Union peacekeeping operations authorized by the United Nations of 18 September 2009 (A/64/359-S/2009/470). Although these functions are ongoing and core in nature, it is proposed, owing to the ongoing restructuring of the United Nations presence in support of the African Union in Addis Ababa, that the two general temporary assistance positions at Headquarters, one at the P-4 level and one General Service (Other level), be continued to serve as the focal point for information-sharing and coordination for implementing the DPKO/DFS strategy in support of African Union peacekeeping operations, and to provide administrative support, respectively. In the absence of those two positions, DPKO would be hampered in the delivery of



effective strategic guidance on support to the African Union capacity-building road map and in the coordination of support for the implementation of the follow-up to the above-mentioned reports.

### **Africa Division II/Somalia Coordination and Planning Team**

*Principal Officer (1 D-1 position, new)*

*Political Affairs Officer (1 P-4 and 1 P-3 positions, new)*

*Military Maritime Officer (1 P-3 position, new)*

*Administrative Assistant (1 GS (OL) position, new)*

94. The Division comprises 15 posts funded from the support account as follows: 1 D-2, 1 D-1, 1 P-5, 4 P-4, 4 P-3, 1 P-2 and 3 General Service (Other level). Pending a decision of the Security Council on the deployment of a peacekeeping operation for Somalia, and given that there is no existing capacity within DPKO to perform the functions described in paragraph 95, it is proposed that the following general temporary positions be established: 1 D-1, 1 P-4, 2 P-3 and 1 General Service (Other level). During the 2009/10 period, these positions are being funded from the budget of support of AMISOM.

95. In performing the functions outlined below, the main achievements expected of this team include maintaining updated contingency plans, which will enable the deployment of a United Nations peacekeeping operation in a timely fashion when the Security Council so decides, development of strategy options that will allow the Secretary-General to provide alternative recommendations to the Security Council, provision of coordinated advice and support in areas of DPKO expertise to the multiple actors and various tracks engaged in Somalia, and substantive contribution to United Nations activities as part of the international efforts to combat piracy off the coast of Somalia. The incumbent of the Principal Officer position would provide senior leadership and coordination to the Somalia Coordination and Planning Team in New York and strategic oversight and management of the United Nations Planning Team in Addis Ababa. The incumbent of the two Political Affairs Officer positions monitor the implementation of the Secretary-General's three-phase approach, update the contingency plans for an anticipated peacekeeping operation in Somalia and provide coordinated advice and support to the African Union and relevant United Nations stakeholders on issues related to the deployment on connection with support of AMISOM and areas of DPKO expertise. The incumbent of the Military Maritime Officer position would act as the focal point for Member States on military naval operations for anti-piracy off the coast of Somalia within the Secretariat anti-piracy coordination mechanism on sea-based counter-piracy issues. An Administrative Assistant would support the team.

96. The functions of the proposed positions are intended to bring together expertise across DPKO and ensure integrated advice on issues related to Somalia. Such advice is pertinent to the African Union in its deployment of AMISOM and to UNPOS in its support of the transitional Federal Government. In view of the Security Council's intention, as indicated in its resolutions 1863 (2009) and 1872 (2009), to deploy a peacekeeping operation to Somalia at the appropriate time, the regular review and updating of the initial contingency plans, in close coordination with the African Union, together with developing alternative options, is also essential. Without these positions, the United Nations would be unable either to

provide professional advice to the Security Council regarding peace operations in Somalia or to fulfil its obligations under resolution 1872 (2009) in respect of support to both AMISOM and to the development of a national security strategy. The absence of the Military Maritime Officer position would adversely affect the United Nations counter-piracy strategy and lead to renewed calls by Member States to re-establish such a post. The importance and complexity of the Somalia portfolio has demonstrated the critical need for a Principal Officer to provide the leadership role and coordination vital to the performance by DPKO of tasks under the relevant Security Council mandates.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$1 175.4	\$28.4 2.5%

97. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessments/ consultation	1 015 100	160 advisory notes for briefings and engagement with Member States and other peacekeeping partners 10 integrated strategic assessments of field operations to review and make recommendations on issues such as mission concepts, as well as approaches, challenges or opportunities to mandate implementation 30 integrated technical assessment visits to provide overall guidance and assist peacekeeping operations and support of AMISOM on planning and mandate implementation issues
Seminars/conferences/workshops	160 300	2 workshops on integrated mission planning for a total of 63 field staff Briefings, in response to all requests by the permanent missions to the United Nations, United Nations agencies, the Bretton Woods institutions, international and regional governance and security organizations and non-governmental organizations, on peacekeeping issues, including updates on political and operational developments in 15 peacekeeping operations and 1 special political mission
<b>Total</b>	<b>1 175 400</b>	

98. An amount of \$1,015,100 is proposed for travel to undertake the following mission planning/assessments/consultation activities: political, military, police and specialist officers in the integrated operational teams to provide peacekeeping operations with strategic guidance on policy matters, backstop missions with Headquarters expertise and participate in reviews and assessments of mandated tasks (\$551,400); the review of operations by the Assistant Secretary-General (\$162,900); political consultations with United Nations, non-United Nations and national stakeholders, the Bretton Woods institutions and international and regional governance and security organizations (\$300,800).

99. An amount of \$160,300 is proposed for travel to attend seminars/conferences/workshops on political and peacekeeping issues organized by academic, think tank and security institutions, intergovernmental and regional organizations,

the Bretton Woods institutions, United Nations entities and non-governmental organizations.

100. The variance is attributable to increased transportation costs.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$17.0	—

101. The provision of \$17,000 is required for maintenance of vehicles and for petrol, oil and lubricants for the African Union Peacekeeping Support Team in Addis Ababa.

### 3. Office of Military Affairs

#### (a) Results-based-budgeting framework

102. The mandate of the Office of Military Affairs was established by the General Assembly in its resolution 61/279 and recently extended in its resolution 63/287.

103. The Office of Military Affairs comprises the Office of the Military Adviser, including the Policy and Doctrine Team and the Assessment Team, the Current Military Operations Service, the Force Generation Service and the Military Planning Service. During the budget period, priority activities will include: maximizing the military capability deployed to operations in critical phases and completing related force deployments as soon as possible; revising and developing contingency plans for a possible new peacekeeping operation in Somalia; and continuing to support, monitor and guide all military components in peacekeeping operations. The Office will also give emphasis to improving dialogue with Member States and regional organizations in order to strengthen partnerships and increase contributions to peacekeeping operations. Current challenges include adapting the military strategic concept of operations and the force requirements, which serve as the foundation for the generation, deployment and employment of military components in peacekeeping operations, to constantly evolving operational requirements.

#### *Expected accomplishments*

1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping

#### *Indicators of achievement*

1.1 Security Council resolutions incorporate 80 per cent of recommendations on military issues in establishing potential or adjusting existing peacekeeping operations (2008/09: not applicable/not available; 2009/10: 80 per cent; 2010/11: 80 per cent)

1.2 70 per cent of troop-contributing countries surveyed provide positive feedback on the consultation mechanism and the process for their involvement in the military planning process for establishing new or adjusting existing peacekeeping operations (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 70 per cent)

#### *Outputs*

- 5 visits to Member States and regional organizations to discuss contributions to peacekeeping operations, robust peacekeeping, protection of civilians and evolving operational requirements

- 13 briefings, requested by the Security Council, with troop-contributing countries to discuss new or anticipated developments, crisis situations and changes of mandate in peacekeeping operations
- 10 strategic analyses and assessment reports on the military aspects of significant operational developments in peacekeeping operations and on evolving conflict areas
- 7 briefings to the Security Council on the military elements of technical assessment reports of peacekeeping operations and support of AMISOM
- Survey with troop-contributing countries on their involvement in military planning for establishing new or adjusting existing operations

*Expected accomplishments**Indicators of achievement*

2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates

2.1 Military plans for new or significantly adjusted peacekeeping operations produced within 7 days of a Security Council resolution (2008/09: not applicable/not available; 2009/10: 7 days; 2010/11: 7 days)

2.2 Issuance of formal requests for troop pledges for new or significantly expanded peacekeeping operations within 5 days of the development of military plans (2008/09: not applicable/not available; 2009/10: 5 days; 2010/11: 5 days)

*Outputs*

- Readily deployable nucleus of military headquarters at United Nations Headquarters for rapid deployment to a new peacekeeping operation
- 8 operational and military advisory visits to troop-contributing countries related to the deployment of troops and materiel to peacekeeping operations

*Expected accomplishments**Indicators of achievement*

3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Implementation by peacekeeping operations of all recommendations in the end-of-assignment reports of heads of military components (2008/09: not applicable/not available; 2009/10: 100 per cent; 2010/11: 100 per cent)

*Outputs*

- 5 visits to peacekeeping operations to provide strategic guidance to senior military leaders, including on issues such as military-related aspects of crisis response, drawdown and reconfiguration of military components, and transitional issues
- Revised military concepts of operations, rules of engagement and force requirements of all existing peacekeeping operations and a concept of operations and force requirements for a possible peacekeeping operation in Somalia
- Assessment of military components of 2 peacekeeping operations
- Updated assessments of threats to all military operations in peacekeeping contexts
- 2010 conference of heads of military components of missions

- 8 predeployment induction sessions and 7 post-appointment briefings for senior military personnel in peacekeeping operations at United Nations Headquarters
- 12 predeployment visits in connection with the continuing deployment and adjustment of peacekeeping missions
- Development of a training module on the civil-military coordination policy for Civil-Military Coordination Officers in peacekeeping operations to support compliance
- Recruitment of 32 Senior Military Officers for 13 peacekeeping operations
- Development of 5 guidelines, including on: (a) the testing of operational readiness of military components and military headquarters of field operations; (b) robust peacekeeping; (c) protection of civilians; (d) implementation by military components of Security Council resolutions on women, peace and security; and (e) capability development of military components in monitoring, surveillance and mobility

*External factors*

Member States will contribute the required military personnel and materiel to peacekeeping operations in a timely manner to effect deployment; parties to conflicts in areas of peacekeeping operations will cooperate with the United Nations

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	1	—	—	—	1	—
D-1	1	—	—	—	1	—
P-5	11	—	—	—	11	—
P-4	87	—	—	—	87	—
P-3	16	—	—	—	16	—
P-2/P-1	—	—	—	—	—	—
<b>Subtotal</b>	<b>116</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>116</b>	<b>—</b>
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	16	—	—	4	20	4
<b>Subtotal</b>	<b>16</b>	<b>—</b>	<b>—</b>	<b>4</b>	<b>20</b>	<b>4</b>
<b>Total</b>	<b>132</b>	<b>—</b>	<b>—</b>	<b>4</b>	<b>136</b>	<b>4</b>

**(c) Financial resource requirements**

(United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	17 892.1	23 665.9	24 532.8	866.9	3.7
II. Non-post resources					
Consultants	—	64.4	72.0	7.6	11.8
Official travel	650.7	945.1	953.3	8.2	0.9
<b>Subtotal II</b>	<b>650.7</b>	<b>1 009.5</b>	<b>1 025.3</b>	<b>15.8</b>	<b>1.6</b>
<b>Total</b>	<b>18 542.8</b>	<b>24 675.4</b>	<b>25 558.1</b>	<b>882.7</b>	<b>3.6</b>

**(d) Justification of posts***Administrative Assistant, Office of the Military Adviser (1 GS (OL), resubmission)**Administrative Assistant, Military Planning Service (1 GS (OL), resubmission)**Administrative Assistant, Force Generation Service (1 GS (OL), new)**Administrative Assistant, Current Military Operations Service (1 GS (OL), resubmission)*

104. The staffing establishment of the Office of Military Affairs includes 116 Professional and 16 General Service (Other level) posts, of which 110 Professional posts are encumbered by seconded military officers funded from the support account as follows: Office of the Military Adviser, 32 Professional and 2 General Service (Other level) posts, a ratio of 1 Team Assistant to 16 Professionals (1 D-2, 1 D-1, 3 P-5, 18 P-4, 9 P-3 and 2 GS (OL)); integrated operational team, 13 Professional posts (5 P-5, 8 P-4); Military Planning Service, 32 Professional and 3 General Service (Other level) posts, a ratio of 1 Team Assistant to 11 Professionals (1 P-5, 28 P-4, 3 P-3 and 3 GS (OL)); Force Generation Service, 21 Professional and 8 General Service (Other level) posts, of which 4 Team Assistants are dedicated to field rotations, a ratio of 1 Team Assistant to 5 Professionals (1 P-5, 16 P-4, 4 P-3 and 8 GS (OL)); Current Military Operations Service, 18 Professional and 3 General Service (Other level) posts, a ratio of 1 Team Assistant to 6 Professionals (1 P-5, 17 P-4 and 3 GS (OL)).

105. The rotation of seconded military officers, who serve an average of three years (one third of the officers rotate every year), creates the need for highly competent administrative assistance to provide support within the budgetary and human resources aspects of each Service. The workload involves orientation of new Officers with the standard United Nations procedures for correspondence, drafting of reports, official travel, and mandatory United Nations training. While the overall staffing plan and vacancy announcement campaigns are prepared by existing Administrative Officers, assistance is required to initiate, process, monitor, review and follow up on actions related to the administration of human resources activities, for example, recruitment (especially in the selection process), performance reviews and separation of staff with preparation of standard evaluation and interview reports,

and arrangement of competency based interview training to ensure that a sufficient number of Officers are ready to participate in interview panels. Service Chiefs are also in need of highly trained administrative assistants for the provision of guidance on budget submissions, the compilation of performance reports, follow-up of implementation of OIOS recommendations, management of staffing tables and tracking of travel funds.

106. Based on the number of Professional staff that need administrative assistance, as demonstrated by the above ratios of support staff to Professional staff, and the high level of administrative support required to mitigate the rotational nature of service of the 110 seconded military officers, it is proposed that four General Service (Other level) posts be established. The additional capacity would provide efficient support in the Office of Military Affairs and would allow the Professional staff who are currently involved in administrative duties owing to a lack of support staff to concentrate on substantive issues.

*Reclassification of three seconded officer posts (1 P-4 Assessments Officer, 1 P-4 Policy and Doctrine Officer and 1 P-4 Planning Officer) to civilian posts*

107. The required three-year average rotation for seconded officers creates a vacuum, and results in the duplication of resources upon every rotation and the loss of institutional knowledge. The resources that are expended during each period and the time lost in recruitment is financially taxing on the Organization. While remaining within the approved post structure, the reclassification to the civilian category of three seconded officers whose positions are funded from the support account would enable the Office to streamline management processes; improve compliance with administrative procedures and staff requirements; introduce and monitor improvements to the planning process in the long term to comply with demands from troop-contributing countries; to maintain institutional knowledge in the Office and develop expertise on detailed analysis of the strategic military and threat situation in current and potential peacekeeping operations; and ensure continuity of policy development projects, as development of policy and procedures is an ongoing function.

**(e) Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$24,532.8	\$866.9	3.7%

108. The provision of \$24,532,800 would cover salaries, common staff costs and staff assessment for the 132 continuing and 4 proposed new posts. The variance is attributable to increased standard costs and the proposed establishment of four new posts, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service category posts, respectively, and a delayed recruitment factor of 50 per cent for the proposed new posts.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Consultants</b>	\$72.0	\$7.6 11.8%

109. An amount of \$72,000 is proposed to engage expertise for two months, including travel, to lead Office of the Military Adviser officers and representatives of one troop-contributing country to perform operational readiness tests of military components in two peacekeeping operations. One test would assess the performance and quality of a select group of branches within a force headquarters in the field and the second would test a select group of military contingents in a peacekeeping operation. In line with concept and policy guidance, the consultant provides the Military Adviser and the Under-Secretary-General for Peacekeeping Operations with an internal operational inspection capacity for operational readiness evaluations that is independent and objective, designed to add value to and prepare for and enhance the performance of national defence forces in the field. Operational readiness tests are military in nature and complement evaluations undertaken by the Policy, Evaluation and Training Division and OIOS. Funds for consultants approved in 2009/10 are being utilized to develop the required guidance material for operational readiness tests. Consequently, the projects in the two periods are closely interlinked.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$953.3	\$8.2 0.9%

110. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/consultation	835 300	Revised military concepts of operations, rules of engagement and force requirements of all existing peacekeeping operations and a concept of operations and force requirements for a possible peacekeeping operation in Somalia  12 predeployment visits in connection with the continuing deployment and adjustment of peacekeeping operations  10 strategic analyses and assessment reports on the military aspects of significant operational developments in peacekeeping operations and on evolving conflict areas
Technical support	118 000	8 operational and military advisory visits to troop-contributing countries related to the deployment of troops and materiel to peacekeeping operations
<b>Total</b>	<b>953 300</b>	

111. An amount of \$835,300 is proposed for travel to undertake the following mission planning/assessment/consultation activities: conduct mission planning and assessments, including strategic guidance for senior military mission leaders; meetings with Force Commanders in various peacekeeping operations to review the overall military concept, discuss inter-mission cooperation issues and assist troop-contributing countries with issues related to the provision of major equipment, self-



sustainment and military personnel issues; and predeployment visits to troop-contributing countries.

112. An amount of \$118,000 is proposed for travel to provide technical support to key troop-contributing countries deploying to a complex peacekeeping operation in order to determine capability gaps in the deploying forces through a formal capability analysis, to identify any operational or mission-specific training required by the troop-contributing countries, and to attend meetings/briefings with senior Government and military officials and military commanders and staff to discuss or provide briefings on complex issues of the concept of operations, the United Nations rules of engagement and force requirements.

#### **4. Office of Rule of Law and Security Institutions**

##### **(a) Results-based-budgeting framework**

113. The mandate of the Office of Rule of Law and Security Institutions was established by the General Assembly in its resolution 61/279. The Office undertakes a broad spectrum of activities to support peacekeeping operations and special political missions that are mandated by the Security Council in order to ensure a coordinated approach to strengthening the rule of law and security institutions. The Office is the designated global United Nations lead entity for police and corrections issues, and leads other system-wide initiatives through inter-agency processes established in the areas of rule of law and justice; disarmament, demobilization and reintegration; mine action; and security sector reform. Priority areas of engagement include: the development of joint field programming and assessments with United Nations and non-United Nations partners; the production of technical guidance and training materials in specialized areas; the development of rapidly deployable police and civilian expert capacities; and the dissemination of information through various media and outreach activities to support the rule of law and security institutions in peacekeeping settings. The Office consists of six organizational units: the Office of the Assistant Secretary-General; the Police Division; the United Nations Mine Action Service; the Criminal Law and Judicial Advisory Service; the Disarmament, Demobilization and Reintegration Section; and the Security Sector Reform Unit.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	<p>1.1 Security Council resolutions specify the police, justice, corrections, security sector reform, disarmament, demobilization and reintegration and mine action activities to be carried out by field operations (2008/09: 100 per cent; 2009/10: 100 per cent; 2010/11: 100 per cent)</p> <p>1.2 Increased contributions (percentage of authorized strength) of seconded police and corrections personnel (2008/09: 75 per cent; 2009/10: 80 per cent; 2010/11: 85 per cent)</p>

##### *Outputs*

- 44 briefings to legislative bodies, Member States, Groups of Friends and police-contributing countries on field operations in the areas of police (18); justice and corrections (6); disarmament, demobilization and reintegration (10) and security sector reform (10)

- Inputs to 18 reports of the Secretary-General and other issuances of the Security Council and legislative bodies, including recommendations on police, justice, corrections, disarmament, demobilization and reintegration, mine action and security sector reform

#### **Office of the Assistant Secretary-General**

- 20 consultations with Member States, intergovernmental bodies and Groups of Friends to advance a common understanding of the partnerships and coordination necessary to deliver on objectives in the area of the rule of law and security institutions

#### **Police Division**

- 30 visits to Member States to increase awareness of all police issues in peacekeeping settings and to increase contributions of police officers to peacekeeping operations
- 15 consultations with police-contributing countries and regional organizations on police doctrine and policy issues, the activities of police personnel, and cross-cutting police and other law enforcement matters in field operations

#### **Mine Action Service**

- Annual report to Member States covering activities in 7 field operations

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates	<p>2.1 Initial operating capacity of the police component of a new field operation established within 60 days, including core headquarters and operational command structures in place and concept of operations completed (2008/09: not applicable/not available; 2009/10: 90 days; 2010/11: 60 days)</p> <p>2.2 Deployment of core rule of law, disarmament, demobilization and reintegration, mine action and security sector reform personnel within 30 days of the adoption of a Security Council resolution (2008/09: not applicable/not available; 2009/10: 45 days; 2010/11: 30 days)</p>

#### *Outputs*

#### **Office of the Assistant Secretary-General**

- 10 consultations with Member States, United Nations departments, agencies, funds and programmes, regional and subregional organizations and specialized institutions on standing civilian capacities, inter-operable rule of law capacities, the provision of resources and the division of labour in the area of the rule of law and security institutions

#### **Police Division**

- 40 visits to Member States to conduct briefings on police recruitment procedures, to conduct tests for individual police officers, and to carry out assessments and inspections of formed police units
- 2 deployments of the standing police capacity to 2 field operations in support of start-up or enhanced mandate implementation

### **Criminal Law and Judicial Advisory Section**

- Establishment of an initial rapidly deployable justice and corrections capacity to assist with the start-up of new field operations and implementation of new Security Council mandates

### **Disarmament, Demobilization and Reintegration Section**

- 6 mission-specific recruitment outreach exercises for critical disarmament, demobilization and reintegration posts

### **Mine Action Service**

- 2 assessments of mine action components in 2 new or reconfigured peacekeeping operations
- 2 updates of the roster of mine action experts

### **Security Sector Reform Unit**

- Deployment of individual experts from the United Nations roster of senior security sector reform experts to 2 new or adjusted field operations or in response to direct requests for security sector reform support from national authorities

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 National authorities endorse proposals to strengthen the rule of law and security institutions, resulting from the United Nations Rule of Law Indicators assessment in peacekeeping operations (2008/09: not applicable/not available; 2009/10: 2 proposals; 2010/11: 3 proposals)</p> <p>3.2 Integrated plans for police, justice, corrections, disarmament, demobilization and reintegration, security sector reform and mine action components issued for 3 peacekeeping operations (2008/09: not applicable/not available; 2009/10: 1; 2010/11: 3)</p> <p>3.3 Increase in the speed of processing mine action financial transactions in peacekeeping operations (2008/09: not applicable/not available; 2009/10: 10 per cent; 2010/11: 20 per cent)</p>

### *Outputs*

- 5 annual conferences to provide guidance, exchange information and share best practices among heads of field components in the areas of the rule of law and security institutions

### **Office of the Assistant Secretary-General**

- 1 toolkit on subprogramme strategic and operational planning for all rule of law and security institution components in peacekeeping operations and special political missions

- 1 workshop with Deputy Special Representatives of the Secretary-General responsible for rule of law and security institutions and field partners, such as DPA, UNDP, the United Nations Office on Drugs and Crime and the Office of the United Nations High Commissioner for Human Rights, to review strategic objectives, enhance coordination and ensure clarity on the roles and responsibilities of each entity engaged in early peacebuilding initiatives in peacekeeping settings

#### **Police Division**

- Initial selection, deployment, rotation and extension of 15,000 United Nations police officers, including those in formed police units, in all field operations with a police component
- 2 guidance materials for national authorities on police management and administration and police reform and restructuring, and 1 set of guidelines on auditing and inspecting United Nations police components
- 5 concepts of operations and standard operating procedures for police components in 5 peacekeeping operations (MONUC, UNFICYP, UNMIK, UNMIL, UNMIT)
- 9 visits to peacekeeping operations and special political missions (MINURCAT, MINUSTAH, MONUC, UNAMID, UNFICYP, UNMIL, UNMIS, UNMIT, UNOCI) to give strategic and technical advice and assistance

#### **Criminal Law and Judicial Advisory Section**

- 16 visits to peacekeeping operations (8 for justice and 8 for corrections) to undertake lessons learned studies on rule of law aspects of peacekeeping operations and to advise national authorities on rule of law procedures
- 4 guidance materials and training tools for justice and corrections personnel on supporting national justice and corrections systems in post-conflict environments
- 2 training sessions on corrections (for 50 corrections officers) and justice components (for 32 judicial officers)
- Technical inputs into 10 policies, procedures, training materials and reports of the United Nations on rule of law-related issues

#### **Disarmament, Demobilization and Reintegration Section**

- 1 standard operating procedure, 1 lessons learned study and/or 1 set of guidelines on key operational aspects of disarmament, demobilization and reintegration in support of disarmament, demobilization and reintegration components in 8 field operations
- 6 visits to peacekeeping operations to provide subject matter expert advice in the area of disarmament, demobilization and reintegration or to undertake assessments and evaluations
- 2 joint inter-agency assessment missions to review the implementation of integrated disarmament, demobilization and reintegration standards in 2 field operations
- Development of 2 guidance modules on disarmament, demobilization and reintegration thematic or operational areas with 16 other members of the Inter-Agency Working Group on Disarmament, Demobilization and Reintegration

### Mine Action Service

- 7 visits to peacekeeping operations and special political missions to assess, advise on and assist with the implementation of mine action programmes
- 7 mine action financial agreements in support of MINURCAT, MINURSO, MONUC, UNAMID, UNIFIL, UNMIS and support of AMISOM

### Security Sector Reform Unit

- 5 visits to and 2 technical assessments of field operations to assess implementation of security sector reform mandates and review programmes (MONUC, UNMIL, UNMIS, UNMIT, UNOCI)
- Training of 60 officers in 3 peacekeeping operations in approaches to security sector reform and related standards
- 2 technical guidance materials on national security sector reform ownership and national security strategies

#### External factors

National systems and mechanisms are in place to provide qualified, seconded police and corrections officers within the timelines set; and United Nations partners will coordinate, collaborate and provide the necessary support for activities related to the rule of law and security institutions through inter-agency processes

### (b) Human resources requirements

Category	Approved support account posts 2009/10	Redeployment, reassignment, reclassification	General temporary assistance conversions	Additional new posts requested	Total proposed 2010/11	Change
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	2	—	—	—	2	—
P-5	9	—	—	1	10	1
P-4	44	—	—	2	46	2
P-3	24	—	—	3	27	3
P-2/P-1	—	—	—	—	—	—
<b>Subtotal</b>	<b>79</b>	<b>—</b>	<b>—</b>	<b>6</b>	<b>85</b>	<b>6</b>
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	17	—	—	3	20	3
<b>Subtotal</b>	<b>17</b>	<b>—</b>	<b>—</b>	<b>3</b>	<b>20</b>	<b>3</b>
<b>Total</b>	<b>96</b>	<b>—</b>	<b>—</b>	<b>9</b>	<b>105</b>	<b>9</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	17 651.9	14 253.4	17 357.6	3 104.2	21.8
II. Non-post resources					
General temporary assistance	126.2	136.4	172.0	35.6	26.1
Consultants	—	750.0	162.8	(587.2)	(78.3)
Official travel	1 062.1	1 248.7	1 391.5	142.8	11.4
Other supplies, services and equipment	—	—	31.2	31.2	—
<b>Subtotal II</b>	<b>1 188.3</b>	<b>2 135.1</b>	<b>1 757.5</b>	<b>(377.6)</b>	<b>(17.7)</b>
<b>Total, I and II</b>	<b>18 840.2</b>	<b>16 388.5</b>	<b>19 115.1</b>	<b>2 726.6</b>	<b>16.6</b>

**(d) Justification of posts**

114. Enhancing security and strengthening the rule of law are core elements of United Nations peacekeeping and are essential to lasting peace. It is widely recognized that this effort requires police, justice and corrections expertise, the establishment and management of disarmament, demobilization and reintegration programmes, reform of security sector institutions and humanitarian mine action in the immediate post-conflict setting. The approach to critical early peacebuilding tasks must be comprehensive. Alternatively, the achievements in one area could be jeopardized owing to a lack of sustained attention and resources dedicated to other priority tasks. Weak justice systems and poorly managed or inhumane prisons will undermine policing initiatives and threaten overall stability in the post-conflict setting. Thus, virtually all new DPKO-led peace operations established since 1999 have been mandated to support host country authorities in strengthening the rule of law, including through support to their justice and/or prison systems. DPKO is proposing a three-year phased approach to meeting its resource requirements in the areas of policing, justice and corrections.

**Disarmament, Demobilization and Reintegration Section***Programme Officer (1 P-3, new)*

115. The Disarmament, Demobilization and Reintegration Section comprises 6 posts funded from the support account as follows: 1 P-5, 2 P-4, 2 P-3 and 1 General Service (Other level). The Chief oversees and manages the work of the Section, sets the priorities of the Section and supervises the staff. The four Policy and Planning Officers serve as desk officers, each backstopping a minimum of two peacekeeping operations with disarmament, demobilization and reintegration mandates (7 disarmament, demobilization and reintegration programmes in 6 peacekeeping operations and 2 programmes in the Democratic Republic of the Congo): MINUSTAH, MONUC (both the disarmament, demobilization and reintegration and disarmament, demobilization, repatriation, resettlement or reintegration programmes), UNAMID, UNMIL, UNMIS, UNOCI and take part in

contingency planning for disarmament, demobilization and reintegration operations in possible peacekeeping operations, serve as focal points in developing new guidance materials, lead research efforts to support the work of the disarmament, demobilization and reintegration components in the field, provide advice and guidance on policy and their programmes, assist in identifying suitable candidates for recruitment, assist with the budgetary processes, liaise with Member States and partner organizations (most notably UNDP) to ensure a coordinated approach (e.g., clear division of labour and mobilization of joint resources) to the multifaceted disarmament, demobilization and reintegration process. The Administrative Assistant provides administrative support to the Section, including setting up meetings, teleconferences/videoteleconferences, filing and processing travel documents.

116. There is currently no capacity to conduct ongoing monitoring and systematic data collection since all existing staff are fully encumbered with daily operational support and guidance development responsibilities. DPKO should establish a standardized monitoring and evaluation system as a systematic practice among all peacekeeping missions with disarmament, demobilization and reintegration mandates to assess impact throughout the programme cycle. In this context, it is proposed that a post at the P-3 level be established for a Programme Officer, the incumbent of which would roll out the new standard operating procedures that are currently under development and would monitor their implementation in all disarmament, demobilization and reintegration components in peacekeeping operations. This is consistent with paragraph 20 of General Assembly resolution 58/269, the Secretary-General's bulletin on Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/2000/8), the DKPO/DFS policy directive on self-evaluation dated 28 May 2008, as well as the compact of the Under-Secretary-General for Peacekeeping Operations with regard to the requirement to establish a self-evaluation capacity. Should the proposed post not be approved, methods of evaluation procedures for disarmament, demobilization and reintegration would not be properly rolled out and implemented in peacekeeping operations. Opportunities to improve disarmament, demobilization and reintegration planning and implementation would be ad hoc and not systematic, as the existing staff are not able to cover aspects of methods of evaluation in addition to their existing workload.

117. The following indicators demonstrate the growth in the Section's workload. Projects currently undertaken include support for disarmament, demobilization and reintegration operations in MINUSTAH, MONUC (both the disarmament, demobilization and reintegration and disarmament, demobilization, repatriation, resettlement or reintegration programmes), UNAMID, UNMIL, UNMIS, UNOCI and BINUB (recognizing that BINUB is now an integrated office). The 2012 figures include the provision of support to disarmament, demobilization and reintegration programmes in Guinea-Bissau (the United Nations Peacebuilding Support Office in Guinea-Bissau), Nepal (UNMIN), the Central African Republic (BINUCA) and United Nations support of AMISOM. Taking into consideration the closure of a very large disarmament, demobilization and reintegration programme in Liberia (the follow-through of which the Section monitors through the UNMIL Civil Affairs Section), figures continue to demonstrate significant growth between 2008 and 2012. The workload of the Section is likely to grow in the coming years, as

disarmament, demobilization and reintegration programmes will continue to play a major role in peacekeeping operations. Therefore, it is proposed to establish a post rather than a general temporary assistance position.

	2008/09	2009/10	2011/12
Caseload of ex-combatants	244 995	580 097	660 602
Number of disarmament, demobilization and reintegration staff	223	464	521
Assessed contributions (in United States dollars)	19 670 000	19 040 200	60 585 000
Overall budget <sup>a</sup> (in United States dollars)	244 995 000	580 097 000	660 602 000

<sup>a</sup> As the overall budget for these operations is particularly complex to calculate, and owing to various factors, such as the availability of funds being dependent on voluntary contributions, the global average of \$1,000 per ex-combatant was utilized.

### **Criminal Law and Judicial Advisory Service**

*Senior Policy Officer (1 P-5, new)*

*Judicial Officer (Islamic Law) (1 P-4, new)*

*Corrections Officer (Force Generation) (1 P-3, new)*

118. The staffing establishment of the Criminal Law and Judicial Advisory Service consists of 12 posts funded from the support account as follows: 1 Director (D-1), 1 Deputy Chief of Service (P-5), 3 Judicial Officers (P-4), 1 seconded Corrections Officer (P-4), 2 Corrections Policy Officers (P-4), 1 Corrections Policy Officer (P-3), 1 Judicial Officer (P-3), 1 Assistant to the Director (General Service (Other level)), and Team Assistant (General Service (Other level)). The Service's workload is distributed among three teams as follows: the Policy Cell (1 officer), the Justice Team (4 officers) and the Corrections Team (4 officers). Each Officer is assigned three or four missions. This structure separates desk officer functions from guidance and training development; however, notwithstanding this structural separation of functions, almost all of the officers in the Service are required to support multiple missions and are responsible for the development of major guidance materials. The workload distribution leads to serious delays in the development of guidance materials and results in field components receiving insufficient attention and support. This has had a direct impact on the effectiveness and efficiency of peacekeeping operations. For example, while the Service is called upon to review the work of its mission components on an annual basis, its first ever visit to Darfur took place in December 2009. Similarly, the first visit to Kosovo by a member of the Justice Team, and the second ever visit by a member of the Corrections Team, occurred in May 2009. Several other important guidance initiatives have been seriously delayed, sometimes for years. The table below indicates the gap in capacity under current staffing levels.



<i>Required activity</i>	<i>Required annually</i>	<i>2008/09 actual</i>	<i>Capacity gap</i>
Develop or revise guidance/training materials	6	0	6
Organize and deliver training programmes	6	1	5
Facilitate the DPKO Rule of Law Community of Practice (200 new documents added/24 consolidated responses/130 notifications/12 newsletters)	200/24/130/12	200/6/40/0	0/18/90/12
Provide technical advice and comments on guidance/policy initiatives (developed by others)	12	8	4
Provide regular updates to mission components	12	1	11

119. No new guidance products could be developed during the 2007/08 budget period (although two products from the prior budget year were printed and distributed to the field). During the 2008/09 budget period, while work on several current initiatives continued and work on several new commenced, no policy, guidance or training materials could be completed. During the current period, it is anticipated that three or four products will be released, although after significant delay. Furthermore, a donor-funded project for the development of professional working tools, including a programme review of methodology and an operational policy to guide the work of justice components in peace operations, were delayed for several years owing to the lack of staff capacity. To address this problem, the Service developed a small policy cell, staffed by one Judicial Officer, to expedite the production, review and dissemination of policy, guidance and training materials. The incumbent of the existing officer post serves as focal point for only one mission, freeing the officer's time to engage in the guidance work. This has improved the Service's ability to finalize guidance materials, including the working tools on justice policy referred to above. Nonetheless, this solution was the first step in addressing the current demands.

120. In this context, it is proposed that a post of Senior Policy Officer be established at the P-5 level. The incumbent of the post would develop and update policy, guidance and training materials for justice and corrections and would decide, in conjunction with the Director of the Service, on the context of important guidance documents. He or she would engage with other offices, departments and agencies on documents related to the rule of law, including the development of papers for the policy committee, thematic reports of the Secretary-General and other important guidance materials, and would supervise the policy cell, as well as officers in the Justice Team and Corrections Team when they are engaged in the development of lessons learned, policy, guidance or training materials. Since many justice and corrections programmes will continue to play major roles in peacekeeping operations, the current growth in workload will continue.

121. The Service's Corrections Team supports up to 275 corrections officers in nine DPKO-led missions (MINURCAT, MINUSTAH, MONUC, UNAMID, UNOCI, UNMIL, UNMIS, UNMIT, UNAMA). This figure includes up to an additional 100 seconded corrections officers authorized for Haiti within the enhanced police strength following the earthquake on 12 January 2010. In addition to other support functions, the Corrections Team interacts with Member States that provide seconded corrections officers to peacekeeping operations (corrections contributing countries); solicits offers of secondment; screens, interviews, and selects the officers who are

proposed; and otherwise manages the selection and rotation of this category of seconded staff. The Justice Team supports 175 justice officers in 10 DPKO-led missions (MINURCAT, UNOCI, UNAMID, MONUC, MINUSTAH, UNMIK, UNMIL, UNMIS, UNMIT, UNAMA).

122. In this context, it is proposed that one post of Judicial Officer (Islamic Law) be established at the P-4 level and one post of Corrections Officer (Force Generation) at the P-3 level.

### Corrections Team capacity gap

<i>Required activity</i>	<i>Required annually</i>	<i>2008/09 actual</i>	<i>Capacity gap</i>
Technical assessment missions or other visits to peace operations	12	4	8
Mission review analysis reports	9	2	7
Formal communications to peace operations	110	24	86
Organize corrections videoteleconferences	18	1	17
Interview seconded officers	170	95	75
Interview candidates (through panel) <sup>a</sup>	75	0	75
Provide briefings to groups of Member States	10	5	5

<sup>a</sup> This is the predicted requirement once the new talent management system takes effect.

### Justice Team capacity gap

<i>Required activity</i>	<i>Required annually</i>	<i>2008/09 actual</i>	<i>Capacity gap</i>
Technical assessment missions or other visits to peace operations	14	7	7
Mission review analysis reports	10	4	6
Formal communications to peace operations	120	24	96
Organize justice videoteleconferences	20	1	19
Interview candidates (through panel) <sup>a</sup>	200	30	170
Provide briefings to groups of Member States	10	3	7
Organize meetings with individual Member States	52	12	40

<sup>a</sup> This is the predicted requirement once the new talent management system takes effect.

123. The Office of Rule of Law and Security Institutions envisages a phased growth plan under the support account to ensure manageable expansion and integration of new staff members. The Criminal Law and Judicial Advisory Service has enhanced its managerial capacity with the addition of a post at the D-1 level, as approved in the context of the 2009/10 budget. The proposed resources for the 2010/11 period would improve the capacity of DPKO to engage with Member States and quickly select and deploy seconded officers to the field. The incumbent of the post of Senior Officer (P-5) would manage the Policy Cell and Corrections Team, which involve complex functions requiring managerial skills and in-depth technical knowledge of the respective areas. The establishment of a post of Judicial Officer (P-4) with

expertise in Islamic Law would reflect the strategic importance of this area in many peacekeeping settings (e.g., UNAMID, UNMIS, UNAMA, support of AMISOM). It is also proposed to establish a post of Corrections Officer (P-3) for force generation. While keeping the staffing establishment and workload under constant review during 2010/11, it is envisaged that additional resources will be proposed in subsequent budget cycles to further strengthen the Criminal Law and Justice Advisory Service.

### **Police Division**

124. The staffing establishment of the Police Division comprises 62 posts funded from the support account as follows: Office of the Police Adviser, 1 D-1, 4 P-4, 1 P-3, 2 General Service (Other level); integrated operational team, 3 P-5, 7 P-4; Strategic Policy and Development Section, 1 P-5, 9 P-4, 2 P-3, 3 General Service (Other level); and Mission Management and Support Section, 2 P-5, 12 P-4, 11 P-3, 4 General Service (Other level).

125. The changing nature and exponential growth of peacekeeping in general, and its policing aspects in particular, have generated frequent requests that the management of United Nations police operations be kept under clear strategic review, including by the 2000 Panel on United Nations Peace Operations and in the 2008 reports of the Special Committee on Peacekeeping Operations and OIOS. The comprehensive analysis of the Police Division (December 2008) identified gaps that compromise its abilities to meet today's peacekeeping challenges, and advanced a set of recommendations to enhance the impact of the United Nations in the area of policing. The review noted that the Division has struggled to achieve the timely and effective selection and recruitment of police, and that the policy guidance available to police officers in the field was based on traditional paradigms with little direction on how to implement their interim law enforcement or police reform mandates. To accomplish these multifaceted tasks, it is essential to provide a coherent strategic planning framework that clearly articulates the scope of resource requirements, coordination modalities and benchmarks. The demands on policing will continue to grow in the upcoming years, as the role of police in bridging security gaps and preventing failed States from becoming breeding grounds for spoilers of peace and stability has become a key feature of peacekeeping operations today. There is no indication that the demand for United Nations policing will diminish.

### **Strategic Policy and Development Section**

#### *Criminal Information Analysis Officer (1 P-4 post, new)*

126. Police activities in peacekeeping today have grown beyond simple monitoring to include interim law enforcement, security support to national police and other law enforcement agencies and aspects of capacity-building. The global trend in policing is moving towards intelligence-led policing, for which it is essential that the United Nations adopt a model and managerial philosophy in which data analysis and criminal intelligence are pivotal to achieving objectives within the decision-making framework. The traditional approach of the Police Division to policing has been reactive in nature, responding to immediate crises without the necessary analysis of available information and data or comprehensive situational analysis. Every police component in the field creates daily, weekly and biannual reports; however, there is no practice to sufficiently analyse the information available from those reports, let

alone to objectively describe underlying trends and forecast challenges ahead. A total of 6,205 daily situation reports, 816 weekly reports and 6 end-of-mission reports were received in 2009 by Police Commissioners. Those reports generate large volumes of information which provides a valuable basis for any transition, drawdown plan or new course of action and for setting up frameworks for the police components of peacekeeping missions. They also provide information on what can be done to prevent any problematic incidents that could derail ongoing operations.

127. The core functions of the Strategic Policy and Development Section include the development and review of all technical guidelines, standards, directives and standard operating procedures for the police components of DPKO-led operations and DPA-led missions to facilitate the implementation of their respective mandates. There is currently no dedicated resource in the Section to handle the tasks of analysis of police and other law enforcement-related criminal information and the related reports that are received from the police components of field operations (both DPKO-led and DPA-led) and other sources. Existing staff are undertaking this responsibility on an ad hoc basis, which does not meet the minimum level of requirements and is suffering from a lack of consistency. Current police planning and policy development is critically lacking a substantive information analysis component. The absence of a Criminal Information Analysis Officer in the Police Division limits the capacity to systematically project and implement best practices and lessons learned, and creates the risk that costly mistakes will be repeated. In addition, police-specific concerns run the risk of being inadequately reflected and incorporated into DPKO-wide policy and programme initiatives, despite the growing role of police in peacekeeping operations.

128. In this context, it is proposed that one post of Criminal Information Analysis Officer be established at the P-4 level. The incumbent of the post would strengthen and support efforts to use intelligence-led policing as a fundamental basis for the Division's management philosophy so as to develop effective and efficient operational plans and optimize resource distributions of the police missions.

129. The following key growth indicators further demonstrate the need for additional capacity-building at Headquarters. There has been a 14 per cent growth in the total number of individual police officers deployed in field operations, from approximately 11,254 officers in 2008 to over 12,867 in 2010; deployments of formed police units are projected to increase from 34 in 2008 to over 67 in 2010, and the number of police-contributing countries is expected to grow from the current 100 to more than 110 by 2012, which the Police Division supports in various areas, including recruitment, training and the development of guidance. In addition, owing to the "global lead" status in the United Nations system since 2006 and the increase in field operations, the number of requests for advice and assistance received by the Police Division has grown, including from DPA, UNDP, the United Nations Office on Drugs and Crime and others, including non-United Nations entities, such as the International Criminal Police Organization.

**Workload indicators for the Police Division (key undertakings)**

	<i>Task</i>	<i>2008/09</i>	<i>2009/10</i>	<i>2010/11</i>
Office of the Police Adviser	Guidance and support (number of field operations)	17	21	30
	Briefings to Member States	55	62	85
Mission Management and Support Section	Police generation (number of personnel)	17 000	15 085	16 007
	Selection tests	14	23	40
	Recruitment (number of personnel)	11 254	12 794	12 867
	Formed police units	34	56	67
Strategic Police Development Section	Technical assessments	4	8	12
	Strategic guidance and advice (number of code cables)	24	32	45
	Inputs to police and other peacekeeping doctrine development processes	7	9	14
	Research, development and outreach activities	34	46	95

**Office of the Police Adviser***Administrative Assistant (1 GS (OL), new)*

130. In the Office of the Police Adviser, the ratio of Administrative Assistants to Professional staff is 1:3. Therefore, it is proposed that a post of Administrative Assistant (General Service (Other level)) be established to support the functions of the front office in the areas of inspection and audit functions, legal and conceptual backstopping to all the legal and policy documents pertaining to police and peacekeeping and all relevant front office tasks to support the work of all the substantive sections in the Division, update the staff roster, and process leave requests and travel plans for all staff members, all of which functions have increased with the addition of Professional staff members in the Police Division.

**Mission Management and Support Section***Administrative Assistant (2 GS (OL), new)*

131. The Mission Management and Support Section currently has a ratio of Administrative Assistants to Professional staff of 1:6. Therefore, it is proposed that two posts of Administrative Assistant (General Service (Other level)) be established to support the increase in administrative tasks associated with the assessment, deployment and rotation of formed police units. The mandated strength for police in peacekeeping operations is 16,500, with 12,867 personnel currently deployed. Those officers are all seconded, and have to be rotated after a certain specific period in the mission (usually one year, although some countries have the policy to rotate after 6 months). The Police Division conducted 23 selection process exercises in 2009 and tested more than 7,000 officers, 40 per cent of which were selected for mission deployment. In addition, 22 visits to Member States were conducted to evaluate and assess the readiness of formed police units.

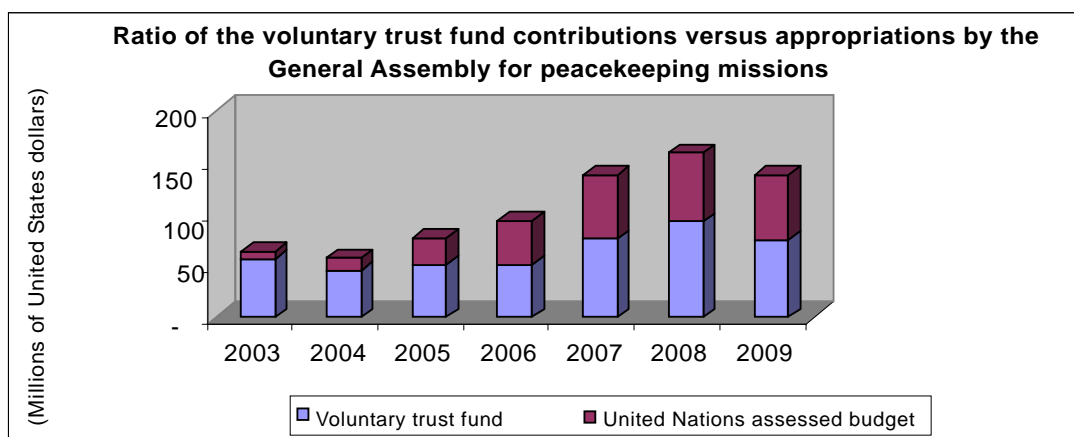
132. While keeping the staffing establishment and workload of the Division under constant review during 2010/11, it is envisaged that additional resources will be proposed in subsequent budget cycles to further strengthen the Police Division.

### Mine Action Service

#### *Finance and Budget Officer (1 P-3, new)*

133. The staffing establishment of the Mine Action Service includes 5 posts funded from the support account as follows: 1 P-4, 3 P-3, and 1 General Service (Other level). Although the Finance Unit manages and oversees the financial resources of six mine action programmes in peacekeeping operations (UNMIS, UNAMID, MONUC, MINURSO, UNIFIL, MINURCAT) and commitments for the logistical support of AMISOM, its staffing capacity is funded from the voluntary contributions fund. The workload of the Unit has increased to the extent that it is affecting the quality of outputs, the timeliness of services provided and the ongoing implementation of various OIOS recommendations, in particular that of delegation of authority for financial management to streamline the processing of instalment payments for mine action projects.

134. The levels of expenditure on mine action activities through both the assessed budget and the voluntary trust fund have risen significantly over the past seven years. Assessed budget resources have increased from \$6.81 million in 2002/03 to \$63.4 million in 2008/09. Voluntary contributions have risen from \$82.5 million in the 2002-2003 biennium to \$167.5 million in the 2008-2009 biennium, as illustrated in the figure below. Peacekeeping missions' expenditures now account for approximately 46 per cent of the Mine Action Service annual budget of \$138.4 million for 2009. Given the increase of 11 per cent from the approved budget of \$74 million for the period of 2009/10 to the proposed budget of \$82 million in 2010/11 and the growth in workload demonstrated in the figure below, it is proposed that a post of Finance and Budget Officer be established at the P-3 level. The incumbent of the post would advise the mine action coordination centres in field operations on the formulation and review of results-based budgeting, budget proposals, performance reports and financial implications, including the interpretation of financial rules and regulations, policies and procedures, and recommendations of legislative bodies.



**(e) Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$17 357.6	\$3 104.2	21.8%

135. The provision of \$17,357,600 would cover salaries, common staff costs and staff assessment for the 96 continuing posts and proposed 9 new posts. The variance is attributable to: (a) increased standard costs; (b) the continuation of additional posts approved for 2009/10 in respect of which delayed recruitment factors of 65 per cent (Professional category) and 50 per cent (General Service category) were applied; (c) the proposed establishment of nine new posts. The computation of requirements for all continuing posts reflects the application of budgeted vacancy rates of 12 per cent and 7 per cent for Professional and General Service posts, respectively, and 65 per cent and 50 per cent for the proposed new Professional and General Service posts, respectively.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$172.0	\$35.6	26.1%

136. The proposed requirements in the amount of \$172,000 would cover the continuation of one general temporary assistance position of Programme Officer in the Security Sector Reform Unit at the P-3 level.

137. The staff of the Unit currently comprises 5 posts funded from the support account, as follows: 1 P-5, 2 P-4, 1 P-3 and 1 General Service (Other level)). Given the significant and increasing demands from peacekeeping operations for support for security sector reform and the limited expertise in the field, the Unit is under extreme strain, and requires additional capacity to provide required thematic and country-specific assistance to the 11 field operations that are currently supporting national security sector reform efforts, as well as directly to national authorities when requested, and to engage in contingency planning for potential peacekeeping operations in close consultation with Member States and other United Nations partners.

138. The Security Sector Reform Unit: provides technical support and advice at the political-strategic level of security sector reform to over 11 peacekeeping and special political missions with security sector reform implications; provides a technical resource on security sector reform for the entire United Nations system and national and international partners; leads in the system-wide development of technical guidance on security sector reform on the basis of lessons learned, in close consultation and collaboration with Member States and the inter-agency task force on security sector reform; provides substantive input in the preparation of position papers and reports for presentation to intergovernmental bodies; leads the development of United Nations partnerships and joint initiatives in the area of security sector reform, including with the African Union and the European Union; contributes to the international debate on security sector reform on the basis of Member State direction, by participating in international meetings, conferences and workshops; and chairs and serves as the Secretariat to the inter-agency task force on security sector reform, established by the Secretary-General in 2007 for inter-agency coordination and capacity-building. The Unit leads in the implementation of the task force's three-year capacity development programme. This programme is based on

the priorities of Member States, including those outlined in the 2008 and 2009 reports of the Special Committee on Peacekeeping Operations and its Working Group (A/62/19 and A/63/19).

139. Therefore, it is proposed that the general temporary assistance position at the P-3 level be continued, since the missions under this position's responsibility will require assistance beyond the end of the current period, and the need for technical guidance is an ongoing priority for Member States and the Department. During the budget period, the Programme Officer will: continue to review and consolidate best practices and lessons learned from over 100 external sources; support the development and finalization of six pieces of system-wide security sector reform guidance; conduct two technical support visits and/or assessment and evaluation missions to provide advice in the area of security sector reform; develop one lessons learned report on security sector reform; provide input on the progress made in security sector reform processes in the reports of the Secretary-General or briefings to the Security Council, senior representatives of various departments, United Nations agencies, funds and programmes, Member States and other entities related to security sector reform; and assist in the preparation of job descriptions, the recruitment of security sector reform experts and the provision of technical clearance for approximately 50 Security Sector Reform Officers at the P-3 level.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Consultants</b>	\$162.8	(\$587.2) (78.3%)

140. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person/month</i>	<i>Amount</i>	<i>Output reference</i>
Mine-action evaluation	4	84 800	2 assessments of mine action components in 2 new or reconfigured peacekeeping operations
Rule of law and security strategy	6	78 000	10 consultations with Member States, United Nations departments, agencies, funds and programmes, regional and subregional organizations and specialized institutes on standing civilian capacities, inter-operable rule of law capacities, the provision of resources and the division of labour in the area of the rule of law and security institutions
<b>Total</b>		<b>162 800</b>	

141. An amount of \$84,800 is proposed to engage expertise for four months, including \$32,500 for travel, to perform an evaluation of the transition process in the Sudan/UNMIS as per mission mandate. This type of evaluation requires an external independent assessment. The evaluation will examine the five pillars of mine action: demining; mine risk education; victim assistance; stockpile destruction; and advocacy and the national/local authorities' capacity in order to manage those aspects from a coordination and regulatory standpoint according to International Mine Action standards. The evaluations will focus on the 9-month transition



planning process carried out in Sudan in 2008 and the implementation of the plan since with an analysis of the state of capacity development in order to reach expected milestones by end of 2011.

142. As conveyed by the Secretary-General in his 2010 report to the Special Committee on Peacekeeping Operations, and as noted in the New Horizon initiative of DPKO and DFS, the Office of Rule of Law and Security Institutions is currently developing a strategy for undertaking critical early peacebuilding tasks by peacekeepers. The strategy document will focus on police, rule of law, disarmament, demobilization and reintegration, security sector reform and mine action activities and will seek to assist field operations to establish priorities for implementing complex mandates and sequencing their activities in these critical areas; and assist with the rule of law and security-related components of field operations to better allocate their resources and define their capability and resource gaps.

143. In this context, an amount of \$78,000 is proposed to engage expertise for six months to lead a large-scale strategic consultative process and to undertake the high-level drafting required to finalize this strategic document. Building on this work, the expert would lead a process of discussion and consensus-building among Headquarters and field practitioners, experts from bilateral, regional, international organizations that are active in the rule of law and security-related specialist areas in post-conflict settings, as well as partners.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$1 391.5	\$142.8	11.4%

144. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/ consultation	841 800	10 consultations with Member States, United Nations departments, agencies, funds and programmes, regional and subregional organizations and specialized institutes on standing civilian capacities, inter-operable rule of law capacities, the provision of resources and the division of labour in the area of the rule of law and security institutions
Technical support	397 700	40 visits to Member States to brief on police recruitment procedures, and to conduct tests for individual police officers and assessments and inspections of formed police units  Visits to field operations to provide strategic and technical advice and assistance, review programmes and assess implementation in rule of law aspects, police, security sector reform, and disarmament, demobilization and reintegration

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Seminars/conferences/workshops	152 000	5 annual conferences to provide guidance, exchange information and share best practices among the heads of field components in the areas of the rule of law and security institutions
<b>Total</b>	<b>1 391 500</b>	

145. An amount of \$841,800 is proposed for travel to undertake mission planning/assessment/consultation activities: familiarization visits, status of the police component of mission implementation plans, review and evaluation of the United Nations police programmes, and the assistance provided to the national law enforcement agencies, assessments on the efficiency of the component, status of mandate implementation and possible corrections in the overall management of the police (\$359,000); review and evaluation of the justice and prison support programmes and assist with further planning of these programmes, including meeting with national authorities, civil society groups, the United Nations country team and other non-United Nations organizations in order to make a full assessment of the judicial and prison system facilities and infrastructures, political consultations for the coordination among partners covering rule of law (\$189,200); consultations associated with the Office's development of a strategy for undertaking critical early peacebuilding tasks by peacekeepers (\$184,600); evaluation of the disarmament, demobilization and reintegration/disarmament, demobilization, repatriation, resettlement and reintegration programmes (\$85,900); implementation of second phase of the national disarmament, demobilization and reintegration programme following the planned referendum in 2011 in UNMIS and UNAMID and support to MINUSTAH (\$23,100).

146. An amount of \$397,700 is proposed for travel to undertake the following technical support activities: to support police-contributing countries in the selection of qualified police officers and formed police units for deployment to peacekeeping operations (\$216,400); assess, advise and assist with the implementation of mine action programmes in seven field operations (\$108,600); provide technical support in the areas of planning and/or implementation of security sector reform programmes/projects with a view to identifying specific requirements for further Headquarters support (\$72,700).

147. An amount of \$152,000 is proposed for travel to participate in: peacekeeping-related seminars, conferences, workshops and coordination meetings with World Bank officials in order to exchange on lessons learned on disarmament, demobilization and reintegration, the annual Inter-Agency Working Group on Disarmament, Demobilization and Reintegration, which seeks to coordinate and harmonize the efforts of all United Nations actors on disarmament, demobilization and reintegration, and coordination meetings with African Union officials in Addis Ababa (\$29,400); the Secretary-General's annual retreat and a workshop at the Kofi Annan Training Centre in Accra (\$22,700); seminar and workshops related to the different aspects of the police involvement in peacekeeping, support to national authorities and international policing (\$92,300); and the annual meeting on juvenile justice (\$7,600).

148. The variance is attributable to increased assessments and assistance in the areas of criminal law and justice, mine action to improve the monitoring of budget implementation and performance in field operations, security sector reform and disarmament, demobilization and reintegration programme implementation.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$31.2	\$31.2 —

149. The proposed amount of \$31,200 would provide for the cost of training materials and supplies related to the magazines, leaflets, recruitment materials, guidance publications and posters.

## 5. Policy, Evaluation and Training Division

### (a) Results-based-budgeting framework

150. The mandate of the Policy, Evaluation and Training Division was established by the General Assembly in its resolution 61/279 and was recently extended in its resolution 63/287.

151. The Policy, Evaluation and Training Division is an integrated resource that provides an institutional strengthening capacity for peacekeeping through peacekeeping policy and doctrine formulation; capture and sharing of best practices; standardized training for peacekeeping; evaluation of programme performance towards mandate implementation; and development and maintenance of operational frameworks for strategic cooperation with various United Nations and external partners. The Division provides operational support to field missions in several thematic areas, including training, gender, HIV/AIDS, child protection and civil affairs. The Division provides services to field operations, mission support elements in all other missions or offices supported by DFS, Member States and the programmes and subprogrammes of DPKO and DFS. The Division comprises the Office of the Director, the Integrated Training Service and the Peacekeeping Best Practices Section.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Training standards are available to all troop- and police-contributing countries and field operations (2008/09: not applicable/not available; 2009/10: 70 per cent; 2010/11: 80 per cent)</p> <p>3.2 100 per cent of new or revised official peacekeeping guidance/knowledge management materials, respectively, are made available on mission intranets (2008/09: not applicable/not available; 2009/10: 100 per cent; 2010/11: 100 per cent)</p>

#### *Outputs*

#### **Office of the Director**

- 10 visits to field missions, national capitals, national/regional peacekeeping training institutions and headquarters of partner organizations to advise on cross-cutting and emerging policy issues in peacekeeping

- 6 evaluations, including 4 mission-focused and 2 thematic evaluations
- 1 new partnership framework/arrangement on post-conflict activities
- 2 guidance documents developed for peacekeeping operations on the implementation of strategic partnership arrangements/frameworks, including peacebuilding and post-peacekeeping transitional arrangements
- 2 joint learning exercises on joint programmes/initiatives conducted with peacekeeping partners
- Briefings and written inputs on peacekeeping thematic, cross-cutting and emerging issues, including the New Horizon initiative, in response to all requests made by the Special Committee on Peacekeeping Operations, the Security Council and the Security Council Working Group

### **Integrated Training Service**

- 4 training-the-trainer courses for 96 peacekeeping trainers from Member States, 6 training recognition visits and 4 mobile training visits in support of the predeployment training provided by Member States to military and police personnel for United Nations field operations
- Peacekeeping-specific training courses on: leadership, management and administration (120 senior field personnel); generic topics of ethics, management, leadership, integrity awareness and supervisory functions (200 field personnel); and, 24 predeployment courses (700 civilian field personnel)
- 3 new training standards for United Nations staff officers, military and police commanders, and protection of civilians
- Annual workshop for field trainers, 4 visits to field missions and 1 e-training activity to provide operational support and policy guidance on training to peacekeeping operations
- Technical and methodological support, as requested by Member States, missions and other partners, for the organization of all priority specialized training for peacekeeping personnel to improve the planning, management, support and conduct of peacekeeping operations

### **Peacekeeping Best Practices Section**

- 6 needs assessments and programme reviews in field operations, 5 expert workshops and 5 specialized guidance materials on the specialist thematic issues of gender, child protection, civil affairs, HIV/AIDS and the protection of civilians and guidance on 2 high-level cross-cutting policy issues
- Provision of technical advice to the development, approval and promulgation or revision of 20 peacekeeping and field support-related guidance documents for field operations
- Peace operations Intranet updated with all new and revised guidance, tools and methodologies
- Best practices workshop for Best Practices Officers and Focal Points from 14 field operations
- 3 new web-based communities of practice (knowledge networks linking staff doing similar jobs in different missions) established and supported

- 5 lessons learning and knowledge sharing exercises requested by field missions
- Support to 3 conferences or workshops on peacekeeping policy issues sponsored by Member States through the development of background papers, support to conference management and the documentation of proceedings

*External factors*

Member States will provide the necessary political support to implement activities of the Division

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	1	—	—	—	1	—
D-1	2	—	—	—	2	—
P-5	5	—	1	1	7	2
P-4	19	—	2	—	21	2
P-3	13	—	—	—	13	—
P-2/P-1	1	—	—	—	1	—
<b>Subtotal</b>	<b>41</b>	<b>—</b>	<b>3</b>		<b>45</b>	<b>4</b>
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	12	—	1	1	14	2
<b>Subtotal</b>	<b>12</b>	<b>—</b>	<b>1</b>	<b>1</b>	<b>14</b>	<b>2</b>
<b>Total</b>	<b>53</b>	<b>—</b>	<b>4</b>	<b>2</b>	<b>59</b>	<b>6</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	7 566.6	8 916.5	10 015.3	1 098.8	12.3
II. Non-post resources					
General temporary assistance	1 224.4	1 454.5	1 060.3	(394.2)	(27.1)
Consultants	695.0	944.4	969.1	24.7	2.6
Official travel	2 427.8	3 630.1	3 307.4	(322.7)	(8.9)
Other supplies, services and equipment	869.1	880.6	1 410.1	529.5	60.1
<b>Subtotal II</b>	<b>5 216.3</b>	<b>6 909.6</b>	<b>6 746.9</b>	<b>(162.7)</b>	<b>(2.4)</b>
<b>Total</b>	<b>12 782.9</b>	<b>15 826.1</b>	<b>16 762.2</b>	<b>936.1</b>	<b>5.9</b>

**(d) Justification of posts****Office of the Director, Partnerships Team**

*Senior Coordination Officer (1 P-5, general temporary assistance conversion, resubmission)*

*Coordination Officer (1 P-4, general temporary assistance conversion, resubmission)*

*Team Assistant (1 GS (OL), general temporary assistance conversion, resubmission)*

*Senior Partnerships Liaison Officer (1 P-5, new)*

*Administrative Assistant (1 GS (OL), new)*

152. The staffing establishment of the Office of the Director comprises seven posts funded from the support account, including the Evaluations Section, one P-5, one P-4 and one General Service (Other level); the Partnership Team, one P-4; and the front office, one D-2, one P-4, one General Service (Other level). In 2009 and early 2010, the Policy, Evaluation and Training Division received a series of new mandates from the Security Council and other intergovernmental bodies for immediate implementation. The new mandates relate to women, peace and security (Security Council resolutions 1820 (2008), 1888 (2009), 1889 (2009)), protection of civilians (Security Council resolution 1894 (2009)), measures to strengthen peacekeeping operations (S/PRST/2009/24), child protection (Security Council resolution 1882 (2009)), post-conflict peacebuilding (S/PRST/2009/23), and cooperation with regional organizations (S/PRST/2010/1), among others. In addition, DPKO and DFS began a comprehensive consultative process with Member States in 2009 to strengthen peacekeeping as a collaborative enterprise of DPKO, DFS, Member States, United Nations system and external partners, such as the international financial institutions and the regional organizations involved in peace and security.

153. Consequently, partnerships are essential for the implementation of peace and security mandates, as it is clear that DPKO and DFS alone cannot accomplish the

enormous tasks that must be undertaken to secure and rebuild societies and countries ravaged by years of strife. Currently, with a very modest capacity (1 P-4 post and 3 general temporary assistance positions), the Division has begun the task of establishing strategic partnerships with a variety of partners, both internal and external to the United Nations, to lay the foundation for improved operational relationships in the field. These arrangements, formal and informal, allow for structured dialogue, more predictable relationships, information exchanges, knowledge and good practice sharing, and improved cooperation and understanding of each others' structures, procedures, strengths and constraints for the mutual benefit of both organizations.

154. Currently, this team manages organizational coordination with 13 principal collaborators and 22 other entities, both international and external to the United Nations system. The internal collaborators include UNDP, UNHCR UNICEF, UNIFEM and WFP; the external collaborators include entities such as the World Bank, ICRC and the International Organization for Migration. The team also facilitates cooperation with NATO on matters related to operations in Afghanistan and Kosovo. Partnerships with the European Union and the African Union and collaboration with other entities will continue to grow and deepen in the coming years, and new entities will be added to the list (such as ASEAN, CSTO, UNITAR, etc.), with the expectation that the total will increase to 15 principal collaborators and almost 30 additional collaborating entities in the 2010/11 period. Maintaining these cooperation arrangements requires more than the formalization of a framework document. They require continuous engagement for agreements and arrangements to be translated into procedures and practices for operational cooperation.

155. Given the continuing and growing workload it is no longer sustainable to maintain the team with general temporary assistance. In order to implement new and support ongoing responsibilities, it is proposed that three general temporary assistance positions be converted to posts at the following levels, one P-5, one P-4 and one General Service (Other level), as the functions performed by the three currently approved general temporary assistance positions have been well established as core and continuing tasks of the Department. In addition, it is proposed that two new posts be established at the P-5 level and General Service (Other level) in Brussels to support a liaison capacity, given the significant proportion of the partnership work with the European Union (see table below). The functions are analogous to the liaison capacity that the departments have in Addis Ababa for liaison and cooperation with the African Union.

<i>Type of activity</i>	<i>2008/09</i>	<i>2009/10</i>	<i>2010/11</i>
Reciprocal visits coordinated	17 EU, Brussels 7 NATO, Brussels 4 World Bank, Washington, D.C. 5 United Nations, Geneva	25 EU, Brussels 10 NATO, Brussels 6 World Bank, Washington, D.C. 7 United Nations, Geneva 1 ASEAN, Jakarta	30 EU, Brussels 12 NATO, Brussels 8 World Bank, Washington, D.C. 9 United Nations, Geneva 1 ASEAN, Jakarta 1 CSTO

<i>Type of activity</i>	<i>2008/09</i>	<i>2009/10</i>	<i>2010/11</i>
Meetings organized and coordinated	8 EU 3 NATO 2 World Bank 7 United Nations agencies	12 EU 4 NATO 3 World Bank 10 United Nations agencies 1 ICRC 1 ASEAN	15 EU 5 NATO 4 World Bank 12 United Nations agencies 1 ICRC 1 ASEAN 1 CSTO
Educational/informational activities	1 NATO 1 World Bank	2 NATO 2 World Bank	2 EU 2 World Bank
Number	10 principal and 17 additional	13 principal and 22 additional	15 principal and 30 additional

156. Partnership with the European Union has expanded significantly since the framework for cooperation in crisis management was established in 2003. The European Union has deployed military and civilian crisis management/peacekeeping operations as part of, or alongside, peacekeeping operations (e.g., Chad, the Democratic Republic of the Congo, Kosovo, Georgia), provided critical humanitarian and development assistance and capabilities in the areas of governance, rule of law (security sector reform) and administration, to countries where operations are deployed. Owing to operational necessity (note the recent example in Haiti), this partnership will continue to grow and expand. Unlike in Addis Ababa, where DPKO and DFS have a capacity to engage with the African Union, the Secretariat has not deployed a presence in Brussels to support and reinforce this complex and wide-ranging partnership. The presence of a DPKO Senior Coordination Officer in Brussels would: enhance the capacity of both Departments to engage with the new, enhanced post-Lisbon Treaty European Union structures in a more consistent and comprehensive manner at all relevant levels; offer standing support, representation facility and cost-sharing services to DPKO and DFS, and field operations that engage with the European Union in Brussels; and provide a platform to engage with key European Union institutions and actors in the planning, deployment and conduct of European Union crisis-management missions in support of peacekeeping.

157. In the 2010/11 period, this workload and interaction is expected to increase significantly, as partnerships with other organizations based in Europe, such as the United Nations Institute for Training and Research, the Organization for Security and Cooperation in Europe, and the Centre of Excellence for Stability Police Units, develop and expand. Without a dedicated liaison capacity to represent DPKO and DFS in Brussels, opportunities to enhance the partnership with the European Union will be lost. This may have a negative impact on inter-operability, cooperation and coordination in field operations where the United Nations works closely with the European Union. It may also have a negative impact on cooperation with the African Union, since both the United Nations and the European Union support capacity-building for the African Union.



## Peacekeeping Best Practices Section

### *Child Protection Adviser (1 P-4, general temporary assistance conversion)*

158. The staffing establishment of the Section includes 17 posts funded from the support account as follows: 1 D-1, 2 P-5, 6 P-4, 4 P-3, 1 P-2 and 3 General Service (Other level) providing support in three specialized areas of gender, civil affairs and HIV/AIDS, and three service teams, policy planning, guidance and knowledge management teams.

159. In his 2009 plenary address to the General Assembly, the Secretary-General called on Member States to advance the New Horizons agenda, and, in a statement, the President of the Security Council declared the intention of the Council to give the proposed agenda its full consideration (PRST/2009/24). Under the title of “A New Partnership Agenda: Charting a New Horizon for United Nations Peacekeeping”, this initiative responds to evolving needs on the ground and the imperative to continuously improve peacekeeping programmes and activities. In the current period, this initiative has resulted in an unforeseen increase in the workload of the Policy, Evaluation and Training Division in policy development (comprehensive research and analysis and preparation of a non-paper for discussion with Member States and development of operational guidance) and related training (development of training materials and operational standards) on the topics of protection of civilians, robust peacekeeping and the peacekeeping-peacebuilding nexus. In addition, the development of a global field support strategy and a clearer enunciation of the core capabilities needed for peacekeeping, reflecting a shift away from just ensuring deployment of military, police and civilian personnel on the ground to needed capabilities to perform mission-essential tasks, have been established as immediate priorities by the senior management of DPKO and DFS, and have added to the policy planning and training workload of the Division.

160. Protection of children in armed conflict remains a priority issue for the Security Council, which has consistently mandated specific child protection activities in eight peacekeeping operations since 2001. The number of child protection staff currently is 94. In 2010/11, this figure is expected to grow to almost 100 staff in 10 field operations. Currently, the incumbent of one general temporary assistance position backstops the entire field presence. In addition, the functions of that position include responsibility for providing policy advice and guidance on child protection issues to DPKO/DFS senior management at Headquarters and providing secretariat support to the discussions of intergovernmental bodies, including the Security Council and its Working Group on Peacekeeping, the Special Committee on Peacekeeping Operations and others, for their thematic discussions on this issue.

161. In the field, the role of child protection advisers is to assist heads of mission and mission components in mainstreaming child protection concerns in their overall strategy and activities and to ensure the implementation of the child protection dimension of peacekeeping mandates as specified in Security Council resolutions on children and armed conflict. Child protection advisers work in close collaboration with UNICEF and United Nations country teams at the field level and in close coordination with the Office of the Special Representative of the Secretary-General for Children in Armed Conflict at the Headquarters level (although the Office has no operational presence in the field and focuses on global advocacy on the subject) to ensure the mainstreaming of child protection concerns in peacekeeping. The field

operations have a dedicated focus and expertise on children and peacekeeping issues not covered by either the Office of the Special Representative of the Secretary-General on Children in Armed Conflict or UNICEF.

162. Given the core function of this responsibility and its continuing nature and the relevance to field operations of the workload, it is proposed that 1 general temporary assistance position of Child Protection Adviser be converted to a post at the P-4 level to ensure the integration of the protection, rights and well-being of children affected by armed conflict into all aspects of peacekeeping policies and programmes at the Headquarters level. The incumbent of the post would work closely with all DPKO and DFS offices and sections to provide advice, guidance and assistance where activities could have an impact on children in conflict environments, including disarmament, demobilization and reintegration and security sector reform programmes, protection of civilian mandates, peacebuilding and early recovery programmes, among others. The incumbent would provide support to 100 Child Protection Advisers in 10 field operations; create and initiate an implementation plan for policy on child protection in peacekeeping; identify training gaps and guidance needs for child protection teams in order to inform the future development of guidance and specialized training materials (capacity-building); prepare standardized training materials for training civilian and military components on child protection; develop monitoring and reporting guidelines and templates for child protection teams; organize and conduct the annual child protection workshop.

(e) **Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$10 015.3	\$1 098.8	12.3%

163. The provision of \$10,015,300 would cover salaries, common staff costs and staff assessment for the 53 continuing and 6 proposed new posts. The variance is attributable to increased standard costs and the proposed establishment of six new posts, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service category posts, respectively, and delayed recruitment factors of 65 per cent and 50 per cent for the proposed new posts in those categories.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$1 060.3	(\$394.2)	(8.9%)

164. The proposed requirements in the amount of \$1,060,300 would cover the continuation of four general temporary assistance positions and the establishment of two new positions, as set out below.

**Peacekeeping Best Practices Section/Guidance Team**

*Coordination Officers (2 P-3 positions, continuation)*

165. The Guidance Team consists of one Coordination Officer (P-4), one Political Affairs Officer (P-3), and one Associate Research Officer (P-2) and develops and manages the operational guidance architecture for United Nations peacekeeping.

The Team is responsible for managing the central system that supports development, approval and dissemination of all guidance and doctrinal materials to all field operations, approximately 120,000 field personnel and 2,000 at Headquarters in DPKO/DFS and partner organizations. The team is responsible for directly producing from two to five major cross-cutting guidance documents per year (e.g., the United Nations Peacekeeping Operations Principles and Guidelines, the Guidelines for Mission Start-Up, the Guidance Development Policy, and the Standard Operating Procedure: Guidance Development) and also supports the development of specialist guidance by functional areas in DPKO/DFS (21 guidance documents in planned 2009/10) and, at a minimum, 3 to 4 guidance materials developed by other partners (e.g., the Policy on Authority, Command and Control, the Policy on Support for Certification of Police and other Law Enforcement Officials, and the Guidelines on Drafting Correspondence for DPKO Political Affairs Officers). As a precursor to formal guidance development on emerging peacekeeping challenges, the Team also drafts concept notes, such as the Operational Concept for Protection of Civilians in Peacekeeping Operations, for Member States' consideration and clearance to proceed with guidance development.

166. There is a tremendous need for further development of guidance materials — policies, procedures, guidelines, manuals — on a wide range of essential tasks and responsibilities of field operations (e.g., security sector reform, rule of law, law enforcement, field operations support, planning, mission integration and coordination). New topics are constantly being added to the existing basic framework, as added responsibilities are mandated to peacekeeping operations in ever more challenging environments. In the 2010/11 period, the Guidance Team is expected to develop at least two high-level guidance documents on cross-cutting issues (potentially including protection of civilians, doctrine on management and integration, and guidance for major crisis response), and provide technical and methodological support for the development of at least 20 others in specialized areas for the direct benefit of United Nations peacekeeping.

167. It is proposed that the general temporary assistance positions at the P-3 level for two Coordination Officers be continued to provide support to the Guidance Team in developing departmental policies, standard operating procedures and critical guidance for a wide range of activities of peacekeepers in all field operations and conduct training workshops.

### **Integrated Training Service**

#### *Training Officers (1 P-4 and 1 P-3 positions, continuation)*

168. One of the core functions of the Integrated Training Service is developing peacekeeping training policies and related technical guidance for DPKO, DFS, DPKO-led operations and Member States. The senior mission administration and resource training programme, which is unique to United Nations peacekeeping, offers intensive specialist training over cross-cutting areas in support functions, unlike generic leadership and management training courses or technical training in any one of the administrative areas. The programme trains an average of 80 senior managers per year and helps build a pool of potential senior managers in the field of administration, including Chiefs or Directors of Mission Support and heads of administrative components (see table below).

### Senior mission administration and resource training programme

	2008/09	2009/10	2010/11
Staffing allocated	2 general temporary assistance positions	2 general temporary assistance positions 1 general temporary assistance position (donor funded)	2 general temporary assistance positions
Persons trained	40	80	80
Training standards and courses designed and delivered	Finalization and piloting of 3 workshops and 6 e-learning modules under development	6 workshops held; 6 e-learning modules completed	6 workshops held; e-learning modules to be updated to reflect human resources reforms and new modules; adaptation of course to meet needs of substantive personnel in missions

169. The start-up and development phase of the programme is complete; however, continuing the two positions would continue to reduce dependence on consultants and external expertise. Without the proposed funding, the programme risks losing momentum, quality and proper integration with other ongoing processes, such as improvements in human resources management through the talent management system, and other training initiatives.

#### *Training Coordination Officers (2 P-4 positions, new)*

170. It is proposed that two general temporary assistance positions of Training Coordinators at the P-4 level be established to support DPKO and DFS, respectively, by providing the Office of Rule of Law and Security Institutions with specific training experience and skills to develop, coordinate and support the completion and implementation of training initiatives identified by the Office as priorities in 2010/11. If training is not provided in line with the expectations of host countries as well as the Security Council and legislative bodies of the United Nations, overall mandate implementation could be delayed or even negated in many field operations. Furthermore, one of the Training Coordinators would support the implementation of the training and development policy in the Logistics Support Division of DFS. This will include the design of specialist training activities for all three Services of the Division and its 10 technical sections as well as all logistics staff in field operations; the coordination of the approximately 120 individual specialist training and development activities; the development of logistics staff career paths in connection with available training and development activities; the development of training assessment forms for training and development activities with a particular focus on specialized trainings in logistics; and the creation of staff rosters for specialized professions within the Logistics Support Division.

171. In mid-2009, the assessment of the training needs for the staff of the Office of Rule of Law and Security Institutions at Headquarters identified several specific substantive and technical training requirements related to the rule of law and security institutions for which training is either not available or insufficient. In addition, technical advice is required by DPKO and DFS staff in the implementation of the integrated mission planning process at Headquarters and in the field; for the

development of new global guidance on the “mission concept”, the internal mission planning document that provides political and operational direction, prioritizes tasks, sets timelines and establishes lead/supporting roles to mission components to achieve mandate implementation; and for the continuation of the collecting of emerging good practices for future updates of the integrated mission planning process guidance package.

	2008/09	2009/10	2010/11
DPKO Training		1 extrabudgetary funded position	1 general temporary assistance position proposed
Coordination Officer			
Persons trained	264	262	532
Training standards and courses designed and delivered	Training limited to annual workshops for field staff organized by different substantive sections	More systematic addressing of training needs through a needs assessment and training strategy completed; annual workshops for field components	Design and coordination of delivery of priority training needs in strategy (strategic planning and transition to peacebuilding; mentoring and advising, etc.)
DFS Training		1 extrabudgetary funded position	1 general temporary assistance position requested
Coordination Officer			
Persons trained	271	169	563
Training standards and courses designed and delivered		Training needs identified, Logistics Support Division training policy for field staff completed; job-specific induction course designed for new field staff; coordinated specialized training in collaboration with UNLB and mission personnel on risk management, property management and contingent-owned equipment	Organization of specialized workshops on procurement, supply chain management, mission joint logistics, aviation safety, engineering safety, water and sanitation, contingent-owned equipment, compliance with environmental standards, advanced generating set management, barcode reader systems, etc.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	<b>\$969.1</b>	<b>\$24.7</b>	<b>2.6%</b>

172. An amount of \$969,100 is proposed to engage subject matter experts and specialist trainers to develop training products on substantive areas of peacekeeping operations and conduct pilot training courses following the newly developed training curricula for DPKO (\$300,500), DFS (\$66,500) and the Integrated Training Service (\$602,100); for example, leadership, management and administration (120 senior field personnel); and generic topics, such as ethics, management, leadership, integrity awareness and supervisory functions (200 field personnel). In addition, the provision would cover costs to engage external consultants to function as facilitators at workshops and as resource persons for the senior mission administration and resource training programme.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	<b>\$3 307.4</b>	<b>(\$322.7)</b>	<b>(8.9%)</b>

173. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/consultation	597 000	10 visits to field missions, national capitals and national/regional peacekeeping training institutions and headquarters of partner organizations to advise on cross-cutting and emerging policy issues in peacekeeping  6 evaluations, including 4 mission-focused evaluations and 2 thematic evaluations  5 lessons learned and knowledge-sharing exercises requested by field missions
Seminars/conferences/workshops	89 400	Support to 3 conferences or workshops on peacekeeping policy issues sponsored by Member States through the development of background papers, support to conference management and the documentation of proceedings
Training travel	2 621 000	4 training-of-trainer courses for 96 peacekeeping trainers from Member States and 6 training recognition visits and 4 mobile training support visits in support of Member States predeployment training of military and police personnel for United Nations field operations  Peacekeeping-specific training courses on: leadership, management and administration (120 senior field personnel); generic topics of ethics, management, leadership, integrity awareness and supervisory functions (200 field personnel); and 24 predeployment courses (700 civilian field personnel)
<b>Total</b>	<b>3 307 400</b>	

174. An amount of \$597,000 is proposed for travel to field operations to undertake the following mission planning/assessment/consultation activities: consultations with senior mission managers, agencies, funds and programmes and external entities on cross-cutting and emerging issues in peacekeeping to advise the Under-Secretary-General on priorities, actions and challenges (\$113,200); joint after action review with the European Union on interoperability issues between peacekeeping operations and European Security and Defence Policy crisis management operations (\$21,700); annual evaluation programme of peacekeeping activities undertaken in field operations jointly with the Evaluation Team of the Policy, Evaluation and Training Division, DFS and, on occasion, DPA and DSS, progress review of previously evaluated missions (\$275,400); policy research, technical assessments, comprehensive multi-mission assessments on the implementation of HIV/AIDS prevention policies, child protection, best practices and lessons learned on cooperation between civil affairs components and country teams, New Horizon initiative policy-planning process as they relate to missions with more limited, traditional peacekeeping mandates, conduct consultations with field operations to share policy information and to generate field-oriented priorities for lessons learned work at Headquarters (\$133,600); performance assessment on Communities of Practice implemented in field operations and implementation of mandate for gender mainstreaming in peacekeeping (\$53,100).

175. An amount of \$89,400 is proposed for travel in connection with the following seminars/conferences/workshops: meetings with regional organizations, United Nations system partners and international and multilateral financial institutions for consultative and coordination meetings aimed at concluding new strategic frameworks and agreements or strengthening existing operational and strategic relationships; and conferences and meetings to undertake consultations, discussions and coordination with political actors and United Nations system partners.

176. An amount of \$2,621,000 is proposed for travel in connection with the following training programmes: Integrated Training Service workshops, training courses, and development of standardized training material (\$1,419,700); DFS training (\$677,300), DPKO training (\$524,000), including provision of assistance to Member States in predeployment training of uniformed personnel deploying to United Nations peacekeeping operations. The training activities would include: training-of-trainers courses for uniformed personnel from Member States and regional organizations, senior leadership courses, courses for planners, a course for military and police advisers from permanent missions, support to regional and international peacekeeping training exercises organized by Member States, participation in peacekeeping training conferences organized by Member States and international organizations, lectures at peacekeeping training centres organized by Member States and international organizations, training recognition processes to assess peacekeeping training courses conducted by Member States and international organizations. The planned activities would enhance mission readiness by improving staff skills with regard to training, evaluation, mission exercise processes, mission management, leadership, codes of conduct and standards of behaviour. This would involve providing support to United Nations civilian predeployment training courses for civilian field personnel, training activities for Integrated Mission Training Centres, mission training evaluations, senior leadership induction programme courses and training support for mission start-ups.

177. The activities of the Integrated Training Service include the development, update and distribution of United Nations standardized training modules to Member States, field operations, regional organizations, United Nations partners and peacekeeping training organizations. These activities would include workshops to develop training curricula in thematic areas relevant to peacekeeping, review workshops to update standardized training materials, pilot training courses on newly developed training material, development of e-learning modules on issues relevant to peacekeeping and management of the publication of peacekeeping training materials. Workshops are conducted in Member States and field operations to maximize the input and ownership of the training materials being developed. Subject matter experts, relevant Headquarters staff and mission personnel must travel to these workshops/seminars to be able to contribute and participate in the development process. Pilot courses are conducted again in field operations or in the troop- and police-contributing countries.

178. In addition, career development training is conducted which promotes professionalism, efficiency and continuous learning. Staff development is an ongoing process and a priority within the Organization, and is aimed at enhancing organizational core values and core competencies. In this regard, the Integrated Training Service plans to conduct a leadership development programme for staff at the D-1 and D-2 levels and a management development programme for staff at the P-4 and P-5 levels.

179. The variance is attributable to a change in the methodology of planning and conducting the senior mission administration and resource training programme with an outcome of reduced travel.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$1 410.1	\$529.5	60.1%

180. The proposed amount of \$1,410,100 would provide for the cost of training materials and supplies related to the following activities of the Integrated Training Service: Integrated Training Service workshops/training courses (\$825,700); DFS training (\$264,400); DPKO training (\$320,000).

181. The variance is attributable to requirements for the translation of the training materials which were developed and updated in the 2009/10 period as follows: core predeployment training material, and standardized training material for United Nations police and experts on mission. The material developed for the United Nations police was drafted in English and will be translated into French during the current financial period. However, Member States have recommended that the material be translated into the four remaining official languages (Arabic, Chinese, Russian and Spanish), and that the standardized training material for experts on mission, currently available only in English, be translated into all other official languages.

## B. Department of Field Support

### (a) Human resources requirements

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	3	—	—	—	3	—
D-1	8	—	—	—	8	—
P-5	36	—	—	1	37	1
P-4	90	(1)	1	—	90	—
P-3	115	(1)	2	3	119	4
P-2/P-1	6	—	—	—	6	—
<b>Subtotal</b>	<b>258</b>	<b>(2)</b>	<b>3</b>	<b>4</b>	<b>263</b>	<b>5</b>
<b>General Service and other</b>						
Principal level	21	—	—	—	21	—
Other level	158	(2)	—	1	157	(1)
<b>Subtotal</b>	<b>179</b>	<b>(2)</b>	<b>—</b>	<b>1</b>	<b>178</b>	<b>(1)</b>
<b>Total</b>	<b>437</b>	<b>(4)</b>	<b>3</b>	<b>5</b>	<b>441</b>	<b>4</b>



**(b) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10) <sup>a</sup>	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	60 067.9	62 939.9	65 959.9	3 020.0	4.8
II. Non-post resources					
General temporary assistance	2 433.9	3 319.6	4 104.0	784.4	23.6
Consultants	745.2	689.0	83.2	(605.8)	(87.9)
Official travel	2 526.7	2 868.4	3 489.6	621.2	21.7
Communications	—	723.0	486.0	(237.0)	(32.8)
Information technology	—	10 144.8	9 391.6	(753.2)	(7.4)
Other supplies, services and equipment	13.3	23.1	1 977.5	1 954.4	—
<b>Subtotal II</b>	<b>5 719.1</b>	<b>17 767.9</b>	<b>19 531.9</b>	<b>1 764.0</b>	<b>9.9</b>
<b>Total</b>	<b>65 787.0</b>	<b>80 707.8</b>	<b>85 491.8</b>	<b>4 784.0</b>	<b>5.9</b>

<sup>a</sup> Includes costs centrally administered by the Executive Office of DPKO and DFS.**1. Office of the Under-Secretary-General****(a) Results-based-budgeting framework**

182. The mandate of the Office of the Under-Secretary-General for Field Support was established by the General Assembly in its resolution 61/279 and recently extended in its resolution 63/287. As of January 2010, DFS is supporting 15 active peacekeeping operations (including UNTSO and UNMOGIP, which are funded through the biennial programme budget), support of AMISOM, UNLB, 15 field-based special political missions (including the Office of the United Nations Special Coordinator for the Middle East Peace Process and the Committee on Missing Persons in Cyprus, funded by the biennial programme budget) and 8 liquidating missions.

183. The Office of the Under-Secretary-General undertakes a broad spectrum of activities to assist the Under-Secretary-General in directing support components of field operations, including in the areas of personnel, budget, finance, conduct and discipline, logistics and communications and information technology. The Office also supports the Under-Secretary-General in leading the development or adjustment of organizational support strategies, policies, procedures, rules and regulations to meet specific field requirements. Priority areas of activity include: development of the global field support strategy, monitoring and reporting on progress of the implementation thereof once approved by the relevant legislative bodies, and providing guidance, as necessary; and supporting the Under-Secretary-General in the performance of her political, strategic, operational, managerial and administrative functions. The Office of the Under-Secretary-General comprises the front office of the Under-Secretary-General and the Assistant Secretary-General, the Senior Leadership Appointments Section, the Conduct and Discipline Unit, the Audit Response and Board of Inquiry Team, and the Field Procurement Policy and Liaison Team. DFS has dedicated authorized capacity from the Office of the Under-

Secretary-General to the integrated operational teams in the Office of Operations in order to provide first-line support backstopping for field operations.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	<p>1.1 Positive comments by the legislative bodies and the General Assembly of the United Nations global field support strategy and its phased implementation</p> <p>1.2 Conduct and discipline addressed in all reports of the Secretary-General to the Security Council on peacekeeping missions, as appropriate (2008/09: 100 per cent; 2009/10: 100 per cent; 2010/11: 100 per cent)</p>

#### *Outputs*

#### **Front office of the Under-Secretary-General**

- 120 briefings to the General Assembly, legislative bodies, Security Council and regional organizations on field support issues, including on the global field support strategy proposals, progress and results
- 10 presentations on peacekeeping and field support issues at conferences, seminars and other public forums
- 12 visits to major financial contributors, key troop- and police-contributing countries and other Member States to discuss and advise on field support issues

#### **Conduct and Discipline Unit**

- 10 briefings to Member States, non-governmental organizations and mission leadership on the implementation of the comprehensive strategy to eliminate sexual exploitation and abuse and other types of misconduct in field operations
- Co-organization with the Office for the Coordination of Humanitarian Affairs of 2 meetings of the Executive Committee for Humanitarian Affairs-Executive Committee on Peace and Security Task Force on Protection from Sexual Exploitation and Abuse to provide strategic guidance on activities towards protection from sexual exploitation and abuse and assistance to victims

#### **Audit Response and Board of Inquiry Team**

- 40 consolidated responses to the reports of the United Nations oversight bodies and 19 consolidated reports prepared on the status of implementation of 1,094 recommendations of the oversight bodies, submitted to the oversight bodies, including the Board of Auditors, Joint Inspection Unit, and OIOS

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates	2.1 Submission of the proposed pre-approved funding model for the start-up of peacekeeping operations

#### *Outputs*

#### **Front office of the Under-Secretary-General**

- Plan for development of initial capabilities for the global and regional service centres proposed in the global field support strategy, including staff, financing and working modalities

- Review of strategic deployment stocks and associated systems contracts to improve the utility of the mechanism and the speed of deployment of materiel to field operations
- 2 modules on waste management and security perimeters to support mission start-up or surge activity

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 All allegations of serious misconduct are recorded by all peacekeeping operations in the misconduct tracking system within 7 days of receipt (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 7 days)</p> <p>3.2 Reduction in the number of repeated audit findings by the United Nations oversight bodies (2008/09: 23; 2009/10: 11; 2010/11: 10)</p>

#### *Outputs*

#### **Front office of the Under-Secretary-General**

- 10 visits to field operations to review progress and provide direction to mission leadership on field support issues related to mission mandate implementation, as well as mission management and administration

#### **Senior Leadership Appointment Section**

- Establishment of a database of suitably qualified persons for leadership positions
- 3 targeted outreach visits to Member States, professional, governmental and non-governmental organizations and United Nations agencies, funds and programmes to expand the candidate pool for senior mission appointments and better meet key objectives, including gender and geographical distribution targets

#### **Conduct and Discipline Unit**

- Visits to conduct and discipline teams in 5 field operations to provide technical assistance and advice on the implementation of the United Nations three-pronged strategy to address sexual exploitation and abuse and other forms of misconduct
- 350 investigations reports substantiating misconduct allegations, as received from OIOS and other investigation entities in field operations, are processed to enable disciplinary action by relevant internal or external authorities (United Nations management and Member States)
- 250 category I allegations and 700 category II allegations in all peacekeeping operations and UNLB are recorded and tracked in the misconduct tracking system
- Issuance of a field advisory manual for conduct and discipline teams in field operations
- Development of a training strategy on conduct and discipline and related issues, including the development of a mandatory training programme on sexual exploitation and abuse to be used by field-based conduct and discipline teams, targeting all peacekeeping personnel

#### **Audit Response and Board of Inquiry Team**

- 1 workshop for 30 audit focal points from 30 field operations on the audit process, ways to improve the quality of responses to audit findings and recommendations, and how to perform effective follow-up on audit recommendations

- 6 visits to field operations to conduct a review of their internal control frameworks based on high-risk areas identified in reports of oversight bodies
- 6 visits to field operations to raise the awareness of mission senior management of board of inquiry procedures
- 1 workshop for 45 Board of Inquiry and Legal Officers from 30 field operations on methodologies and processes and 1 workshop for 45 Board of Inquiry Secretaries from 30 field operations on report-writing techniques

### Field Procurement Policy and Liaison Team

- Provision of delegation of procurement authority to all directors and chiefs of mission support designated by the Department of Management
- 4 visits to field operations, including procurement assistance visits with the Procurement Division of the Department of Management, to review the exercise of delegations of procurement authority and field procurement procedures to make recommendations and proposals to address deficiencies and streamline operations
- Deployment of an online field procurement community of practice
- In collaboration with the Procurement Division, design a training programme on the acquisition process for approximately 1,000 personnel in field operations involved in all aspects of the process

### External factors

Support from Member States for the implementation of mission mandates and to the concept, as well as the implementation, of the global field support strategy in a phased approach; support of Member States (troop- and police-contributing countries) in preventing misconduct and processing misconduct cases; timely receipt of investigation reports from investigation entities; and continuation of donor funding for inter-agency cooperation programmes and sensitization and training activities

### (b) Human resources requirements

Category	Approved support account posts 2009/10	Redeployments, reassignments, reclassifications	General temporary assistance conversions	Additional new posts requested	Total proposed 2010/11	Change
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	1	—	—	—	1	—
P-5	15	—	—	1	16	1
P-4	13	—	—	—	13	—
P-3	7	—	—	2	9	2
P-2/P-1	1	—	—	—	1	—
<b>Subtotal</b>	<b>37</b>	<b>—</b>	<b>—</b>	<b>3</b>	<b>40</b>	<b>3</b>

Category	Approved support account posts 2009/10	Redeployments, reassignments, reclassifications	General temporary assistance conversions	Additional new posts requested	Total proposed 2010/11	Change
<b>General Service and other</b>						
Principal level	1	—	—	—	1	—
Other level	15	—	—	1	16	1
<b>Subtotal</b>	<b>16</b>	<b>—</b>	<b>—</b>	<b>1</b>	<b>17</b>	<b>1</b>
<b>Total</b>	<b>53</b>	<b>—</b>	<b>—</b>	<b>4</b>	<b>57</b>	<b>4</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09) (1)	Apportionment (2009/10) (2)	Cost estimates (2010/11) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	8 205.6	8 869.2	9 357.3	488.1	5.5
II. Non-post resources					
General temporary assistance	—	—	846.9	846.9	—
Official travel	404.8	426.9	447.6	20.7	4.8
<b>Subtotal II</b>	<b>404.8</b>	<b>426.9</b>	<b>1 294.5</b>	<b>867.6</b>	<b>203.2</b>
<b>Total</b>	<b>8 610.4</b>	<b>9 296.1</b>	<b>10 651.8</b>	<b>1 355.7</b>	<b>14.6</b>

**(a) Justification of posts****Front office/Office of the Assistant Secretary-General***Senior Programme Officer (1 P-5, new)*

184. The staffing establishment of the Office of the Assistant Secretary-General currently includes 6 posts funded from the support account as follows: 2 P-4, 1 P-3 and 3 General Service (Other level). The Office is responsible for ensuring the timely and comprehensive implementation of the global field support strategy for the United Nations which is designed to: expedite and improve support for peacekeeping; expedite and improve support for peacebuilding, electoral assistance, mediation support and conflict prevention; improve the safety and living conditions of staff; strengthen resource stewardship and accountability while achieving greater efficiencies and economies of scale; contribute to local and regional investment and capacity; and reduce the in-country environmental impact of field operations.

185. The specific elements of the strategy include: the establishment of global and regional service centres in line with the new global service delivery model; the establishment of modules to facilitate rapid deployment, in particular in start-up or surge operations; an increase in pre-mandate commitment authority along with the notion of pre-approved budget models and improved resourcing for special political missions; and personnel management improvements to achieve better staff forecasting, succession planning and readily deployable capabilities. Member States were informed about the strategy by the Secretary-General in his report (A/64/633).

186. The strategy is focused on providing an implementation change management system that allows senior leadership frequent and repetitive exposure to achievements, issues and failures, and enables leadership to decide on corrective actions in a timely manner. A dedicated Programme Implementation Coordination Team is therefore required to manage and coordinate the programme of work associated with the strategy. The Team would monitor and report on the implementation of the strategy based on a set of management indicators. It will be responsible for recommending corrective action to the Under-Secretary-General for Field Support and the Strategy Steering Committee. The Team would support the related accountability and management frameworks to enable comprehensive and detailed reporting to Member States on a regular basis. The Team's role would be to ensure the successful implementation of the strategy.

187. Accordingly, it is proposed that a post of Senior Programme Officer be established at the P-5 level. The incumbent of the post would monitor the range of strategic and operational support issues arising in connection with the implementation of the strategy. He or she would be responsible for monitoring the performance of the strategy's components and their impact on field mission support and for preparing regular updates for senior management. He or she will identify matters for follow-up and need for action, identify and respond to changes, problems and incidents, providing early warning of potential trouble spots, and bringing to the attention of the Team Leader relevant issues with recommendations for appropriate action. In addition to the programme oversight implementation role, the Senior Programme Officer would assist the Team Leader in managing change throughout the strategy's five-year implementation horizon. This will be achieved by identifying change requirements based on feedback from the client board, programme oversight entities, programme advisers, programme implementers, and/or programme implementation coordinators and providing those requirements to the Strategy Steering Committee for decision. Once the Steering Committee approves a change, the programme coordinators will conduct an analysis of change impact to adjust implementation plans. The Senior Programme Officer would develop a quality control mechanism for measurement of performance during the delivery cycle and support the articulation of recommend changes and reprioritization for the approval of the Steering Committee.

188. The functions of the requested position are new and therefore the workload associated with the proposed position is currently not undertaken within existing resources. Existing resources within the Office are fully engaged with current activities and cannot support the additional workload. Non-approval of this post would have a direct impact on the successful implementation of the support strategy by reducing essential and dedicated managerial oversight.

#### **Audit Response and Board of Inquiry Section**

189. One element of evaluation and oversight that many Member States have drawn attention to is the Secretariat's capacity to identify and address causes of serious incidents in field operations. Boards of inquiry conduct case-specific inquiries that are carried out to provide a detailed factual report on all serious incidents in the field, on the basis of which Headquarters can bring about further action and/or follow-up. Almost 80 per cent of board of inquiry reports relate to vehicular accidents, in particular those involving death or injury in the field. The boards are, therefore, an essential management tool to ensure proper accountability, develop

policies and guidance and identify best practices to improve the safety of field personnel. Board of inquiry reports are also a key information tool for Member States to pursue appropriate national procedures concerning incidents involving their personnel.

*Administrative Assistant (1 GS (OL), new)*

190. The staffing establishment of the Section currently includes five posts funded from the support account as follows: 1 P-5, 1 P-4, 3 P-3 and 1 General Service (Other level). The current capacity of the Board of Inquiry Unit has not kept pace with the increase in the volume of board of inquiry reports over the past years, which hampers the Department's ability to effectively process and follow-up on the reports received from field operations. Of 380 reports received from 19 field operations for 2007 and 2008, the Unit fully processed 226 reports by 31 December 2008. The Operational Review Officer focuses on routine matters and high-priority issues at the expense of identification of trends and analysis and provision of strategic guidance on board of inquiry matters to senior management. Experience has demonstrated that analysis of mission-wide board of inquiry issues, in particular for senior management, cannot be undertaken with existing resources. Furthermore, at the current capacity, the Board of Inquiry Unit has not been able to effectively review the 62 reports received from missions for the nine-month period ending 31 September 2009, resulting in a cumulative backlog of 176 cases. This represents a potential loss in terms of operational efficiency and effectiveness and places the Organization at increased risk in terms of the safety of field personnel.

191. It is proposed that an Administrative Assistant post (General Service (Other level)) be established to ensure better compliance with and monitoring of recommendations, and to improve policy and practice and reduce risk to the Organization. The past expansion of peacekeeping activities has led to an increase in the number of reports received from the missions (180 reports in 2007 compared with 200 in 2008). The incumbent of the post would contribute to the 200 cases received on significant recurring and cross-cutting issues and for redress by DPKO/DFS and 900 board of inquiry recommendations tracked through 34 follow up requests issued to offices of DPKO/DFS and field operations. This increased capacity would improve the identification of remedial action and result in improved policy and practices in the longer term. Effective monitoring and tracking of board of inquiry recommendations will also facilitate follow-up by Member States and field operations. For example, the increased capacity would facilitate the tracking for Member States of status of claims for loss of contingent-owned equipment due to hostile acts.

*Reassignment of one post currently in the Office of the Assistant Secretary-General (Administrative Management Officer, P-4) to the Audit Response and Board of Inquiry Section (Board of Inquiry Officer, P-4)*

192. Given the capacity of the Unit as described above, there is no dedicated officer post at the P-4 level to provide strategic guidance to the senior management of DPKO and DFS and field operations on board of inquiry issues. Consequently, DFS is unable to systematically monitor, review and follow up on board of inquiry report recommendations and liaise with Member States and relevant bodies in the Secretariat in a timely and effective manner. A serious backlog of cases is pending at Headquarters without full and appropriate follow-up. In this context, it is proposed

that the Administrative Management Officer post at the P-4 level be reassigned to the Audit Response and Board of Inquiry Section to provide guidance and support to the Board of Inquiry Unit, in order to effectively manage the Unit's activities, track the implementation and analyse the recommendations of boards of inquiry.

### **Conduct and Discipline Unit**

193. The staffing establishment of the Unit comprises 11 posts funded from the support account, as follows: 1 Chief of Unit (D-1); 1 Senior Policy Adviser (P-5); 1 Senior Conduct and Discipline Officer (P-5); 3 P-4 posts (including military and 1 police officer on secondment) and 1 Disciplinary Officer (P-3), dedicated to the handling of misconduct allegations and cases, 1 Reports Officer (P-2), who is responsible for the maintenance of the Misconduct Tracking Data System and trends analysis; and 3 Assistants (General Service (Other level)), who provide administrative support to the Unit.

#### *Programme and Coordination Officer (1 P-3, new)*

194. Remedial action is one of three key pillars in the implementation of the comprehensive strategy to address sexual exploitation and abuse and other forms of misconduct. While the prevention and enforcement components of the strategy have so far received most of the attention and resources both at Headquarters and in the field, the remedial action component has been conceptualized and implemented through the coordination and liaison with the Office for the Coordination of Humanitarian Affairs and other United Nations agencies and non-governmental organization partners. In 2008/09, the Task Force on Protection from Sexual Exploitation and Abuse spearheaded multiple initiatives, inter alia, such as the development and dissemination of terms of reference for sexual exploitation and abuse focal points and sexual exploitation and abuse country networks and background activities leading to the adoption of the Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by United Nations Staff and Related Personnel (General Assembly resolution 62/214). In the past years, DFS and DPKO have reported the highest number of allegations concerning sexual exploitation and abuse compared with all other United Nations agencies. As indicated by the Secretary-General in his report on special measures for protection from sexual exploitation and abuse (A/63/720), in 2008, 83 out of a total of 111 allegations related to sexual exploitation and abuse, or 75 per cent, concerned peacekeeping personnel. Although the total number of allegations represented a decrease from the previous year (127 allegations involving peacekeeping personnel out of a total of 159) the percentage of allegations involving peacekeeping personnel remained at 75. Furthermore, data that was collected for the 2009 report and is currently being compiled appears to indicate an approximate 25 per cent increase in the number of allegations related to peacekeeping personnel. Given that the vast majority of allegations of sexual exploitation and abuse involve peacekeeping personnel, the majority of potential victims will be persons alleged or confirmed to have been sexually exploited or abused by peacekeeping personnel. Of the alleged victims, the proportion of allegations involving minors is high compared with the total number of allegations (41 per cent and 46 per cent of the totals for 2008 and 2009, respectively). Consequently, the strategy for assistance to victims, while being implemented in a system-wide manner by the United Nations, will require direct action by DPKO and DFS, in a measure commensurate with the



implication of peacekeeping personnel in allegations of sexual exploitation and abuse.

195. Donor funding has been utilized to cover the costs of one position at the P-3 level, the responsibilities of which are dedicated to carrying out the activities identified below. With the adoption by the General Assembly at its sixty-second session of the Comprehensive Strategy on Assistance and Support to Victims of Sexual Exploitation and Abuse by United Nations Staff and Related Personnel, the activities associated with its implementation have been clarified and recognized as a core and ongoing function of the Conduct and Discipline Unit. In this context, it is proposed that a post of Programme and Coordination Officer be established at the P-3 level. The incumbent of the post would perform the following core functions: preparation and organization of several task force and working level meetings; liaising with United Nations agencies/non-governmental organizations and conduct and discipline teams on specific projects (i.e., complaint mechanisms, sexual exploitation and abuse networks) and coordination and follow-up of sensitization projects in six peacekeeping missions; liaising, coordinating and briefing Member States and donor countries on those activities; and, leading the efforts of DFS and DPKO on the implementation of the comprehensive strategy, including coordination of inputs with all relevant entities and reporting to the General Assembly. Those activities, and in particular the implementation of the comprehensive strategy, have steadily increased over the years as it is recognized that inter-agency and non-governmental organization cooperation provide a more structured and efficient response than those of individual entities.

*Disciplinary Officer (1 P-3, resubmission)*

196. The table below indicates the number of allegations recorded per year, the number of closed allegations and the aggregate number of open allegations as of September 2009 derived from the misconduct tracking system. The figures demonstrate that the caseload of the Disciplinary Officers has increased over the years owing to a steady increase of cases remaining open year after year. There is no indication that the number of new allegations will drop dramatically from the previous two years. When broken down per category of personnel, the data indicate that for the last three years, 29 per cent of the total number of allegations relate to military personnel while 57 per cent of the total relate to civilian staff (29 per cent concern national staff and 28 per cent international staff) and the remaining 14 per cent to United Nations police. On the basis of three years experience, it is concluded that regular follow-up throughout the allegation cycle is required in order to close more cases in a timely manner. In addition, the work of the disciplinary officer for military cases, for example, has increased at the beginning of the allegation process: the provisions of the revised model memorandum of understanding requires the Secretariat to inform Member States of any allegations involving a member of a national contingent for which there is prima facie evidence of misconduct or serious misconduct. Liaison among the peacekeeping missions, OIOS and permanent missions to the United Nations is an additional responsibility of the Conduct and Discipline Unit. The number of open cases indicates that since 2007, the overall caseload of the disciplinary officers has now nearly doubled.

197. In this context, and based on the caseload statistics in the table below, it is proposed that a post of Disciplinary Officer be established at the P-3 level. The incumbent of the post would advise and monitor the processing of misconduct

allegations at the field level, review investigation reports, recommend appropriate action to DFS/DPKO leadership either vis-à-vis Member States or the Department of Management, and follow-up with the latter on action taken.

<i>Year</i>	<i>Total allegations</i>	<i>Total closed</i>	<i>Total open</i>	<i>Percentage open</i>	<i>Total open cumulative</i>
2005	467	346	121	26	121
2006	715	391	324	45	445
2007	946	396	550	58	995
2008	1 246	774	472	38	1 467
2009	517	145	372	72	1 839

(e) **Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$9 357.3	\$488.1	5.5%

198. The provision of \$9,357,300 would cover salaries, common staff costs and staff assessment for the 53 continuing posts and 4 proposed new posts. The variance is attributable to: (a) increased standard costs; (b) the continuation of an additional post approved for 2009/10 in respect of which a delayed recruitment factor of 50 per cent (General Service category) was applied; and (c) the proposed establishment of four new posts. The computation of requirements for all continuing posts reflects the application of budgeted vacancy rates of 12 per cent and 7 per cent for Professional and General Service category posts, respectively, and 65 per cent and 50 per cent for the proposed new Professional and General Service posts, respectively.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$846.9	\$846.9	—

199. The proposed requirements in the amount of \$846,900 would cover the establishment of five new general temporary assistance positions as set forth below.

**Programme Implementation Coordination Team**

*Team Leader (1 D-1 position, new)*

200. It is proposed to establish a Programme Implementation Coordination Team to manage and coordinate the implementation of the global field support strategy. The Team would monitor and report on the implementation of the support strategy based on management indicators, measure performance and recommend corrective action to the Under-Secretary-General for Field Support, while supporting accountability and governance frameworks to enable comprehensive and detailed reporting to Member States on a regular basis. The team's role and mandate is to ensure the successful implementation of the support strategy. In this context, it is proposed that a general temporary assistance position of Team Leader be established at the D-1 level. It is envisaged that the proposed P-5 post reflected in paragraph 184 would assume this leadership role in subsequent years.

201. The incumbent of the Team Leader position would provide senior management oversight for the implementation of the strategy over its five-year implementation horizon. Reporting to the Under-Secretary-General for Field Support, he or she would develop and implement a change and performance management framework for the support strategy. He or she would monitor the implementation of the strategy, ensuring that related activities are contributing to the strategic objectives. The incumbent would recommend changes when required and ensure a timely and comprehensive implementation of the strategy's core elements through coordinating activities among project managers.

### **Front office**

#### *Coordination Officer, enterprise resource planning (1 P-4 position, new)*

202. The implementation of Umoja will result in a fundamental change in the financial management of field-based operations. In this context, as the lead Department, the Department of Management is responsible for providing overall leadership and coordination at the strategic level, including system-wide enterprise resource planning policy guidance, the development of standard training packages, and liaison with Member States, the Board of Auditors, OIOS and the IPSAS project. However, given the size and scale of peacekeeping operations, it is proposed that the Office of the Under-Secretary-General for Field Support would complement the role of the Department of Management through the provision of support to peacekeeping business process owners in the development of specific field-based practical support packages, including operating guidelines and interpretation of enterprise resource planning policies, as well as manuals and training. It is also expected that DFS will guide and monitor the enhancement of business practices in the field as enterprise resource planning policies are developed.

203. Umoja effectively re-engineers business processes. The transition from current processes and systems to the Umoja platform while maintaining oversight, control and good management of budgets, assets and staff under DFS authority will be a significant challenge, given that the Department is responsible for the administration of some 22,000 civilian staff and the deployment of over 96,000 uniformed personnel in 33 field operations, and the management of a combined peacekeeping operations and special political missions budget of \$8.4 billion for 2009/10 and assets under management valued at \$1.97 billion.

204. The staff of the front office of the Under-Secretary-General comprises the Special Assistant to the Under-Secretary-General (D-1), who oversees and manages the activities of the Office and provides advice to the Under-Secretary-General on strategic and operational support issues; the Programme Management Officer (P-4) and the Administrative Management Officer (P-3), who assist in directing the internal coordination of work and the flow of communication and information in the Department and coordinate interdepartmental issues; the Personal Assistant to the Under-Secretary-General and two Administrative Assistants provide administrative support to the Under-Secretary-General and the immediate office. Three Record Clerks manage documentation and the flow of information within the Office and the Department. All posts are encumbered, and the Office does not have sufficient or dedicated resources to perform the tasks related to the implementation of Umoja.

205. In this context, it is proposed that a general temporary assistance position be established at the P-4 level. The incumbent of the position would provide full-time dedicated support to DFS and DPKO during the development and implementation phases of Umoja; ensure departmental oversight and timely action on the development and implementation of enterprise resource planning in field operations and Headquarters offices; develop internal policies and strategies that will complement and integrate with the global strategy to ensure a smooth implementation of Umoja in DFS and DPKO offices as well as field operations; and represent DFS and DPKO in interdepartmental meetings, working groups and task forces related to the development and implementation of Umoja; and liaise with the Department of Management Umoja team, all DFS Divisions, relevant DPKO and DPA Offices and all field operations supported by DFS. The Administrative Assistant will provide administrative support to the Senior Support Officer and the Planning Officer in their duties.

### **Support of the African Union Mission in Somalia Headquarters Support Team**

*Senior Support Officer (1 P-5 position, new)*

*Planning Officer (1 P-4 position, new)*

*Administrative Assistant (1 GS (OL) position, new)*

206. The primary focus of the Headquarters Support Team would be to assist senior management with the strategic planning, policy guidance and implementation of all aspects of the mandate; ensure coherent, daily and timely support to AMISOM, including the coordination and preparation of recommendations for senior management related to planning and implementation of the support package, to include activities such as liaison with Member States and coordinating joint operations with NATO, the European Union, the African Union and other agencies for sea operations. The Team would ensure a comprehensive United Nations approach and the implementation of integrated operational objectives among all departments involved with providing support to AMISOM. During the 2009/10 period, those positions are being funded from the support of AMISOM budget.

207. The Support Team would liaise with the Somalia Coordination Planning Team, led by DPKO, and the Integrated Task Force for Somalia, chaired by DPA, and working groups on piracy, among other issues, which directly affect support for AMISOM at the policy and strategic level and would ensure proper alignment across the different bodies responsible for implementing the overall mandate for Somalia. The Support Team will assist senior management in coordinating all aspects relating to external actors with a direct influence on the success of support of AMISOM and coordinate with donors contributing funding for the AMISOM Trust Fund (in coordination with DPA and DPKO), coordinate bilateral support provided to troop-contributing countries in support of AMISOM deployments, and would liaise with the African Union and other regional bodies, such as the European Union, and the League of Arab States as and when required.

208. Consequently, it is proposed that three general temporary assistance positions be established at the P-5 and P-4 level and General Service (Other level) to perform the following functions: Senior Support Officer, Planning Officer and Administrative Assistant. The incumbent of the Senior Officer position would provide recommendations on policy and technical matters to senior leadership/

management and assess the required Headquarters level of support of AMISOM in the light of the evolving strategy for Somalia and the evolving support concept based on the challenges and limitations support of AMISOM will continue to face as it implements its mandate. He or she would oversee, plan and manage work assigned to team members and ensure that management is well informed of the progress of the mandate implementation and the challenges and risks involved and would ensure that critical issues are addressed and strategic guidance is provided in a timely and effective manner. The incumbent of the Planning Officer position would be responsible for addressing all operational requirements of the mission while liaising with relevant departments to ensure that necessary support arrangements are in place and would follow up on mandate implementation at the operational level, including budget, technical, logistical and administrative issues, among others, and would ensure the timely flow and alignment of information between the mission and Headquarters at the working level within DFS and across other departments. The Planning Officers would also be involved in the planning of all support arrangements required by the mission.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$447.6	\$20.7	4.8%

209. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/ consultation	231 300	12 visits to major financial contributors, key troop- and police-contributing countries and other Member States to discuss and advise on field support issues  10 visits to field operations to review progress and provide direction to mission leadership on field support issues related to mission mandate implementation, as well as mission management and administration
Technical support	167 300	Visits to conduct and discipline teams in 5 field operations to provide technical assistance and advice on the implementation of the United Nations three-pronged strategy to address sexual exploitation and abuse and other forms of misconduct  6 visits to field operations to conduct a review of their internal control frameworks based on high-risk areas identified in reports of oversight bodies  4 visits to field operations, including procurement assistance visits with the Procurement Division of the Department of Management, to review the exercise of delegations of procurement authority and field procurement procedures to make recommendations and proposals to address deficiencies and streamline operations

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Seminars/conferences/workshops	49 000	1 workshop for 45 Board of Inquiry and Legal Officers from 30 field operations on methodologies and processes and 1 workshop for 45 Board of Inquiry secretaries from 30 field operations on report-writing techniques
<b>Total</b>	<b>447 600</b>	

210. An amount of \$231,300 is proposed for travel of the Under-Secretary-General and the Assistant Secretary-General for Field Support to provide guidance and assistance to missions and strengthen Headquarters support to field operations.

211. An amount of \$167,300 is proposed for travel to undertake the following technical support activities: to provide technical and policy advice to conduct and discipline teams in the field (\$46,400); to guide missions in implementing measures to improve internal control systems and reduce repeated audit findings and in connection with the audit response and Board of Inquiry operational review, including the inspection of documentation and review of internal controls which cannot be performed remotely (\$41,200); to provide guidance and advice, including participation in joint procurement assistance visits with the Procurement Division and to participate in the Chief Procurement Officers Working Group (\$41,100); and to coordinate outreach activities which will broaden the pool of suitable candidates, including outreach dedicated to attracting qualified Senior leadership (\$38,600).

212. An amount of \$49,000 is proposed for travel of the Under-Secretary-General and the Assistant Secretary-General to participate in peacekeeping-related seminars, conferences and workshops held by NATO, the European Union, the United Nations Staff College, the NATO Defence College and peacekeeping training or policy institutes and to attend conferences of Special Representatives of the Secretary-General and the High-Level Committee on Management of the United Nations System Chief Executives Board for Coordination.

213. The variance is attributable to the anticipated workload and associated travel in support of senior management as both the Under-Secretary-General and Assistant Secretary-General are on board.

## **2. Field Budget and Finance Division**

### **(a) Results-based-budgeting framework**

214. The Field Budget and Finance Division was established by the General Assembly in its resolution 61/279 and recently extended in its resolution 63/287.

215. The Division consists of three organizational entities: the Office of the Director, the Budget and Performance Reporting Service and the Memorandum of Understanding and Claims Management Section. Its priorities and challenges are to advise on and coordinate the budgets of field operations while at the same time ensure that new budget and financial initiatives, including IPSAS and enterprise resource planning, are implemented in the field.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	1.1 Decrease in the average processing time (from the receipt of a mission-certified claim to its approval by the Department) for contingent-owned equipment claims (2008/09: 6 months; 2009/10: 6 months; 2010/11: 3 months)

*Outputs*

- Processing of contingent-owned equipment and death and disability claims for 17 field operations
- Advice to 17 field operations and permanent missions to the United Nations of troop- and police-contributing countries on contingent-owned equipment and death and disability matters
- Negotiations for 19 memorandums of understanding and 100 amendments to existing memorandums with respect to contingent-owned equipment
- Organization of the 2011 meeting of the Working Group on Contingent-Owned Equipment, including the drafting of working group papers
- Draft amendment to the Contingent-Owned Equipment Manual to include decisions made by the Working Group and legislative bodies in 2011
- Provision of 19 briefings on contingent-owned equipment to permanent missions and/or delegations of Member States
- 19 predeployment briefings on contingent-owned equipment and memorandums of understanding for troop-contributing countries in support of existing operations
- 3 regional briefings conducted for major troop-contributing countries on contingent-owned equipment policies and procedures

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 Increase in the percentage of field operations identifying overall efficiencies equivalent to 1 per cent of budgeted resources (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 100 per cent)

*Outputs*

- Coordination, cross-cutting and regulatory advice to all field operations on the formulation of budget proposals and performance reports, maintenance and preparation of financial accounts and management of available resources
- Development of strategic business analysis projects to support the comparative analysis of major resourcing requirements across field missions and improved resourcing of new or expanding field missions and other initiatives to facilitate improved cost-effectiveness in field resourcing
- Provision of background information on operational financial policies, procedures and practices to advisory and legislative bodies (Advisory Committee on Administrative and Budgetary Questions and General Assembly) in the context of all field operations, including peacekeeping operations

- 15 field assistance visits to provide on-site support for the preparation of mission budgets, assessment of resource requirements and implementation of significant financial administration initiatives
- 2 results-based-budgeting support visits to field operations to provide advice on frameworks for the budget and performance reports
- Advice to and development of financial management and administration capacity in all peacekeeping and other significant field operations, including development of financial professionals and coordinated analysis of field requirements in relation to new initiatives, such as IPSAS and enterprise resource planning implementation
- Negotiation of 15 agreements with the United Nations Volunteers Programme in Bonn, Germany, with regard to the services of United Nations Volunteers deployed to peacekeeping operations and special political missions
- Administration of residual financial affairs of 7 liquidating field operations (the United Nations Observer Mission in Angola, the United Nations Mission in Sierra Leone, the United Nations Operation in Burundi, the United Nations International Independent Investigation Committee, UNOMIG, UNIOSIL and UNMEE), including preparation of financial accounts, follow-up on outstanding accounts and financial disputes, and compliance with outstanding administrative requirements
- Provision of information technology support, including help desk, technical maintenance, and functional guidance, to all field operations on Sun and Progen financial information systems
- 5 workshops on field financial information systems for field personnel

*External factors*

Peacekeeping partners will cooperate to ensure the timely completion and implementation of memorandums of understanding on the provision of troops and contingent-owned equipment

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	1	—	—	—	1	—
D-1	1	—	—	—	1	—
P-5	3	—	—	—	3	—
P-4	15	—	1	—	16	1
P-3	23	—	—	—	23	—
P-2/P-1	2	—	—	—	2	—
<b>Subtotal</b>	<b>45</b>	<b>—</b>	<b>1</b>	<b>—</b>	<b>46</b>	<b>1</b>
<b>General Service and other</b>						
Principal level	4	—	—	—	4	—



<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
Other level	28	—	—	—	28	—
<b>Subtotal</b>	<b>32</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>32</b>	<b>—</b>
<b>Total</b>	<b>77</b>	<b>—</b>	<b>1</b>	<b>—</b>	<b>78</b>	<b>1</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2008/09)</i>	<i>Apportionment (2009/10)</i>	<i>Cost estimates (2010/11)</i>	<i>Variance</i>	
				<i>Amount</i>	<i>Percentage</i>
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	9 496.1	10 822.4	11 464.5	642.1	5.9
II. Non-post resources					
General temporary assistance	225.4	204.7	—	(204.7)	(100.0)
Official travel	335.6	421.0	966.3	545.3	129.5
Other supplies, services and equipment	—	—	1 549.1	1 549.1	—
<b>Subtotal II</b>	<b>561.0</b>	<b>625.7</b>	<b>2 515.4</b>	<b>1 889.7</b>	<b>302.0</b>
<b>Total</b>	<b>10 057.1</b>	<b>11 448.1</b>	<b>13 979.9</b>	<b>2 531.8</b>	<b>22.1</b>

**(d) Justification of posts****Budget and Performance Reporting Service**

*Finance and Budget Officer (1 P-4, general temporary assistance conversion, resubmission)*

216. The staffing establishment of the Budget and Performance Reporting Service currently includes 40 posts funded from the support account as follows: Office of the Chief: 1 D-1 and 1 General Service (Other level); Africa Section: 1 P-5, 6 P-4, 2 P-3, 1 P-2 and 6 General Service (Other level); Asia and Middle East Section and Europe and Latin America Section: 1 P-5, 2 P-4, 3 P-3 and 6 General Service (Other level); and Special Political Missions Section: 5 P-3, 2 General Service (Principal level) and 3 General Service (Other level).

217. The implementation of IPSAS and the Umoja enterprise resource planning system will result in a fundamental change in the financial management of field-based operations. In this context, as the lead Department, the Department of Management is responsible for providing overall leadership and coordination at the strategic level, including system-wide IPSAS policy guidance, the development of standard training packages, and liaison with Member States, the Board of Auditors, OIOS and the enterprise resource planning project. However, given the size and scale of peacekeeping operations, it is proposed that DFS (Field Budget and Finance Division/Budget and Performance Reporting Service) would complement the role of the Department of Management, through the provision of support to peacekeeping business process owners in the development of specific field-based practical support

packages, including operating guidelines and interpretation of IPSAS policies, as well as manuals and training. It is also expected that DFS will guide and monitor the enhancement of business practices in the field as IPSAS policies are developed.

218. In order to benchmark the requirements for support to the IPSAS project that could be provided by DFS, the lessons learned from the practical experience of the WFP, an early adopter of IPSAS and a field organization in its operations, were analysed. A key lesson emerging from this discussion and analysis was that preparations for IPSAS were conducted in WFP over a three-year period prior to adoption. In this context, it should be noted that peacekeeping operations are significantly larger than the operations conducted by WFP, and there is a critical need for operational preparations to begin as soon as possible.

219. Notwithstanding the projected requirements for specific field-based support in all field operations, the high risks associated with inventory and asset management as emphasized by the Board of Auditors in their report for the 12-month period from 1 July 2008 to 30 June 2009 (A/64/5, Vol. II) and the lessons learned from WFP, there are currently no dedicated resources assigned to the IPSAS project within DFS. This situation is not sustainable, and the lack of a small dedicated capacity exposes DFS to the risk of not being able to provide coordinated operational guidance and support to field operations, which in turn exposes those operations to the risk of not being adequately prepared operationally in terms of business processes and sufficient numbers of trained staff. The implementation of IPSAS and enterprise resource planning are long-term projects, with initial implementation of IPSAS (support by enterprise resource planning) not expected until 2014, followed by a transitional period. Continued support would be required for field operations in the area of training for a period of time after the enterprise resource planning system is released into production and IPSAS is implemented. In this context, general temporary assistance would not be appropriate owing to human resources policies on temporary appointments; a maximum term of 364 days in a year or, for exceptional circumstances, 729 days within 27 months. Continuity in this function for the duration of the implementation phase is essential for successful implementation. In addition, IPSAS and enterprise resource planning are far more complex than current practices and will require strengthened ongoing oversight.

220. It is therefore proposed to convert a general temporary assistance position at the P-4 level to establish a post for a Finance and Budget Officer. The incumbent of the post would serve as the Department-wide capacity in support of the implementation of IPSAS. As noted above, the Field Budget and Finance Division will focus its efforts at the operational level on major risk areas, including inventory, assets and employee benefits, and act as the interface between the Department of Management IPSAS team and peacekeeping operations. It will be responsible for coordinating the work of DFS divisions in the development of specific field guidance and training aimed at strengthening practices and processes in preparation for IPSAS implementation, monitoring enhancements and providing feedback and lessons learned for the Department of Management on progress and for further policy development.

(e) **Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$11 464.5	\$642.1	5.9%

221. The provision of \$11,464,500 would cover salaries, common staff costs and staff assessment for the 77 continuing posts and 1 proposed new post. The variance is attributable to: (a) increased standard costs; (b) the continuation of additional posts approved for 2009/10 in respect of which delayed recruitment factors of 65 per cent (Professional category) and 50 per cent (GS category) were applied; (c) and to the proposed establishment of 1 new post. The computation of requirements for all continuing posts reflects the application of budgeted vacancy rates of 12 per cent and 7 per cent for continuing Professional and General Service posts, respectively, and a 65 per cent delayed recruitment factor for the proposed new Professional post.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$966.3	\$545.3	129.5%

222. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Technical support	398 900	19 predeployment briefings on contingent-owned equipment and memorandums of understanding for troop-contributing countries in support of existing operations 15 field assistance visits to provide on-site support to the preparation of mission budgets, assessment of resource requirements and implementation of significant financial administration initiatives
Seminars/conferences/workshops	567 400	Organization of the 2011 meeting of the Working Group on Contingent-Owned Equipment, including preparation of working group papers 5 workshops on field financial information systems for field personnel
<b>Total</b>	<b>966 300</b>	

223. An amount of \$398,900 is proposed for travel to undertake the following technical support activities: improve finance and budget processes in field operations (\$250,900); assist field operations in drafting their results-based-budgeting frameworks (\$28,600); and predeployment visits to troop- and police-contributing countries in preparation for deployment to peacekeeping missions (\$119,400).

224. An amount of \$567,400 is proposed for travel in connection with the meeting of the Working Group on Contingent-Owned Equipment, to be held in New York in January/February 2011 for three weeks, where the travel of the 48 representatives of

Members States from developing and least developed countries would be supported by the United Nations (\$504,000), and the workshops held jointly by the Field Budget and Finance Division and Peacekeeping Finance Division on the funds monitoring tool used in field operations (\$63,400).

225. The variance is attributable to travel related to the meeting of the Working Group on Contingent-Owned Equipment in 2011, held every three years pursuant to resolution 54/19 B.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$1 549.1	\$1 549.1 —

226. An amount of \$1,549,100 is proposed for services for the Working Group on Contingent-Owned Equipment as follows: conference services for interpretation (\$736,100) and documentation (\$777,600); translation of documentation into all official languages of the United Nations (\$20,000); and reception (\$6,000) and supplies (\$9,400). The Field Budget and Finance Division will begin processing the data from countries as early as June 2010 and will continue until the end of May 2011 when the report of the Secretary-General will be submitted for publication. Responsibilities involved in arranging a conference of this size include: administrative travel arrangements for the 48 attendees from participating countries; compilation, analysis and distribution to 180 Member States of all the national cost data received from Member States; compilation, analysis and distribution of issue papers to 180 Member States; administrative arrangements regarding conference rooms and deliberations of the meetings and reports associated with the conference; provision of assistance in organizing the conference for 350 participants.

### 3. Field Personnel Division

#### (a) Results-based-budgeting framework

227. The Field Personnel Division was established by the General Assembly in its resolution 61/279 and recently extended in its resolution 63/287.

228. The mission of the Division is to enable peacekeeping operations to fulfil their mandates by designing, recruiting, developing and maintaining a high-quality civilian workforce. The Division comprises two services: the Field Personnel Operations Service, which provides operational support in the functional areas of travel and administration (including on-boarding) to all field operations which do not have delegated human resources management authority; and the Field Personnel Specialist Support Service. The latter provides strategic services in the areas of policy implementation guidance, organizational design and classification, self-monitoring, information management, outreach, roster maintenance and succession planning. The priorities of the Division are to improve capacity of field operations to administer themselves, to strengthen the Department's capability to rapidly deploy high-quality personnel, to improve representation of troop- and police-contributing countries and gender balance at all levels in field operations and to implement succession management practices which assure responsible management of financial, human and physical resources, while maintaining high-quality support in field operations.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates	2.1 Missions meet the projected incumbency rates set in the context of approved mission plans and budgets for missions in a start-up, expansion or transition phase

*Outputs*

- Over 550 rosters in 24 occupational groups of candidates pre-endorsed by the Field Central Review Bodies and available for immediate selection against 2,600 mission vacancies

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 Stable missions maintain or exceed an 80 per cent incumbency rate within the constraints of the missions' human resources action plans, through the use of established rosters of pre-endorsed candidates (2008/09: 81.3 per cent; 2009/10: 80 per cent; 2010/11: 80 per cent)

*Outputs*

- 10 outreach activities targeting eligible female applicants and applicants from troop- and police-contributing countries
- Provision of online and e-mail career support for staff members and training and consultation to 1,000 international staff members in 4 field operations (UNMIL, UNMIS, UNMIT and UNOCI)
- Succession planning mechanism integrated with the talent management system linked to workforce planning and career development
- 462 expert panel meetings and 1,250 cases sent for the Field Central Review Bodies to review
- 13 videoconferencing sessions with field operations and monthly e-chat to provide guidance on policies, procedures, processes and systems to implement the staff rules and regulations and their associated administrative issuances in all field operations and UNLB, with approximately 7,000 international staff and 20,000 national staff
- Direct personnel administrative support (including recruitment, travel and administration of contracts, salaries, allowances, benefit claims and entitlements) for 49 IMIS functionalities to all field operations and for 79 functionalities for operations without delegated human resources management authority, for 7,000 international staff
- Review of the organizational design and staffing structure of all field operations (e.g., reporting lines, categories of staff, numbers, grade levels and functional titles of the posts), staffing table management and post management
- Creation of 271 general job profiles for required functions and levels in the current occupational groups in field operations
- 9,273 field service and national posts classified

- A comprehensive and certified training programme in human resources management for 600 field officers, including 3 e-learning courses, the programme for advanced compendium for training (PACT) and the organization of the annual chief civilian personnel officer/human resources network conference
- Administration of the Nucleus application and provision of help desk support to 1,000 users; provision of substantive training on human resources IT systems, through e-mail, videoteleconference, WebEx, computer-based training to human resources field personnel and through 8 on-site visits

*External factors*

The demands for human resources services by supported clients do not exceed projected expectations

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	1	—	—	—	1	—
D-1	2	—	—	—	2	—
P-5	7	—	—	—	7	—
P-4	13	(1)	—	—	12	(1)
P-3	24	(1)	—	—	23	(1)
P-2/P-1	2	—	—	—	2	—
<b>Subtotal</b>	<b>49</b>	<b>(2)</b>	<b>—</b>	<b>—</b>	<b>47</b>	<b>(2)</b>
<b>General Service and other</b>						
Principal level	8	—	—	—	8	—
Other level	63	(2)	—	—	61	(2)
<b>Subtotal</b>	<b>71</b>	<b>(2)</b>	<b>—</b>	<b>—</b>	<b>69</b>	<b>(2)</b>
<b>Total</b>	<b>120</b>	<b>(4)</b>	<b>—</b>	<b>—</b>	<b>116</b>	<b>(4)</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	14 984.3	15 364.3	15 383.2	18.9	0.1
II. Non-post resources					
General temporary assistance	1 463.4	2 528.8	3 118.4	589.6	23.3
Consultants	188.8	175.0	20.0	(155.0)	(88.6)
Official travel	361.1	416.7	421.2	4.5	1.1
Other supplies, services and equipment	13.3	23.1	400.0	376.9	1 631.6
<b>Subtotal II</b>	<b>2 026.6</b>	<b>3 143.6</b>	<b>3 959.6</b>	<b>816.0</b>	<b>26.0</b>
<b>Total</b>	<b>17 010.9</b>	<b>18 507.9</b>	<b>19 342.8</b>	<b>834.9</b>	<b>4.5</b>

**(d) Justification of posts**

*Redeployment of 4 posts to UNLB (2 Human Resources Officers (1 P-4, 1 P-3)),  
2 Human Resources Assistants (General Service (Other level))*

229. It is proposed that the Field Central Review Body secretariat services, currently located in the Field Personnel Division at Headquarters and funded from the support account, be redeployed to UNLB in 2010/11. As envisaged in the DFS support strategy, regional service centres will deliver integrated mission-focused service packages to meet specific mission needs. The global service packages will be configured and managed from the global service centre. During the five-year implementation horizon for the support strategy, investments already made in UNLB will be leveraged for the global service centre. While UNLB will continue to perform its current tasks as the logistics base for United Nations peacekeeping (including provision of logistical and ICT support, and maintenance of the strategic deployment stocks reserve), it is proposed to further develop the Logistics Base to support centres of excellence for service delivery to the field in global support areas, including the Field Central Review Body secretariat services.

230. FCRB is responsible for providing training to 118 members of the Review Body, ensuring consistency in the discharge of their functions, developing strategies, policies and procedures on staffing matters in accordance with the Charter and General Assembly mandates, and supervising, coaching and developing other junior members of the Review Body and attending Review Body meetings, video teleconferences and working groups on any matters pertaining to the Review Body. The Human Resources Officer at the P-4 level acts as the Secretary of the Field Central Review Board, which is responsible for the review of submissions for recommended candidates for posts at the P-5 and D-1 levels. The Human Resources Officer at the P-3 level acts as Secretary of the Field Central Review Committee and Panel, which provides advice on the recommendations of candidates for the rosters at the FS-6 and FS-7 grades as well as in the Professional category up to the P-4

level and the Field Service category up to the FS-5 level. The two Secretaries provide substantive and administrative support to members of their respective Field Central Review Body, liaise on policy and other staffing matters with missions and members of the Field Central Review Body, coordinate the weekly submission of cases to the members and provide advice to the missions and/or Occupational Group Managers on the outcome of reviews as well as follow-up on the recommendation of the bodies.

231. The two General Service (Other level) staff members in the Field Central Review Body attend to all administrative details related to the submission of cases for review by the Review Body, provide assistance and guidance to members in navigating the database, track member response rate and other data for Review Body reporting, update the necessary databases and engage in other activities to track and record the work of the Review Body, provide assistance in the coordination of the Review Body training programmes, including booking facilities, sending invitations to the members, preparing binders, updating presentations, shipping content to the respective training facility and attending to other administrative details related to the training.

(e) **Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$15 383.2	\$18.9	0.1%

232. The provision of \$15,383,200 would cover salaries, common staff costs and staff assessment for the 116 continuing posts. The variance is attributable to the proposed redeployment of four posts (1 P-4, 1 P-3, 2 GS (OL)) of the Field Central Review Body from Headquarters to UNLB offset, in part, by increased standard costs, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service category posts, respectively.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$3 118.4	\$589.6	23.3%

233. The proposed requirements in the amount of \$3,118,400 would cover the continuation of 18 general temporary assistance positions and the establishment of 2 new positions, as follows.

**Recruitment Unit**

*Occupational Group Managers (13 positions (P-3), continuation; 2 positions (P-4), new)*

*Occupational Group Assistants (4 positions (GS (OL)), continuation)*

234. Occupational Group Managers are subject matter experts in the occupational group under their purview, representing 24 groups. The assignment to Headquarters is intended as a career development opportunity for high-performing field staff. At the same time, by limiting the period at Headquarters for performing the important role of Occupational Group Managers to a maximum of two years, the Field Personnel Division aims at increasing the transparency, fairness and efficiency of the rostering and selection process for candidates for peace operations. As at



November 2009, all Occupational Group Managers and four Occupational Group Assistants (GS (OL)) approved for 2009/10 had been recruited and trained.

235. Each of the 13 Occupational Group Managers would continue the responsibilities for reviewing applications, identifying candidates for further assessment by subject matter experts, that is, expert panels, serving as Secretary for the expert panel under his or her purview and consolidating findings and interview reports from the panel for presentation to the Field Central Review Bodies, monitoring incumbency rates in the field operations for positions in his or her occupational group, managing his or her assigned roster, developing shortlists for programme managers in the field operations and determining when outreach activities should be conducted to address gaps in the roster, especially in gender and geographic representation, and determining the mobility opportunities for staff members currently serving in the field so as to rotate staff among relevant duty stations.

236. Over the past year, experience has demonstrated the need for Occupational Group Managers in the areas of security and information technology. In view of the complexity of the functions related to the occupational groups, the magnitude of the rosters, the levels of interaction with partners in the Organization and the need to mitigate the margin of error and the level of risk for the Organization, in particular, implications for the safety and security of staff and management of high-cost equipment, the scope of the function requires personnel at the P-4 level. Two additional Occupational Group Managers at the P-3 level were proposed in the context of the 2009/10 support account budget proposal (Security and Information Technology).

237. The proposed resources are vital to the continuation of the approach to rostering established in 2009/10 and to the success of the implementation of talent management (Inspira). As indicated in the previous budget for the support account (A/63/767), this approach to rostering will greatly improve the level of services provided to the field. The costly and time-consuming processes of substantive assessment, short-listing, interviewing and preparing comparative evaluations and selection cases, which are currently carried out by the programme managers in the field, will disappear, as such functions will be performed centrally under the stewardship of the Occupational Group Managers. Without a centralized rostering system, valuable time and resources are lost, in particular in start-up operations, by diverting programme managers from mission mandate implementation. Moreover, by developing rosters of qualified candidates centrally through a process subject to central review, more staff in the field will be able to take advantage of the mobility incentives as contained within the human resources reforms.

238. The functions of the Occupational Group Managers are expected to be continuing in nature. However, in accordance with the OIOS report on the audit of the Secretariat's structure for managing and sustaining peacekeeping operations (A/63/837), as mandated in General Assembly resolution 61/279, in which the Office recommends the periodic rotation of staff performing financial and human resources functions as a best practice to enhance internal control, the Field Personnel Division proposed that the functions of Occupational Group Manager should be filled by experienced field staff on assignment to Headquarters from their parent duty station in the field for a maximum period of two years.

### Quality Assurance and Information Management Section

#### *Human Resources Officer — administration of justice (1 position (P-3), continuation)*

239. The Section is composed of 9 Professional and 11 General Service posts (1 P-5, 2 P-4, 6 P-3, 2 GS (PL), 9 GS (OL)) funded from the support account. The staff of the Quality Assurance Unit serve as subject matter experts on all human resources management issues as they relate to the Organization's administration of justice system and ensure that proper procedures and guidelines on staffing are promulgated. The new system of administration of justice implemented on 1 July 2009 has resulted in new requirements and stakeholders that the Field Personnel Division must engage with to ensure due process, and to meet the Organization's needs when it comes to addressing staff members grievances. This involves coordinating formal and informal dispute resolution with the Administrative Law Unit, the Management Evaluation Unit in DM, the Office of the Ombudsman, the Office of Legal Affairs, the Conduct and Discipline Unit in DFS/OUSG, the Investigations Division, OIOS, and the Office of Staff Legal Assistance.

240. Each of the management evaluations received by the Management Evaluation Unit requires the Field Personnel Division to respond formally to the Unit, including providing specific facts, documentation, applicable rules and analysis of the matter. Owing to the professional nature of the United Nations Dispute Tribunal (that is, headed by former judges), Unit requests place a higher burden of delivery on the Unit, both in terms of quantity and quality of responses. The Unit serves as the legal and policy focal point for DFS for the Administrative Law Unit. For disciplinary sanctions, the Quality Assurance Unit ensures implementation of the decisions through regular follow-up with the Field Personnel Operations Service and all missions. Disciplinary cases require either the implementation of sanctions or follow-up with relevant offices. In the context of the growth in caseload generated by the new administration of law system, as shown in the table below, it is proposed that the general temporary assistance position of Human Resources Officer at the P-3 level be continued.

#### Case workload

<i>Type of case</i>	<i>2008</i>	<i>2009</i>	<i>2010</i>
Management evaluation/administrative appeal/review	33	50	80
Ombudsman	37	25	40
General inquiry/investigation	64	95	120
Disciplinary	126	197	300
<b>Total</b>	<b>260</b>	<b>367</b>	<b>540</b>

241. The variance is attributable to (a) the continuation of 18 general temporary assistance positions approved for 2009/10 in respect of which delayed recruitment factors of 25 per cent (Professional category) and 12.5 per cent (General Service category) were applied to 12 new positions and (b) to the proposed establishment of 2 new positions. The 2010/11 budgeted vacancy rates applied to the computation of requirements for the continuing Professional and General Service category posts are 7 per cent and 5.2 per cent, respectively.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Consultants</b>	\$20.0	(\$155.0) (88.6%)

242. An amount of \$20,000 is proposed for a consultant to update the Internet-based DPKO human resources handbook created in 2000, which provides internal guidance to mission and Headquarters personnel responsible for human resources management of international and local staff in field operations.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$421.2	\$4.5 1.1%

243. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/consultation	96 400	While there is no direct output reference which can be attributed to this travel category, it is within the scope of expected accomplishment 3 "Increased efficiency and effectiveness of peacekeeping operations"
Technical support	241 300	Over 550 rosters in 24 occupational groups of candidates pre-endorsed by the Field Central Review Bodies and available for immediate selection against 2,600 mission vacancies  10 outreach activities targeting eligible female applicants and applicants from troop- and police-contributing countries  Online and e-mail career support for staff members, training and consultation to 1,000 international staff members in 4 field operations (UNMIL, UNMIS, UNMIT and UNOCI)
Seminars/conferences/workshops	83 500	A comprehensive and certified training programme in human resources management for 600 field officers, including 3 e-learning courses, PACT and the organization of the annual chief civilian personnel officer/human resources network conference
<b>Total</b>	<b>421 200</b>	

244. An amount of \$96,400 is proposed for travel to field operations to ensure oversight and evaluation of the performance of human resources management functions in the field through participation in joint OHRM/Field Personnel Division monitoring visits.

245. An amount of \$241,300 is proposed for travel to undertake technical support activities (outreach in Egypt, the United States of America, South America, Lebanon and India (annual exhibitions, recruitment and fairs, industry fairs and recruitment at fairs for women); career development counselling in the field and participation at a career development round table sharing best practices in human resources

management within the United Nations system, for human resources information technology support to ensure smooth implementation of and transition to the Inspira framework (talent management)), and to participate in the expert panel in Entebbe, Uganda, and consolidate findings and interview reports for presentation to the Field Central Review Bodies.

246. An amount of \$83,500 is proposed for travel in connection with the following seminars/conferences/workshops; regular meetings of staff and management representatives at the Field Joint Negotiation Committee meetings on staff rules and regulations; representation of DFS in consultations at the annual meeting of the Staff Management Coordination Committee on human resources policies affecting staff in field operations; and the annual human resources information technology systems conference.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$400.0	\$376.9 1 631.6%

247. The proposed amount of \$400,000 would provide for services to classify 9,273 National and Field Service posts in order to meet the implementation requirements of talent management (Inspira). The Board of Auditors expressed its concern about missions' post classification requests remaining pending for long periods of time, as that would delay the filling of the posts, cause problems for the finalization of posts and staffing tables, and affect negatively the morale and performance of the relevant staff whose posts are pending reclassification. The Field Personnel Division does not have the capacity to address the magnitude of the classification of posts throughout field operations.

#### **4. Logistics Support Division**

##### **(a) Results-based-budgeting framework**

248. The mandate of the Logistics Support Division was established by the General Assembly in its resolution 56/241 and recently extended in its resolution 63/287.

249. The Division is responsible for implementing and monitoring policies and procedures for all logistics issues in field operations. It comprises the Operational Support Service, the Specialist Support Service and the Transportation and Movements Service.

250. The Operational Support Service is dedicated to planning logistics operations and programme support; developing, reviewing, and amending logistics policies and procedures for fully integrated operational support activities for field operations; developing initial support and material resource plans for new operations, in consultation with integrated operating teams; and undertaking logistics assessments and reviews of field operations. The Service also manages strategic deployment stocks to support the rapid deployment of new operations or the changing operational requirements of existing ones, maintaining readiness and ensuring replenishment. The Aviation Safety Section within the Service manages the safety of air operations and assets of DFS, in compliance with international safety standards.

251. The Specialist Support Service ensures the effective delivery of logistics commodities and services (supply, engineering, contingent-owned equipment, property management, cartographic and medical support, including pandemic

influenza preparedness). In addition, the Service will contribute to issue papers, documentation and impact analysis in support of Contingent-owned Equipment Working Group activities in early 2011, and the subsequent implementation of amendments to the Contingent-owned Equipment Manual in peacekeeping operations.

252. The Transportation and Movements Service ensures effective logistics capabilities (air transport and strategic air and sea lift) for the movement of military and civilian personnel and cargo, and the efficient provision of vehicles and spare parts. The Service provides guidance to field operations for resource optimization, on a global and regional basis, to meet the strategic movement requirements of personnel and materials in support of the start-up and sustainment of field operations.

253. The Logistics Support Division coordinates its operations with UNLB, which manages reserve equipment stocks and strategic deployment stocks. The Services in the Division provide direction to counterparts in UNLB, including the Strategic Air Operations Centre, the Aviation Safety regional office, the Geospatial Information Service Centre and the Engineering Standardization and Design Centre. The Division is streamlining the supply chain management process to prepare for the migration to ERP and IPSAS. It will enhance risk and contract management, move towards environmentally friendly operations and build capacity to increase the investment in people for the long-term through more specialized training. The Division will also undertake measures to enhance integrated movement planning and operations in East and Central Africa to optimize available aviation and ground transport assets and to provide better service in a more cost-effective manner.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	<p>1.1 The Security Council is provided within 3 days of request with up-to-date Geospatial Information Service data, satellite imagery and thematic analysis maps relating to matters of which it is seized (2008/09: 5 days; 2009/10: 4 days; 2010/11: 3 days)</p> <p>1.2 Full compliance with memorandums of understanding signed during the reporting period with troop- and police-contributing countries in respect of major equipment and categories of self-sustainment reviewed and cleared during predeployment visits (2008/09: not applicable/not available; 2009/10: 100 per cent; 2010/11: 100 per cent)</p>

#### *Outputs*

### **Operational Support Service**

- 10 logistical and technical support briefings for permanent missions and national delegations of troop- and police-contributing countries
- 10 predeployment visits to troop- and police-contributing countries for assessment of the logistics support capabilities and to provide advice to Member States about sufficiency and/or shortfalls under various categories of major equipment and self-sustainment

### Specialist Support Service

- 3 strategic partnerships with national institutions as well as international and regional organizations for the co-production and sharing of geospatial data and Geospatial Information Service application development

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates	<p>2.1 Identification and deployment, within 90 days of Security Council mandates, of strategic deployment stocks and other logistics equipment to support start-up teams and initial troop or police deployments (2008/09: 90 days; 2009/10: 90 days; 2010/11: 90 days)</p> <p>2.2 Increased number of systems contracts available to the missions with “not to exceed” amounts that cover identified needs, 365 days a year (2008/09: 128; 2009/10: 128; 2010/11: 145)</p> <p>2.3 Aviation assessments conducted within 30 days and action plans developed within 90 days of the adoption of a Security Council mandate (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 100 per cent)</p>

#### *Outputs*

### Operational Support Service

- Recomposition and replenishment of strategic deployment stocks based on utilization by all field operations, incorporating lessons learned and technological advances

### Specialist Support Service

- Development of 2 rapidly deployable modularized Geospatial Information Service packages that are operational at mission start-up

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Improved management of road safety and workshop safety practices of missions and decrease in the rate of accidents in missions (2008/09: 2.9 accidents per 100,000 km; 2009/10: 2 accidents per 100,000 km; 2010/11: 1.8 accidents per 100,000 km)</p> <p>3.2 Improved rate of compliance with recommendations from aviation safety assistance visits to missions (2008/09: 59 per cent; 2009/10: 74 per cent; 2010/11: 85 per cent)</p> <p>3.3 Increase in the number of troops rotated by the use of regional air support assets (2008/09: 48,917; 2009/10: 25,000; 2010/11: 35,000)</p>

*Outputs***Office of the Director**

- Development and delivery of an environmental and project management training programme for designated environmental focal points in all field operations

**Operational Support Service**

- 14 aviation safety assistance visits to field operations with aircraft assigned to them, to review compliance with United Nations and international standards and recommended practices to ensure full implementation of the operational risk management concept
- Mission support plans for the transition of up to 4 field missions from peacekeeping operation to special political mission or vice versa
- 7 logistics assessment visits to field operations to provide planning guidance for the expansion/transition/sustainment/liquidation of field operations

**Specialist Support Service**

- Deployment of 4 pre-packaged geographic information system application tools in support of field operations, including the security warden information system, incident reporting system and real-time vehicle tracking and operation system
- Roll-out of bar code technology applications in 5 field operations and completion of a centrally supervised catalogue of expendable property to improve the identification, verification and management of United Nations-owned equipment assets
- Conduct of 1 workshop for 25 Chiefs of Property Management Sections and Contingent-owned Equipment Units to finalize the preparation of Secretariat-issued papers for consideration by the 2011 Contingent-owned Equipment Working Group

**Transportation and Movements Service**

- Development and delivery of a road safety and workshop safety programme in 23 field operations for all users of vehicles to harmonize best practices throughout operations and contingents
- Implementation of a global transportation technical and inter-agency agreement to coordinate the delivery of an adequate level of aviation and ground support services to field missions through ICAO, WFP and system commercial service providers
- Deployment of air transport operations and performance management backup office technology to UNLB and to 2 field operations
- Establishment of regional integrated transportation and movement services in East and Central Africa to optimize resources and to better serve on a regional basis MONUC, MINURCAT, UNMIS, UNAMID, UNPOS, support for AMISOM and political missions in the Great Lakes region of Africa
- Establishment of an integrated approach to develop and sustain airfield infrastructure under the management service agreement between the United Nations and ICAO and to associated ground support equipment in MONUC, MINURCAT, UNMIS and UNAMID
- Aviation quality assurance/air carrier inspection visits to 2 countries in the Africa region to enhance the vendor base

- Implementation of the enterprise fuel management system in 8 peacekeeping operations in collaboration with the Office of Information and Communications Technology
- Implementation of the rations scale in 2 remaining field operations and update of the Rations Manual

*External factors*

Troop- and police-contributing countries will cooperate to ensure the timely completion and implementation of memorandums of understanding on the provision of troops, formed police personnel and contingent owned equipment; and, vendors and suppliers will be able to deliver goods and services on time

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	3	—	—	—	3	—
P-5	9	—	—	—	9	—
P-4	41	—	—	—	41	—
P-3	54	—	2	1	57	3
P-2/P-1	1	—	—	—	1	—
<b>Subtotal</b>	<b>108</b>	<b>—</b>	<b>2</b>	<b>1</b>	<b>111</b>	<b>3</b>
<b>General Service and other</b>						
Principal level	3	—	—	—	3	—
Other level	42	—	—	—	42	—
Security Service	—	—	—	—	—	—
Field Service	—	—	—	—	—	—
National general service	—	—	—	—	—	—
<b>Subtotal</b>	<b>45</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>45</b>	<b>—</b>
<b>Total</b>	<b>153</b>	<b>—</b>	<b>2</b>	<b>1</b>	<b>156</b>	<b>3</b>



**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	21 478.1	22 730.0	24 502.1	1 772.1	7.8
II. Non-post resources					
General temporary assistance	494.0	474.6	138.7	(335.9)	(70.8)
Consultants	556.4	514.0	63.2	(450.8)	(87.7)
Official travel	968.4	1 152.5	1 191.1	38.6	3.3
Other supplies, services and equipment	—	—	28.4	28.4	—
<b>Subtotal II</b>	<b>2 018.8</b>	<b>2 141.1</b>	<b>1 421.4</b>	<b>(719.7)</b>	<b>(33.6)</b>
<b>Total</b>	<b>23 496.9</b>	<b>24 871.1</b>	<b>25 923.5</b>	<b>1 052.4</b>	<b>4.2</b>

**(d) Justification of posts**

*Redeployment of 1 post of Environmental Officer (P-3) from the Engineering Section to the Office of the Director*

254. Consideration of the environment is a cross-cutting issue for all logistics-related sections. The DPKO/DFS environmental policy for field operations, with effect since June 2009, outlines actions in various areas which extend beyond engineering. As a result, the incumbent is being tasked by different sections and is required to provide advice to all needed sections on related environmental issues. In the field, the Chief of Mission Support/Director of Mission Support is responsible for the implementation of the environmental policy in field operations. Given that the post will cover comparable functions, redeployment is proposed to reflect the same structure in field operations at Headquarters. The redeployment from the Engineering Section to the Office of the Director would improve efficiency by removing layers in the current chain of command, which have contributed to delays in integrating environmental policy within the Division, and ensuring the approval of non-engineering technical areas by the appropriate substantive personnel.

**Special Support Services, Engineering Section**

*Asset Management Officer (1 P-3, general temporary assistance conversion)*

255. The staffing establishment of the Engineering Section currently includes 13 Professional (1 P-5, 4 P-4, 8 P-3) and 3 General Service (Other level) posts funded from the support account. It is responsible for providing day-to-day support to existing field operations; preparing engineering mission resource plans and budgets for start-up missions; preparing engineering guidelines and policies related to environment, accommodation, power, water, asset management and fire prevention and assisting in providing technical support in researching and providing a continuous supply of water to the missions; establishing global system contracts for generators, electrical equipment, prefabricated structures, water purification and waste water systems, field defence stores and construction services; and monitoring

the utilization of the engineering system contracts; and preparing the budget and performance reports of the Section.

256. Prior to the provision of a general temporary assistance position at the P-3 level, in 2008/09, engineering asset management at Headquarters was undertaken by desk officers as a secondary responsibility when supporting missions. Asset management has not been a priority, demonstrated by the lack of guidance and advice provided to relevant mission asset personnel, resulting in engineering asset database errors, lack of identification of excess stock, slow moving or obsolete stock and appropriate action to ensure the stocks are properly managed, and lack of support with codification and classification to ensure a consistent description of assets, thus ensuring homogenous recording of the assets in the database. However, with the significant increase in engineering assets, both in terms of volume and value, the ad hoc arrangement can no longer be sustained. Engineering assets form a substantial portion of the field operation's total inventory at 40 per cent of mission assets. The Engineering Section is responsible for the management of \$52 million worth of assets in the strategic deployment stocks and a global inventory of \$579 million of non-expendable and \$208 million of expendable engineering equipment and material. As at October 2009, the total value of engineering stores (assets and expendables, including strategic deployment stocks) reached \$839 million, which represents an increase of 119 per cent in asset value from \$383 million in June 2007.

257. Given that the transition to IPSAS and the introduction of enterprise resource planning into the property management business process will require a holistic life cycle approach to the management of engineering assets, a specialist experienced in asset management is essential to ensure that engineering assets will be properly managed and accounted for under the new system. There will be a dramatic impact on how engineering assets are valued and entered into inventory. The accuracy of the database when information is transferred to the new system is vital and engineering issues need to be properly taken into account to ensure that engineering activity is properly recorded under the system when it is introduced.

258. In this context, it is proposed that a general temporary assistance position at the P-3 level be converted to establish a post of Asset Management Officer in order to develop guidance, policies and/or standard operating procedures, in particular during the introduction of enterprise resource planning; develop standardized procedures and work closely with the property management team; provides support for the implementation of codification and classification of engineering assets both expendable and non-expendable; and ensure that engineering asset and material management adheres to financial rules and regulations for property management. The incumbent would support both the business requirement and the strategic process transformation in connection with enterprise resource planning implementation in the area of asset management by integrating people, process and technology for an effective and efficient delivery.

*Water Engineer (P-3, general temporary assistance conversion)*

259. Provision of accommodation, power and water to all field operations is one of the primary responsibilities of the Engineering Section. Presently, water and waste water management is provided to over 100,000 uniformed personnel and over 25,000 civilians. There are 150 wells, 750 water treatment plants, 25 bottling plants

and 1,200 waste water treatment systems located in field operations. These figures represent an increase of 30 per cent since 2007. There is currently one post (P-3) dedicated to supporting water research, supply and conservation, assessing water resources in African missions and supporting missions in the management of these resources; assessing ground and rain water capacities and providing advice on recovery techniques to meet mission requirements and environmental action to conserve, recycle and replenish resources without adversely affecting the local population. The most recently established missions (UNAMID, MINURCAT and support for AMISOM) have demonstrated the importance of planning for the availability, supply and treatment of water, including its impact on missions overall and the local population. These missions are facing critical challenges in meeting the demand for the provision of water. Available expertise in this area is essential given the developments in the field, in particular with these three missions.

260. Given the core nature of this function, it is proposed that a general temporary assistance position at the P-3 level be converted to establish a post of Water Engineer, the incumbent of which would be responsible for policy-related water management engineering tasks for field operations and serve as the environmental focal point on water and sanitation for the Policy Unit in the Engineering Section. The incumbent would guide the conduct of the feasibility and hydrogeological surveys and subsequently design and plan the well drillings in such a manner that the host country's natural resources would not be at risk of depletion. He or she would also explore new alternative technologies, including recycling and a reuse plan for water conservation, which would reduce and save water from 100 to 85 litres per day per person. Continuation of available expertise in this area is essential given the developments in the field, in particular in African missions where water is scarce. This function would enhance mission capabilities to ensure that water resources meet military troop and civilian personnel demands and ensure that local population requirements and environmental impacts would be considered and alleviated. The function requires a professional engineer experienced in developing water policy and strategy, while minimizing environmental impact.

261. Moreover, many issues in the DPKO/DFS environmental policy and guidelines relate to water, waste water and other environmental engineering-related subjects. The incumbent would ensure that the field operations carry out surveys in such a manner as to avoid natural resource disasters in the host country, such as desertification and untreated disposal of waste water, which would have an impact on human beings and the environment.

### **Special Support Services, Cartographic Section**

#### *Boundary Analyst (1 post (P-3), new)*

262. The Cartographic Section provides support to the Secretariat and the Security Council in cartographic and geographical matters, provides oversight on and coordinates activities with mission GIS Units and the UNLB GIS Centre, provides field operations with accurate and timely geographic information and terrain analysis in support of the decision-making and operational needs; produces planning and operational maps, geospatial data and clearing maps to be printed in official publications of the United Nations; and researches and analyses international boundary issues to provide technical assistance on international boundary demarcation processes. The Section also carries out assessments of geographic

information requirements, analysis/study for mission planning and start-up, and development of operational concepts, functional requirements, standard operating procedures, planning and budget guidelines, and logistics support plans. Moreover, the Section establishes and maintains systems contracts and global GIS assets, including strategic deployment stocks.

263. The availability of accurate and up-to-date maps is critical to successful peacekeeping operations, as they impact the safety/security of peacekeepers, rescue and evacuation of personnel as well as the political and military decision-making process at various levels. The production of customized maps is a complex process, as the required maps are often not available from Government sources or from commercial entities. During the past two decades, the Cartographic Section has been involved in various international boundary delimitation and demarcation activities on an ad hoc basis, for example, Blue Line (Lebanon-Israel), Green Line (Cyprus), Eritrea-Ethiopia, Cameroon-Nigeria, African Union Border Programme and Sudan North-South Border Committee. There has been a continuous demand for studies and information on disputed common borders by the Security Council as well as the Department of Political Affairs and DPKO to enable them to respond immediately to border crises and to prevent conflicts. As the Section is responsible for providing clearance on United Nations published maps so as to ensure that the depiction of boundaries and names are in accordance with policies, a dedicated capacity is required to review maps for publications.

264. Currently, all important geopolitical functions have been carried out on an ad hoc basis by the Section, resulting in the delay or incompleteness of other mandated tasks. Furthermore, in some instances, owing to the lack of systematic research, the representation of the international boundaries on the United Nations maps has been inadequate. Given this lack of institutional and sustainable capacity, DFS is not in a position to respond immediately to border issues in a systemic way with institutional and sustainable capacity. Accordingly, and in the light of continued workload, anticipated international boundary issues and the core nature of this function, it is proposed that a post of Boundary Analyst be established at the P-3 level to respond immediately to boundary crises and prevent border conflicts by providing impartial technical expertise. The incumbent would research and analyse geospatial data related to the international boundaries, including the interpretation of satellite imagery, treaty maps and other relevant material, in order to provide technical advice on the delineation and demarcation of the boundaries, maintain a boundary resources database so as to provide immediate response to boundary crises and collaborate with the Office of Legal Affairs in conducting the boundary study for proper representation of the international boundaries on United Nations maps.

**(d) Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>
<b>Posts</b>	\$24 502.1	\$1 772.1 7.8%

265. The provision of \$24,502,100 would cover salaries, common staff costs and staff assessment for the 153 continuing posts and 3 proposed new posts. The variance is attributable to increased standard costs, the continuation of additional posts approved for 2009/10 in respect of which delayed recruitment factors of 65 per cent (Professional category) and 50 per cent (General Service category) were

applied, and the proposed establishment of three new posts. The computation of requirements for all continuing posts reflects the application of budgeted vacancy rates of 12 per cent and 7 per cent for Professional and General Service category posts, respectively, and 65 per cent for the proposed new Professional category posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$138.7	(\$335.9)	(70.8%)

266. The proposed requirements in the amount of \$138,700 would cover the continuation of one general temporary assistance position of Air Transport Officer at the P-3 level in the Airfield/Air Terminal Unit.

267. The staffing establishment of the Air Transport Section includes 14 Professional (1 P-5, 8 P-4, 5 P-3) and 5 General Service (Other level) posts funded from the support account and is responsible for providing air assets, as well as all related airfield and aviation ground services and aviation ground support services, to facilitate the execution by field operations of mandated tasks, while ensuring that contracted services comply with the requirements of the United Nations and ICAO Standards and Recommended Practices; providing strategic guidance and coordination to ensure the provision of effective logistic capabilities in terms of air support and airfield/air terminal and air/ground support services in support of field operations; fulfilling other air transportation requirements during the life cycle of field operations, including start-up, sustainment, transition and liquidation; and planning and conducting training courses, workshops and seminars for the development of aviation specialists in field operations and at Headquarters.

268. The current ratio of personnel at Headquarters to aircraft, approximately one Professional staff for every 18.57 aircraft (260 aircraft), and contract management of \$71 million per year are below the ICAO recommendation of 1 Professional staff to 8.75 aircraft and contract management of \$17.5 million per year. In 2008, the ratio was one Professional staff to 22 aircraft, and contract management of \$44 million. From 2004 to 2010 the fleet has grown from 140 to approximately 260 aircraft, with an expected growth to 300 aircraft for the 2010/11 period. The current aviation fleet size is comparable to that of major air carriers. This does not include air/ground support services, infrastructure rehabilitation projects and the required surveillance and monitoring of the operations and safety standards associated with the management and performance of these air carriers/aircraft at the strategic level (United Nations Headquarters). In this context, it is proposed that a general temporary assistance position of Air Transport Officer be continued at the P-3 level as the aviation ground aerosystems mechanical specialist to oversee the management of the airfield development plan and rehabilitation projects for all DFS-supported field operations. The incumbent would be responsible for directing the planning and provision of aerospace ground support equipment requirements to support aircraft handling, refuelling, passenger handling, cargo handling, airfield and air terminal security standards and equipment, emergency crash rescue vehicles and equipment in missions, including requirements for staff levels, qualifications and experience by providing guidance to missions, drafting statements of work, developing requests for proposals for contractors, preparing the statements of work for aircraft support units of troop-contributing countries, determining equipment specifications, liaising closely with other sections to establish budgets and systems

contracts for equipment and vehicles, and providing guidance on training requirements.

269. The variance is attributable to the proposed conversion of two general temporary assistance positions approved in 2009/10.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	\$63.2	(\$450.8)	(87.7%)

270. An amount of \$63,200 is proposed to engage expertise for three person-months in order to provide technical expertise in contract design and development specific to engineering so as to update current construction contract forms to meet current standards and ensure that the United Nations is protected from commercial risk and legal liability. The construction service contracts appear to be inadequate and difficult to manage, as in most cases they conflict with the operational requirements. Revisions to construction service contracts would require a joint effort of existing staff and the consultant with specialized commercial knowledge. The consultant would provide information on the use of the standard forms of contract and on former litigation risks and court resolutions. The Procurement Division administers contracts and is responsible for preparing the financial and legal elements, whereas the Engineering Section at Headquarters manages construction contracts and provides clear guidelines and forms to field operations to monitor the implementation and verification of construction works. UNLB contributes to layout and statements of work for the construction of camps but does not monitor the implementation of the contracts as such.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$1 191.1	\$38.6	3.3%

271. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/ consultation	661 700	7 logistics assessment visits to field operations to provide planning guidance for the expansion, transition, sustainment and liquidation of field operations 14 aviation safety assistance visits to field operations
Technical support	460 600	10 predeployment visits to troop- and police-contributing countries for assessment of the logistics support capabilities Aviation quality assurance/air carrier inspection visits to 2 countries in the Africa region to enhance the vendor base Implementation of enterprise fuel management system in 8 peacekeeping operations in collaboration with OICT Implementation of the rations scale in 2 remaining field operations and update of the Rations Manual

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Seminars/conferences/workshops	68 800	3 strategic partnerships with national institutions, as well as international and regional organizations for the co-production and sharing of geospatial data and GIS application development
<b>Total</b>	<b>1 191 100</b>	

272. An amount of \$661,700 is proposed for travel to undertake the following mission planning/assessment/consultation activities: familiarization visits with counterparts on support service issues in field operations and to acquaint the troop-contributing countries with the United Nations medical concept of operations; assessments and reviews of the missions' logistical operations, including material resource plans for new peacekeeping missions, the composition and utilization of strategic deployment stocks, the availability of standard medical care for peacekeepers, air operations and aviation safety, the regional aviation safety programme, the support capabilities of the formed contingents for assigned roles in peacekeeping operations, transportation and movement services between Headquarters and the field operations.

273. An amount of \$460,600 is proposed for travel to undertake the following technical support activities: on-site evaluation and technical assistance, including for the progress in field operations in connection with the expansion of the provincial offices and other contractual activities, the procurement solicitation process, strategic deployment stock warehouse inventory and codification issues, review of fuel operations in the field; support for the implementation/roll-out of the fuel management system, troop contributions management system for contingent-owned equipment and the bar-coding project in field operations; update of the existing Rations Manual; and support for the detailed design of the rations management system, ground transportation services in field operations and contracted air services vendors and other vendors to ensure compliance with United Nations and international standards.

274. An amount of \$68,800 is proposed for travel in connection with the following seminars/conferences/workshops: partnership work with the UNEP post-conflict branch to be extended to field operations; annual conference to address existing issues of contract management, performance and resolution agreement with contractors on overcoming shortfalls with respect to rations; eleventh annual plenary meeting of the United Nations Geographic Information Working Group, which focuses on GIS data sharing and technology exchange as well as development of the United Nations spatial data infrastructure; annual NATO Partnership for Peace geospatial conference for the exchange of GIS data and applications; and coordination meetings with NATO, the European Union Satellite Centre and the European Commission Joint Research Centre.

275. The variance is attributable to increased transportation costs.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$28.4	\$28.4 —

276. The proposed amount of \$28,400 would be used to provide special ink for the plotter equipment which is used for printing aerial maps and satellite images for cartographic service support for field operations and the Security Council.

## 5. Information and Communications Technology Division

### (a) Results-based-budgeting framework

277. The Information and Communications Technology Division was established by the General Assembly in its resolution 61/279 and recently extended in its resolution 63/287.

278. The Division delivers voice, video, high-speed data systems, network services and field-specific systems and applications that qualitatively and quantitatively satisfy the requirements of DFS-supported field operations. It is comprised of the Office of the Director, the Field Communications and Information Technology Operations Service and the Field Technology and Security Operations Service. The priorities of the Division include the implementation of the ICT regionalism framework developed for the missions in the Middle East and the establishment of a fully operational, robust, reliable and secure secondary communications technical facility in Valencia, Spain, by 2010/11.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates	2.1 New mission communications links established within 24 hours of arrival of the communications and information technology equipment in the mission (2008/09: 24 hours; 2009/10: 24 hours; 2010/11: 24 hours)

#### *Outputs*

- ICT plans and support capacity for potential new peacekeeping operations

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 Positive feedback from field missions and partners on ICT support and services provided by the Division

#### *Outputs*

- ICT support provided to all field operations and special political missions, UNLB and agencies, funds and programmes, as mandated
- Oversight and technical guidance provided in the implementation of standardized network configuration to all field operations to ensure optimum use of available satellite bandwidth resources
- 2,839 audio and videoconferencing services provided to field operations and other United Nations entities, including technical support and day-to-day operational support
- Statement of work and technical evaluation for 16 planned systems contracts and monitoring and administration of 45 existing systems contracts for ICT services and equipment



- Updated disaster recovery templates disseminated to and disaster recovery plans reviewed for all field operations to ensure conformity with guidance provided from Headquarters and mission administration; 4 disaster recovery reconstitution exercises

External factors

Member States will provide the necessary political support to implement mission mandates

**(b) Human resources requirements**

Category	Approved support account posts 2009/10	Redeployment, reassignment, reclassification	General temporary assistance conversions	Additional new posts requested	Total proposed 2010/11	Change
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	1	—	—	—	1	—
D-1	1	—	—	—	1	—
P-5	2	—	—	—	2	—
P-4	8	—	—	—	8	—
P-3	7	—	—	—	7	—
P-2/P-1	—	—	—	—	—	—
<b>Subtotal</b>	<b>19</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>19</b>	<b>—</b>
<b>General Service and other</b>						
Principal level	5	—	—	—	5	—
Other level	10	—	—	—	10	—
<b>Subtotal</b>	<b>15</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>15</b>	<b>—</b>
<b>Total</b>	<b>34</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>34</b>	<b>—</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09) (1)	Apportionment (2009/10) (2)	Cost estimates (2010/11) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	5 903.8	5 154.0	5 252.8	98.8	1.9
II. Non-post resources					
General temporary assistance	251.1	111.5	—	(111.5)	(100.0)
Official travel	456.8	451.3	463.4	12.1	2.7
Communications	—	723.0	486.0	(237.0)	(32.8)

Category	Expenditures (2008/09) (1)	Apportionment (2009/10) (2)	Cost estimates (2010/11) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
Information technology	—	10 144.8	9 391.6	(753.2)	(7.4)
<b>Subtotal II</b>	<b>707.9</b>	<b>11 430.6</b>	<b>10 341.0</b>	<b>(1 089.6)</b>	<b>(9.5)</b>
<b>Total</b>	<b>6 611.7</b>	<b>16 584.6</b>	<b>15 593.8</b>	<b>(990.8)</b>	<b>(6.0)</b>

## (d) Analysis of resource requirements

	Cost estimates	Variance	
<b>Posts</b>	\$5 252.8	\$98.8	1.9%

279. The provision of \$5,252,800 would cover salaries, common staff costs and staff assessment for the 34 continuing posts. The variance is attributable to increased standard costs, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service category posts, respectively.

	Cost estimates	Variance	
<b>Official travel</b>	\$463.4	\$12.1	2.7%

280. The official travel requirements are described below.

(United States dollars)

Type of travel	Amount	Output reference
Mission planning/assessment/consultation	193 100	ICT support provided to all field operations and special political missions, UNLB and agencies, funds and programmes, as mandated
Technical support	204 500	ICT plans and support capacity for potential new peacekeeping operations 2,839 audio and videoconferencing services provided to field operations and other United Nations entities, including technical support and day-to-day operational support
Seminars/conferences/workshops	65 800	—
<b>Total</b>	<b>463 400</b>	

281. An amount of \$193,100 is proposed for travel to undertake mission planning/assessment/consultation activities as follows: the review, validation and strengthening of field operation IT security; oversight of the development, implementation, certification and compliance with the standards of the International Organization for Standardization (ISO 27001); change management and support for continuing and newly proposed information systems; assessment and validation of the use of contracted personnel for centralized development, implementation and

support within the context of all resources available to the Information and Communications Technology Division.

282. An amount of \$204,500 is proposed for travel resources in connection with technical support for the following: the establishment of the secondary active telecommunications facility in Valencia, Spain, to oversee the engineering work, construction of the site, the establishment of the data centre and the implementation of ICT systems, and to meet with airport management, Government officials and Ingeniería de Sistemas para la Defensa de España, S.A. (\$106,800); the establishment of a logistics hub in Entebbe, Uganda, to meet with Ministry of Foreign Affairs and other Government officials regarding the proposed memorandum of understanding, to review plans with various missions onsite to ensure consistency of deliverables and to meet with the security assessment team to review its final report and provide feedback and comments (\$97,700).

283. An amount of \$65,800 is proposed for travel of staff to attend seminars, conferences or workshops on IT-related topics, including developing and maintaining disaster-response capabilities, improving logistical support and human resource management through technology, ICT strategic plans and initiatives for support to all DPKO field operations, commercial IT for multinational operations designed to improve and facilitate civilian and military interaction (annual conference of Commercial Information Technology for Multinational Operations), inter-agency cooperation and implementation of ICT common services (the Working Group on Emergency Telecommunications and the Inter-agency Telecommunications Advisory Group), annual exposition on the majority of mainstream vendors in all areas of information and communications technology (CeBIT Conference), and biannual meetings with the International Computing Centre Management Committee on policy as well as on matters related to the Centre's mandate, projects and services, financial situation and staff.

284. The variance is attributable to increased transportation costs.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$486.0	(\$237.0)	(32.8%)

285. An amount of \$486,000 would provide for the acquisition of specialized communications equipment and associated software, the replacement of obsolete equipment for DPKO and DFS, as well as support services as follows: acquisition of videoconferencing terminals (\$70,000); software for videoconferencing and remote access control (\$50,000); satellite modems (\$50,000); test and installation equipment for the satellite Earth station (\$72,000) and high resolution satellite imagery (\$50,000); spare parts/supplies for communications equipment, including modems, routers and terminals (\$154,000); communications support services for conference rooms (\$40,000).

286. The variance is attributable to videoconferencing equipment approved in the 2009/10 budget period.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$9 391.5	(\$753.2)	(7.4%)

287. An amount of \$9,391,500 would provide for the acquisition of specialized information technology equipment (\$334,000), spare parts and supplies (\$200,000) software (\$350,000), software licenses and fees (\$275,000), and contractual services (\$8,232,500) necessary to support the peacekeeping IT infrastructure, as indicated below.

288. The acquisition of specialized information technology equipment (\$334,000) would cover requirements for three LCD monitors (\$7,500), replacement of digital senders (\$145,000), scanners (\$153,000), digital projectors (\$24,000) and digital cameras (\$4,500).

289. The acquisition of specialized software includes tools that are required by DPKO and DFS to support existing software and systems. The requirements include the service management and delivery tracking tool to ensure an integrated approach in managing business requirements and facilitate tracking of issues, changes, code and configuration (\$100,000), the peacekeeping operations task monitoring tool to enable tracking of police and military activities in peacekeeping missions (\$100,000), secure data transfer tools, comprising a suite of tools that will enable data to be securely transferred via Intranet and Internet (\$50,000), and the peacekeeping operations partner and contact management system (\$100,000).

290. Software licenses and fees (\$275,000) are required by DPKO and DFS to maintain and support existing software and systems. The requirements include business intelligence software upgrades to enable the enhancement of the existing strategic management system, its increase in scope and user base. The provision would ensure the inclusion of such substantive components as disarmament, demobilization and reintegration, police, law/judicial and corrections (\$95,000), fees for website monitoring (\$30,000) and user licenses for the air transport system (\$150,000).

291. Provision is also made for external contractual services specialized in information technology based on memorandums of understanding or contract agreements established with the International Computing Centre and UNOPS or other approved vendors in the amount of \$8,232,500 necessary to develop, implement and support the Organization's IT infrastructure, as detailed below in paragraphs 293 to 315. Contractual services at Headquarters are undertaken by a staffing complement of 52 contractors (1 P-5, 3 P-4, 23 P-3, 3 P-2/P-1, 22 General Service (Other level)).

292. The resources set out in paragraphs 293 to 299 are required to support the ongoing core functions of technical support for DPKO/DFS between Headquarters and the field. Costs are calculated based on the average contractual salary and operational costs as per rates contained in a memorandum of understanding with UNOPS or contractual arrangements with the International Computing Centre or other vendors. Call centre support, field network support and DPKO/DFS application support costs are estimated as 5 per cent growth against the previous period costs.

#### **Call Centre support**

293. The amount of \$1,536,200 is proposed for continued, global, round-the-clock call centre support for Headquarters and field information and communications technology operations, which include tier-1 technical support and the management

of service requests for DPKO/DFS critical applications, through daily interaction with users, coordination with other service teams and DFS focal points as well as external parties until final resolution. The proposed resources would comprise approximately \$1,456,200 for salaries and \$80,000 for operating costs.

#### **Field network support**

294. The amount of \$989,600 is proposed for field network support, which includes continuous data and voice communications between Headquarters and field operations. A robust network is required to enable field operations and Headquarters to exchange and have access to information. In order to facilitate the round-the-clock availability of these vital communications links between Headquarters and field operations, network support is provided, using a layered approach to provide tier-1 and tier-2 support. Tier-1 includes support for call centre service, network control centre and desktop and laptop “build” deployment planning. Tier-2 includes support for applications, network, data centre operations and messaging optimization, and e-mail archiving. Moreover, the coordination and monitoring of services are required in order to enable the management and operation of the peacekeeping global information and communications technology network. The proposed resources would comprise approximately \$789,600 for salaries and \$200,000 for operating costs.

#### **Department of Peacekeeping Operations/Department of Field Support application support**

295. The amount of \$1,408,100 is proposed for support at the tier-2 level for all Lotus Notes applications utilized at Headquarters by DPKO and DFS personnel, including electronic storage, tracking, archival and retrieval systems, the mail action records system, support of web-based applications, change management and user documentation/training. The applications supported pertain to DPKO and DFS at Headquarters and are focused on facilitating interaction with peacekeeping field operations. The proposed resources would comprise approximately \$1,288,100 for salaries and \$120,000 for operating costs.

#### **Disaster recovery and business continuity operational support**

296. The amount of \$814,000 is proposed for disaster recovery and business continuity support. These services include the continued management and operation of the peacekeeping global disaster recovery and business continuity architecture and systems, as well as the coordination of server and network infrastructure requirements, configuration and establishment of documentation for implemented systems, including day-to-day operational support, operation of the disaster recovery and business continuity infrastructure in DFS and maintenance of flexible support for changing Departmental disaster recovery and business continuity requirements, and monitoring of disaster recovery and business continuity systems. Services also include conduct of disaster recovery reconstitution exercises, dissemination of disaster recovery templates, review of plans and validation to ensure conformity with policy guidance provided by Headquarters and mission administration. The proposed resources would comprise approximately \$754,000 for salaries and \$60,000 for operating costs.

**Videoconferencing support**

297. The amount of \$1,295,000 is proposed for continued centralized technical and operational support for videoconferencing and associated multimedia support activities between DPKO and DFS, field operations and other United Nations entities. The provision of technical support comprises the continued development of standards for all systems, equipment, procedures, scheduling, resource allocation, coordination, engineering and other aspects of audio/videoconferencing, including secure and encrypted connections, call centre support related to audio/videoconferencing for field operations and other United Nations entities, day-to-day operational support and all activities relevant to videoconferencing and multimedia support centralized at UNLB. In addition, technical support will be provided for missions with developing and expanding internal videoconferencing networks. The proposed resources would comprise approximately \$1,200,000 for salaries and \$95,000 for operating costs.

**Maintenance of field applications**

298. The amount of \$780,200 is proposed for the support and maintenance of computer applications used by personnel in DPKO/DFS and field operations, specifically, the collaboration and social computing systems, audit and oversight applications, strategic management applications, reporting applications and websites that support the substantive areas of peace operations. In addition, the provision would support web-based applications change management and user documentation/training, and ensure tier-2 and tier-3 levels of support. Tier-3 support includes modifications and enhancement, applications and network engineering. The applications supported are required to enable core peacekeeping operation mandates and do not relate to or require integration with the ERP system. The proposed resources would comprise approximately \$720,200 for salaries and \$60,000 for operating costs.

**Proposed field applications**

299. The proposed initiatives described in paragraphs 300 to 315 represent the information management priorities and needs of DPKO/DFS, and have been reviewed and supported by the Departments' Information Management Committee and the Expanded Senior Management Team. Costs are calculated based on average contractual salary and operational costs as per rates contained in a memorandum of understanding with UNOPS or contractual arrangements with the International Computing Centre or other vendors. Furthermore, their business cases have been reviewed in the context of the ICT governance process coordinated by the Office of Information and Communications Technology and the ICT management framework pursuant to the recommendations of the Secretary-General contained in his report on the information and communications strategy for the United Nations Secretariat (A/62/793), and to General Assembly resolution 63/262, and have been approved by the Office. The review concluded that such initiatives do not overlap or require integration with the envisaged ERP system and do not relate to material, financial or human resources associated with that system. The implementation of the initiatives would be undertaken using the methodologies of the Information and Communications Technology Division which are established, institutional and based on best practices. It is expected that all phases of the initiatives will be concluded within the proposed 2010/11 period. The contractual resources proposed for the

initiatives below would follow the established process, which includes requirements gathering, design, build, implementation and deployment, with ongoing support expected in the subsequent fiscal period. The applications have been grouped into four “categories” based on four operational needs:

- (a) Management of DPKO/DFS institutional information
  - Mission knowledge and information-sharing initiatives
  - Peacekeeping contacts and data integration initiatives
  - Peacekeeping content creation, approval and publishing initiative
- (b) Risk and threat assessment management
  - Field security geodata initiative
  - Military assessment initiative
  - Field military and police reporting initiative
- (c) Field collaboration application
  - Mission gazetteer initiative
  - Mission strategic management initiative
  - Peacekeeping conduct and discipline initiative
  - Peacekeeping rule of law documents and publishing initiative
- (d) Field tracking application
  - Peacekeeping mission training tools initiative
  - Peacekeeping police tracking initiative

#### **Management of Department of Peacekeeping Operations/Department of Field Support institutional information**

300. As a continuation of the initiatives undertaken to strengthen strategic management of peace operations, provision in the amount of \$344,400 is proposed to extend the scope of the activity approved in the 2009/10 period (see A/63/767, para. 386). The aggregation of information and subsequent display of key data and performance indicators using dashboards and visualization technologies is on course for completion in 2009/10. The proposed requirements are for data related to such areas as rule of law and security institutions, integrated operational teams and those that fall under the remit of the Office of Military Affairs, which would be collected, aggregated and presented through the established dashboard and visualization technologies. This continued initiative for improved strategic management would focus on the specific areas of field operations as outlined above. It is also envisaged that the dashboard technologies would be enhanced to represent peacekeeping operations holistically and facilitate intuitive oversight.

301. Mission knowledge and information-sharing initiatives aim to improve the ability of various mission capacities, including disarmament, demobilization and reintegration, elections and civil administrations, to collaborate and coordinate shared activities through shared information. The goal of the project is to develop a web-based tool that would enable knowledge-sharing and informal learning

functions within and between missions, collaborative content creation and drafting, automated approval and publishing of web content as well as work product, shared calendaring and task management.

302. Peacekeeping contacts and data integration initiatives aim to provide a centralized repository of contact, logistical and coordination information related to troop-contributing countries, peacekeeping training centres, the agencies, funds and programmes. At the same time, the project would provide a collaborative tool to enable sharing of information between above-mentioned entities, as well as a management tool to facilitate civilian and military cooperation activities in field operations.

303. The peacekeeping content creation, approval and publishing initiative is aimed at upgrading and extending the functionality of an existing web content management tool (communities of practice) that would be used by the DDR Section, the Public Affairs Section and the Information Management Section of peacekeeping operations in the field. The tool would enable improved filing capabilities, knowledge-sharing capabilities, collaborative content creation, automated approval and publishing of web content as well as work product.

#### **Risk and threat assessment management**

304. The amount of \$375,100 is proposed to support the design and implementation of a series of field computer applications that support information for uniformed personnel, specifically, that facilitate the process by which data is collated and synthesized into useful and reliable information which supports the assessment of risks, threats and opportunities. The field computer applications proposed would form the central electronic repository of operational information and allow it to be presented visually as well as address various data sets, including armed forces and civilian population locations, road conditions, terrain analysis and events on the ground. The applications would be built on sound rules that govern their operation and utilize methodologies to ensure that useful information is generated to support the elements of uniformed components in support of mission mandates. Such initiatives are part of a DPKO/DFS-wide effort to support core mandates of peacekeeping missions.

305. The field security geodata initiative is aimed at developing a tool that would be used by security officers in the field for the aggregation of information related to security incidents occurring in peacekeeping missions, such as accidents, assaults, threats, explosions and similar occurrences. This tool would complement the global warden system developed by the Department of Safety and Security. The project would also ensure that the functionalities of the two systems do not overlap.

306. The military assessment initiative is aimed at developing a tool that would be used by military personnel in the field who need to report on their work and gather intelligence related to the situation in the field and incidents that may occur, for example, possible civil unrest in a given city and possible troop movements that violate treaties. This would enable senior military personnel to be more proactive, thereby increasing their response to emergencies and improving operational awareness.

307. The military and police reporting initiative is aimed at developing a tool that would enable the police and military to track and manage information about their



personnel in the field. The tool would also need to incorporate an approval workflow in order for this information to be properly channelled.

### **Field collaboration application**

308. The amount of \$405,000 is proposed to build on the efforts related to implementing computer systems that support collaboration in and between peacekeeping operations. In support of the requirements of the various substantive elements of peacekeeping operations, the Information and Communications Technology Division is extending the functionality and applicability of current collaboration applications, such as communities of practice, which allow subject matter experts to share information and build common repositories of knowledge and to undertake collaborative content creation, the formulation of policy and procedure as well as the automation and approval of peacekeeping web content. The applications would also allow collaboration between practitioners and peacekeeping personnel as well as those from the agencies, funds and programmes. This would enhance efforts in the area of integration as prescribed by the Secretary-General and improve coordination between multiple parties in missions that are increasingly complex and multidimensional in nature.

309. Mission gazeteer initiatives aim to develop a tool that would be used by security officers in the field for the aggregation of various information related to security incidents that are occurring in peacekeeping missions, such as accidents, assaults, threats, explosions and other similar events. It is essential that collaboration be built upon a common vocabulary and this initiative would establish a single reference on locations that can be used to enable collaboration.

310. Mission strategic management initiatives aim to extend the functionality of the existing strategic management system (based on dashboards, Google maps and narrative text) to cover the following areas: civil affairs; rule of law and security institutions; disarmament, demobilization and reintegration; military affairs; disposed assets; medical information; and increased logistics information and information from partners in field operations (human rights, humanitarian response and political affairs). By presenting strategic information to management and enabling collaboration on that strategic information, this initiative seeks to support stronger collaboration within peacekeeping and with partners.

311. The peacekeeping conduct and discipline initiative aims to upgrade and enhance the functionality of the existing misconduct tracking system, currently used by field personnel working in the area of conduct and discipline in peacekeeping operations. With enhanced functionality, the tool would provide statistical information (in the form of dashboards, diagrams and narrative text) to Member States, the public domain and United Nations senior managers, on the outcome of sexual exploitation and abuse cases involving peacekeeping personnel. This is in support of the need for peacekeeping operations to collaborate and cooperate with partners to ensure that an effective outreach programme is achieved.

312. The peacekeeping rule of law documents and publishing initiative aims to provide a tool that would facilitate coordination between different components of the Office for Rule of Law and Security Institutions (disarmament, demobilization and reintegration, police, law/judicial and corrections) and measure the progress of a complex array of activities and their flow between these components within a mission. The integration with existing systems is part of this project.

### Field tracking application

313. The amount of \$285,000 is proposed to implement information technology tools for uniformed peacekeeping personnel tracking and situational awareness in field operations. Personnel in the field are required to be highly mobile and serve in highly dispersed environments. The effectiveness of a mission derives from the ability of managers to direct personnel throughout the field in a coordinated manner. With the large missions that are being mounted, DPKO has identified the ability to track personnel and vehicles in real time using technologies such as global positioning satellites as an important operational need. It is proposed that for those personnel in field operations that are engaged in monitoring, observation and patrolling, a computer system be implemented that allows visibility of personnel throughout the mission area. Extensive and detailed engagement has been undertaken to assess the needs as well as ensure that this initiative is coordinated with the global warden system being proposed by the Department of Safety and Security.

314. Peacekeeping mission support initiatives aim to deliver a tool that would serve as a platform to track personnel throughout the area of a peacekeeping operation using a combination of global positioning satellite technologies, visualization technologies and technologies that support collaboration. In order to support the implementation of the field tracking application, an e-training delivery platform is proposed for field missions. The e-learning tool would be used for hosting training to support the use of the field tracking system, in particular for military and civilian police command structures as well as areas such as contingent-owned equipment, peacekeeping best practices, integrated training service, civilian and military cooperation and the Joint Military Analysis Centres. The tool would integrate with the existing web-based training management system, currently hosted in UNLB and used by mission personnel, and would ensure the effective use of the field tracking application in the field mission context.

315. Peacekeeping police tracking initiatives aim to provide a performance management tool for police personnel in peacekeeping missions. As an ancillary part of the overall civilian police support, the tool would also address the need for a modular system to support the Police Division's sourcing and on-boarding activities (selection, recruitment, clearance, deployment and relevant tour of duty information).

## C. Department of Management

### (a) Overall human resources requirements

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	1	—	—	—	1	—
D-1	3	—	—	—	3	—
P-5	11	1	—	—	12	1
P-4	58	—	1	2	61	3

Category	Approved support account posts 2009/10	Redeployment, reassignment, reclassification	General temporary assistance conversions	Additional new posts requested	Total proposed 2010/11	Change
P-3	50	(1)	2	13	64	14
P-2/P-1	7	—	—	2	9	2
<b>Subtotal</b>	<b>130</b>	<b>—</b>	<b>3</b>	<b>17</b>	<b>150</b>	<b>20</b>
<b>General Service and other</b>						
Principal level	6	—	—	—	6	—
Other level	87	—	2	6	95	8
<b>Subtotal</b>	<b>93</b>	<b>—</b>	<b>2</b>	<b>6</b>	<b>101</b>	<b>8</b>
<b>Total</b>	<b>223</b>	<b>—</b>	<b>5</b>	<b>23</b>	<b>251</b>	<b>28</b>

**(b) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09) (1)	Apportionment (2009/10) (2)	Cost estimates (2010/11) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	26 091.0	29 898.2	35 025.2	5 127.0	17.1
II. Non-post resources					
General temporary assistance	5 740.7	5 576.3	6 704.4	1 128.1	20.2
Consultants	1 012.2	2 367.3	1 956.0	(411.3)	(17.4)
Official travel	1 491.7	2 688.5	2 657.6	(30.9)	(1.1)
Facilities and infrastructure	23 743.0	20 591.1	22 921.5	2 330.4	11.3
Communications	386.5	473.2	559.0	85.8	18.1
Information technology	4 774.8	31 587.8	60 631.8	29 044.0	91.9
Medical	523.5	200.0	200.0	—	—
Other supplies, services and equipment	8 184.3	11 149.7	10 170.9	(978.8)	(8.8)
<b>Subtotal II</b>	<b>45 856.7</b>	<b>74 633.9</b>	<b>105 801.2</b>	<b>31 167.3</b>	<b>41.8</b>
<b>Total</b>	<b>71 947.7</b>	<b>104 532.1</b>	<b>140 826.4</b>	<b>36 294.3</b>	<b>34.7</b>

**1. Office of the Under-Secretary-General****(a) Results-based-budgeting framework**

316. The organization and functions of the Office of the Under-Secretary-General for Management are contained in the Secretary-General's bulletin entitled "Organization of the Secretariat of the United Nations" (ST/SGB/1997/5) and the amendment thereto (ST/SGB/2002/11), in conjunction with the Secretary-General's bulletin entitled "Organization of the Department of Management" (ST/SGB/2003/15).

317. The Department of Management is composed of the Office of the Under-Secretary-General for Management, the Office of Programme Planning, Budget and Accounts, the Office of Human Resources Management, the Office of Central Support Services, the Office of the Capital Master Plan, the Office of Enterprise

Resource Planning (Umoja) and the Office of the Independent Inquiry Committee. The Office of the Under-Secretary-General for Management is responsible for the formulation of the Organization's management policies and has overall responsibility for the management of financial and human resources as well as the support operations and services of the Organization, including for peacekeeping operations.

318. The Office of the Under-Secretary-General for Management comprises the secretariat for the Headquarters Committee on Contracts and the Headquarters Property Survey Board, the Management Support Service, the Fifth Committee secretariat, the Management Evaluation Unit and the Executive Office of the Department of Management.

319. The secretariat for the Headquarters Committee on Contracts and the Headquarters Property Survey Board provides services related to the Committee and the Board for their review of the proposed procurement cases and disposal of assets, and recommendations to the decision makers in conjunction with financial regulation 5.12. This includes training, monitoring and policy guidance to the local committees on contracts and the local property survey boards.

320. The Office is also responsible for implementation of the pilot project of the Award Review Board under the general framework of the United Nations procurement reform, as reflected in the report of the Secretary-General (A/60/846/Add.5, para. 17), in which the Secretary-General recommended a number of measures to promote fairness and transparency in the procurement process, including the establishment of an independent review mechanism, as endorsed by the General Assembly in its resolutions 61/246 and 62/269.

321. By its resolution 61/275, the General Assembly approved the transfer of the internal Management Consulting Section in the Office of Internal Oversight Services to the Office of the Under-Secretary-General for Management, whereby the Management Support Service was established in the Office of the Under-Secretary-General.

322. The Management Support Service, in partnership with DPKO/DFS, examines current business processes in an effort to reduce waste and overuse of labour and material resources, so as to streamline and improve business processes and develop the capacity within the Secretariat. Building on a needs assessment, the three departments designated planning, personnel and procurement as broad priority areas for business process improvement. In addition, the Management Support Service identifies and prioritizes projects matching the strategic goals of the Secretariat and continues to develop the in-house capacity needed to employ proven, globally recognized methodologies in a manner that is optimized to integrate with the Secretariat organizational structure. In this regard, the Lean Six Sigma business process improvement capacity-building programme has joined forces with the Umoja team to integrate the business process improvements best suited for enterprise resource planning tools together with those best suited for Lean Six Sigma in order to achieve optimal solutions.

323. The Fifth Committee Secretariat provides services in support of the Fifth Committee of the General Assembly with responsibilities for administration and budgetary matters. Based on the reports of the Committee, the Assembly considers and approves the budget of the Organization in accordance with Article 17 of the Charter of the United Nations. This function was reaffirmed by the Assembly in its resolution 45/248 B, section VI.

324. The responsibilities of the secretariat of the Fifth Committee and of the Committee for Programme and Coordination include (a) provision of proactive assistance to the Chair and Bureau of the Fifth Committee in strengthening and revitalizing their work. Provision of analytical and historical information on their proceedings with a view to developing appropriate proposals on the methods of work for review by the Committee and (b) provision of proactive assistance to representatives of Member States on all matters relating to the effective scheduling and conduct of meetings, including the provision of an advance programme of work and the timely issuance of reports and communications.

325. The mandate of the Management Evaluation Unit was established by the General Assembly in its resolution 62/228, entitled “Administration of Justice in the United Nations”, and by provisional Staff Rules 11.2 and 11.3.

326. During the proposed budget period the Unit will conduct prompt management evaluations of contested administrative decisions to determine whether they comply with the Organization’s applicable regulations, rules and policies, and to assist the Under-Secretary-General for Management to provide the individual requesting the review with a written, reasoned response regarding the outcome of the management evaluation. This process is designed to strengthen managerial accountability and to avoid unnecessary and costly litigation by correcting flawed administrative decisions before they are appealed to the United Nations Dispute Tribunal.

327. The Unit will also assist the Under-Secretary-General for Management to strengthen managerial accountability by ensuring managers’ compliance with their responsibilities in the management of the human and financial resources of the Organization.

328. In addition, the Unit will conduct a prompt evaluation of requests for the suspension of the implementation of an administrative decision to separate a staff member until the management evaluation has been completed and the staff member has received notification of its outcome.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	1.1 Positive feedback from Member States on services provided by the secretariat of the Fifth Committee and the Committee for Programme and Coordination

#### *Outputs*

#### **Fifth Committee secretariat**

- Provision of technical and substantive secretariat support to 110 formal and informal meetings of the Fifth Committee on peacekeeping matters, including advice on procedures, 30 draft resolutions and 30 reports of the Committee for adoption by the General Assembly
- Preparation of notes on the programme of work and the status of documentation and preparation of 25 procedural notes on peacekeeping-related items for the presiding officer of the Fifth Committee
- Maintenance and update of the websites of the Fifth Committee relating to peacekeeping matters

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Maintain the average processing time of 5.5 days for Headquarters Committee on Contracts cases (2008/09: 5.5 days; 2009/10: 7.1 days; 2010/11: 5.5 days)</p> <p>3.2 20 per cent increase in the number of peacekeeping staff who are trained and received certificates of local committee on contracts training (2008/09: 275; 2009/10: 720; 2010/11: 860)</p> <p>3.3 95 per cent of implemented management support projects meet expectations to enable efficient and effective peacekeeping (2008/09: 95 per cent; 2009/10: 95 per cent; 2010/11: 95 per cent)</p> <p>3.4 Review and respond to all management evaluation cases filed by peacekeeping staff members within 45 days (2008/09: 45 days; 2009/10: 45 days; 2010/11: 45 days)</p>

*Outputs***Secretariat of the Headquarters Committee on Contracts and Headquarters Property Survey Board**

- 90 Headquarters Committee on Contracts meetings and 15 Headquarters Property Survey Board meetings
- Review of 600 procurement actions and 250 disposal actions annually
- 10 training sessions for members of local committees on contracts and local property survey boards in peacekeeping missions as well as procurement officers, on case presentations to the local committees and the local boards
- Organization of annual conference of Chairs of the committees on contracts
- Monitoring of the functioning of the local committee on contracts in all field operations
- 3 advisory mission visits to the local committee on contracts in peacekeeping missions
- Provision of service to the pilot project for the Award Review Board for procurement
- Development of an e-learning programme for property survey boards

**Management Support Service**

- Conduct of client surveys to measure effectiveness of management support projects for peacekeeping missions, in particular in the areas of business process improvement, change management and organizational design
- Implementation of business process improvement capacity-building programme covering 3 areas in peacekeeping-related entities at Headquarters

**Management Evaluation Unit**

- Prompt review of all requests for management evaluation from peacekeeping missions, within 30 days for Headquarters cases and 45 days for cases from offices away from Headquarters

- Provision of 84 decisions on behalf of the Secretary-General on whether administrative decisions contested by peacekeeping staff members are in accordance with the applicable rules and regulations
- Provision of 25 recommendations for remedial action if management evaluations reveal that a contested decision is in violation of applicable staff rules and regulations
- Issuance of 20 reasoned decisions on all requests for suspension of action filed with the Secretary-General on cases where a peacekeeping staff member is contesting a decision to separate him or her from service
- Identification of systemic issues in respect of the decision-making authority of managers, including those serving in peacekeeping missions

*External factors*

No significant increase in the number of cases received from peacekeeping missions for review by the Headquarters Committee on Contracts and the Headquarters Property Survey Board. Timely provision of comments by managers in response to the contentions filed by staff members with respect to management evaluations. No significant increase in the caseload of the Management Evaluation Unit in DM

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	1	—	—	—	1	—
P-5	—	—	—	—	—	—
P-4	3	—	1	—	4	1
P-3	2	—	—	3	5	3
P-2/P-1	—	—	—	—	—	—
<b>Subtotal</b>	<b>6</b>	<b>—</b>	<b>1</b>	<b>3</b>	<b>10</b>	<b>4</b>
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	1	—	1	2	4	3
<b>Subtotal</b>	<b>1</b>	<b>—</b>	<b>1</b>	<b>2</b>	<b>4</b>	<b>3</b>
<b>Total</b>	<b>7</b>	<b>—</b>	<b>2</b>	<b>5</b>	<b>14</b>	<b>7</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09) (1)	Apportionment (2009/10) (2)	Cost estimates (2010/11) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	1 085.7	1 251.8	1 856.2	604.4	48.3
II. Non-post resources					
General temporary assistance	1 143.8	732.4	334.3	(398.1)	(54.4)
Consultants	83.4	345.0	350.0	5.0	1.4
Official travel	224.4	224.7	215.2	(9.5)	(4.2)
Facilities and infrastructure	23 743.0	20 591.1	22 921.5	2 330.4	11.3
Communications	386.5	473.2	559.0	85.8	18.1
Information technology	4 774.8	29 787.5	58 266.0	28 478.5	95.6
Other supplies, services and equipment	6 667.9	9 454.9	8 142.6	(1 312.3)	(13.9)
<b>Subtotal II</b>	<b>37 023.8</b>	<b>61 608.8</b>	<b>90 788.6</b>	<b>29 179.8</b>	<b>47.4</b>
<b>Total</b>	<b>38 109.5</b>	<b>62 860.6</b>	<b>92 644.8</b>	<b>29 784.2</b>	<b>47.4</b>

**(d) Justification of posts****Executive Office***Administrative Officer (1 P-3, resubmission)**Administrative Assistant (1 GS (OL), new)**Finance Assistant (1 GS (OL), new)*

329. The Executive Office of the Department of Management assists the Head of the Department, programme managers and staff members of the Department in carrying out the full range and scope of financial, personnel and administrative support services delegated by the Under-Secretary-General for Management. This includes the provision of support to programme managers in carrying out their responsibilities under the Staff Rules and Regulations, and related administrative instructions in filling vacancies, promoting staff and assisting staff members of the Department and their dependants in obtaining entitlements. The Executive Office is also tasked with the certification of obligations and expenditures against funds allocated to the Department, provision of general administrative support to the Department, including office space provision and planning, and liaising with the Office of Human Resources Management, the Office of Programme Planning, Budget and Accounts and the Office of Central Support Services on personnel, financial and other services on behalf of the Department.

330. The current staffing establishment of the Executive Office comprises 16 posts (1 Director, 4 Professional, 3 General Service (Principal level), 8 General Service (Other level)) funded from the regular budget, while no posts are currently funded from the support account. It is proposed to establish three posts of Administrative Officer (P-3), Administrative Assistant (GS (OL)) and Finance Assistant (GS (OL)).

331. In accordance with the tables below, the Executive Office of the Department of Management has faced a significant increase in the workload related to the administration of the support account-funded posts and general temporary assistance



positions as well as non-post resources during the past periods. However, currently there is no provision in the support account for dedicated staff within the Executive Office to provide essential support in the processing of transactions related to approved financial and human resources under the support account for the Department, such as the certification and approval of financial and human resources actions.

#### Authorized posts by period

<i>Period</i>	<i>Category</i>		<i>Total</i>	<i>Percentage increase compared with 2004/05</i>
	<i>P</i>	<i>GS</i>		
2004/05	73	65	138	—
2005/06	78	67	145	5.1
2006/07	102	73	175	26.8
2007/08	110	79	189	37.0
2008/09	113	87	200	44.9
2009/10	130	93	223	61.6

332. The following resources provide for general temporary assistance, consultants, travel, facilities and infrastructure, information technology and communications-related costs.

#### Non-post resources by funding year

(Thousands of United States dollars)

<i>Period</i>	<i>Approved apportionment</i>	<i>Percentage increase compared with 2004/05</i>
2004/05	9 441.8	—
2005/06	14 219.5	50.6
2006/07	30 233.8	220.2
2007/08	32 897.9	248.4
2008/09	48 569.3	414.4
2009/10	46 057.4	387.8

#### Financial transactions processed, 2008/09

<i>Description</i>	<i>Number of transactions</i>
Bank charges	20
Journal vouchers	119
Travel authorizations	288
Consultants	28
Institutional contractor	1
Reimbursements	11
Requisition of goods	28
Requisition of services	41
Low value payments	74

**Human resources personnel actions processed, 2008/09<sup>a</sup>**

<i>Office</i>	<i>Number of personnel actions</i>
OUSG	124
OHRM	219
OPPBA	426
OCSS	364
<b>Total, Department of Management</b>	<b>1 133</b>

<sup>a</sup> Includes personnel actions initiated and/or approved by the Executive Office of DM.

**Secretariat of the Headquarters Committee on Contracts and the Headquarters Property Survey Board**
*Capacity Development Officer (1 P-4, general temporary assistance conversion)*

333. The secretariat of the Headquarters Committee on Contracts and the Headquarters Property Survey Board provides services to the Committee, which reviews the proposed procurement cases over \$500,000 (\$200,000 for letters-of-assist), and to the Board, which reviews the proposed disposal of assets cases. More than 80 per cent of the Committee and Board cases are related to peacekeeping missions. Since the final responsibility for procurement actions of the Organization is retained by the Department of Management, the secretariat has been given additional functions to conduct training of local committee on contracts members in the field (both in peacekeeping missions and in offices away from Headquarters), monitor the functioning of the local committee on contracts to ensure that they have the adequate vetting capacity, and other such functions as analysis of systemic issues and trends based on recommendations of the Headquarters Committee on Contracts.

334. With the recent increase to \$500,000 of the threshold of the local committee on contracts, it has become more important that peacekeeping missions have adequate vetting capacity to ensure internal controls. Accordingly, the Headquarters Committee on Contracts/Headquarters Property Survey Board secretariat developed a capacity development programme to assist peacekeeping missions in enhancing the vetting capacity at the local committees on contracts and the local property survey boards. This programme includes policy development, training and monitoring of the functioning of the local committees. Enhancing the internal control functions and capacities of the local committees and the local boards will improve the case review process and increase efficiency.

335. The capacity development programme was developed by the Capacity Development Officer (P-4), who has also been in charge of implementing the programme. The secretariat of the Headquarters Committee on Contracts performed training activities for the local committees on contracts and the local property survey boards in the field, which started in June 2007 as a pilot to train staff members who are involved in the work of the local committees. As indicated in the table below, since the beginning of the programme in 2007, a total of 853 staff have been trained and certified.

<i>Period</i>	<i>Training missions</i>	<i>Staff trained</i>
1 July 2006-30 June 2007	1 <sup>a</sup>	14
1 July 2007-30 June 2008	21	313
1 July 2008-30 June 2009	17	300
1 July 2009-present (1 February 2010)	5	226

<sup>a</sup> Pilot project.

336. The capacity development programme includes four major components: policy development; training; monitoring; and communications strategy. The Headquarters Committee on Contracts is now starting to implement the monitoring function, including field assessment missions. It has been carrying out these activities since 2006 through temporary arrangements, but since the related functions are of a continuous nature, the conversion of the position of the Capacity Development Officer (P-4) to a post established at the P-4 level is proposed. The training, monitoring and analysis functions have become a part of the terms of reference of the Headquarters Committee on Contracts/Headquarters Property Survey Board secretariat, and training by the Committee is mandatory for members of the local committee on contracts. In addition, there is an increase in the demand for local committee on contracts and local property survey board training. The staffing establishment of the Headquarters Committee on Contracts/Headquarters Property Survey Board secretariat is currently comprised of four posts (1 D-1, 1 P-4, 1 P-3, 1 General Service (Other level)) funded from the support account for peacekeeping as well as four posts (1 P-5, 1 P-3, 2 General Service (Other level)) funded from the regular budget.

337. In addition to the implementation of the capacity development programme, the incumbent would coordinate the networking with the chairs and members of the local committee on contracts, supervise the updating of the community of practice, coordinate the development of policies, standard operating procedures, guidelines and communications strategies, organize and conduct assessment missions to review the functioning of the local committee on contracts in field missions in consultation with the Procurement Division and DFS, analyse Headquarters Committee on Contracts recommendations and identify systemic trends and issues in the acquisition process.

338. Without the approval of the proposed post, the Headquarters Committee on Contracts secretariat would not be able to continue the training activities for the local committees on contracts and the local property and survey boards, and given the rapid staff turnover in peacekeeping missions, it is likely that the membership of the committees and the boards would not have adequate capacity to handle the cases.

*Training and Analysis Assistant (GS (OL), general temporary assistance conversion)*

339. A Training and Analysis Assistant (GS (OL)) post is required to support the range of activities of the Headquarters Committee on Contracts/Headquarters Property Survey Board secretariat. The incumbent would support the Capacity Development Officers (P-4, P-3) as well as trainers who are mostly Committee members and staff of the secretariat. Assistance is currently provided through general temporary assistance, but since the training and monitoring functions have

become part of the terms of reference of the secretariat and training by the Headquarters Committee on Contracts is mandatory for members of the local committees on contracts, it is proposed that the approved general temporary assistance position be converted to a post.

340. The Training and Analysis Assistant would provide support by preparing certificates, arranging the travel of the trainers, coordinating the travel arrangements in consultation with the missions concerned, establishing and managing a database for the staff members who successfully attended training, and maintaining and updating the community of practice. The incumbent would also provide administrative and analytical assistance, and coordinate and monitor training activities, as explained above.

### **Management Evaluation Unit**

#### *Legal Officer (2 P-3, new)*

341. The newly created Management Evaluation Unit is part of the Office of the Under-Secretary-General for Management. The core functions of the Unit are (a) to conduct prompt management evaluation of contested administrative decisions and to determine whether they comply with the Organization's applicable regulations, rules and policies, (b) to assist the Under-Secretary-General for Management to provide the staff member requesting the review with a prompt and reasoned response regarding the outcome of the evaluation, and (c) to assist the Under-Secretary-General to ensure managerial accountability by ensuring managers' compliance with their responsibilities in the management of human and financial resources of the Organization.

342. The Unit comprises a Chief (P-5), two Legal Officers (P-4), three Legal Assistants (General Service (Other level)) and a Legal Officer (P-4, general temporary assistance), all funded by the regular budget. There are currently no support account funded posts.

343. The management evaluation is the first step of the new formal system of administration of justice at the United Nations, which became effective on 1 July 2009. This process allows the Department of Management to review all contested administration decisions to provide management a chance to correct improper decisions, thereby avoiding unnecessary litigation with the United Nations Dispute Tribunal. From its inception on 1 July 2009 to 31 December 2009, a total of 184 cases were received from staff members and former staff members of the Secretariat, including Headquarters, offices away from Headquarters, regional commissions, peacekeeping missions and special political missions. The current staffing resources of the Unit, which are solely supported by the regular budget, are inadequate to meet its objectives. Given that 28 per cent of cases originate from peacekeeping and political missions, it is proposed that two posts of Legal Officers be established at the P-3 level. The incumbents would be required to review contested administrative decisions within the statutorily imposed deadlines, obtain comments from management in response to the contested decisions, conduct extensive legal research as well as prepare reasoned and comprehensive decision letters in response to the requests for management evaluation. When appropriate, the incumbents would be required to take the lead or facilitate the settlement of disputes between staff members and management.

344. The statistics on the work for the first two quarters have shown a consistent and ongoing increase in requests for management evaluation, and it is anticipated that the current and projected caseload from peacekeeping missions, together with the strict and tight time frames in place, support the request for the proposed additional staffing resources. The additional staff would further enable the Management Evaluation Unit to achieve its mandate to allow the Administration to correct improper administrative decisions at an early stage, thereby avoiding unnecessary litigation at the United Nations Dispute Tribunal.

(e) **Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$1 856.2	\$604.4	48.3%

345. The provision of \$1,856,200 would cover salaries, common staff costs and staff assessment for the seven continuing posts, five new proposed posts and two general temporary assistance conversions. The variance is attributable to increased standard costs, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the seven continuing Professional and General Service category posts, respectively, and 65 per cent and 50 per cent for the proposed seven new Professional and General Service category posts, respectively.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$334.3	(\$398.1)	(54.4%)

346. The proposed requirements in the amount of \$334,300 would cover the establishment of two new general temporary assistance positions (1 P-5, 1 GS (OL)) in the Headquarters Committee on Contracts secretariat as well as six months maternity/sick leave coverage at the General Service (Other level). The variance is attributable to the discontinuation of general temporary assistance requirements for 18 months at the General Service (Other level) and 14 months at the P-3 level to cover maternity, sick leave and peak workload periods in the Department of Management.

**Headquarters Committee on Contracts, Award Review Board**

*Secretary of the Award Review Board (1 position (P-5), new)*

*Administrative Assistant (1 position (GS (OL)), new)*

*Administrative Assistant (1 position (GS (OL)) for 6 months, continuation)*

347. Under the general framework of the United Nations procurement reform, the Secretary-General, in his report (A/60/846/Add.5, para. 17), recommended a number of measures to promote fairness and transparency in the procurement process, including the establishment of an independent review mechanism, which was adopted by the General Assembly in its resolutions 61/246 and 62/269.

348. In order to implement the Secretary-General's measures, as mandated by the General Assembly, an Award Review Board has been established to review procurement challenges which may be filed by unsuccessful vendors and render

independent advice on the merits of the procurement challenge to the Under-Secretary-General for Management. The Board is to be administered by the Chair of the Headquarters Committee on Contracts/Headquarters Property Survey Board acting as Registrar and supported by a secretariat on a 12-month pilot basis. Currently, there are no existing resources to fund the pilot project and it is therefore proposed to establish two new general temporary assistance positions: the Secretary of the Award Review Board (P-5); and one staff member (GS (OL)) to support the Award Review Board.

349. The Secretary of the Award Review Board would ensure that all complaints submitted are eligible, complete and reviewed on time, and that decisions are communicated to all interested parties. Furthermore, the incumbent would act as focal point for Award Review Board queries, coordinate actions with the Registrar, the panel of experts, bidders and internal offices, develop consistent case handling procedures, identify systemic issues through a cross-cutting review of cases and make practical recommendations for systemic change. The substantive review of bid protests would be performed by high-level experts, as this function cannot be assumed by current staff members because the review should be independent from the United Nations to ensure the integrity of the process.

350. In order to provide assistance to the Registrar, the establishment of a position of Research and Administrative Assistant at the General Service (Other level) is proposed. The incumbent would provide assistance with legal research and case management as well as administrative support. In addition, it is requested to continue a general temporary assistance position at the General Service (Other level) for six months to support the Chair of the Headquarters Committee on Contracts/Headquarters Property Survey Board and the Registry of the Award Review Board during peak workload time.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	\$350.0	\$5.0	1.4%

351. A provision of \$350,000 is proposed to hire outside experts to review the bid protests of unsuccessful vendors. The experts should be independent from the United Nations to ensure the integrity of the process. Using statistics of the Federal Aviation Administration of the United States of America, which is comparable to the United Nations in volume and type of procurement, with an average duration for a case of 61 days or 2 months, it is estimated that the secretariat of the Award Review Board would reasonably receive 25 cases per year. It is further assumed that 20 of the cases would involve a single expert, while 5 cases would require a panel of 3 experts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$215.2	(\$9.5)	(4.2%)

352. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/consultation	44 800	Management support projects for peacekeeping missions, in particular in the areas of business process improvement, change management and organizational design  3 advisory mission visits to the local committee on contracts in peacekeeping missions
Technical support	15 000	Provision of service to the pilot project for the Award Review Board, for procurement
Seminars/conferences/workshops	8 400	Provision of service to the pilot project for the Award Review Board, for procurement  Execute projects employing proven, globally recognized business process improvement methodologies to reduce/eliminate delays and the inefficient use of labour and material resources. Enable the application of these resources to other pressing United Nations requirements
Training	147 000	10 training sessions for members of local committees on contracts and local property survey boards  Management support projects for peacekeeping missions, in particular in the areas of business process improvement, change management and organizational design
<b>Total</b>	<b>215 200</b>	

353. An amount of \$44,800 is proposed for mission planning/assessment/consultation-related travel: \$24,400 for two Management Analysts to conduct visits to three peacekeeping missions to provide advice and guidance in the areas of business process improvements, change management and organizational design; and \$20,400 for HCC to conduct field visits to MINUSTAH, MONUC and UNLB to monitor and assess the performance of local committees on contracts.

354. The provision of \$15,000 is requested for 15 trips to Washington, D.C., for meetings of panels of experts of the Award Review Board to review more complex cases.

355. The provision of \$8,400 is requested for travel related to seminars/conferences/workshops: for the Registry and Secretary of the Award Review Board to attend the International Procurement Conference as guest speakers and to gain experience and knowledge about best practices in the industry (\$5,000); and for the Management Support Service to attend the annual conference of the Association of Internal Management Consultants, which is the key forum in North America for the exchange of best practices in improving organizational performance, as well as for

staff to attend workshops on core principles, models, tools and examples of organizational design in order to facilitate strategies and innovation for management within the Secretariat (\$3,400).

356. The provision of \$147,000 would provide for training-related travel of staff of the HCC secretariat to continue providing basic training to members of local committees on contracts in peacekeeping missions as well as advanced training to Headquarters Committee on Contracts and Local Property Survey Board members for a total of 10 training sessions (\$142,800). The provision of \$4,200 would provide for the Management Support Service to attend software vendor training. As the Service team works very closely with Umoja, conferences and workshops addressing change management, business intelligence, enterprise resource planning and the software vendor will bring significant benefit to the Management Analyst, as they help the Organization to undergo the integration process.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$22 921.5	\$2 330.4	11.3%

357. The proposed amount of \$22,921,500 would provide requirements for rental of premises, alterations, improvements and furniture, centrally administered by the Executive Office of the Department of Management on behalf of DPKO (\$7,143,400), DFS (\$8,551,600), the Department of Management (\$5,072,800), the Office for Internal Oversight Services (\$733,600), the Executive Office of the Secretary-General (\$71,500), the Office of the Ombudsman (\$94,200), the Ethics Office (\$28,600), the Office of Legal Affairs (\$228,800), the Department of Public Information (\$57,200), the Department of Safety and Security (\$339,200), the Office of Information and Communications Technology (\$369,800) and the secretariat of the Advisory Committee on Administrative and Budgetary Questions (\$81,800). The requirements also include the acquisition of office supplies for the Department of Management (\$149,000). The variance is attributable to additional requirements related to the proposed new posts and general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$559.0	\$85.8	18.1%

358. The estimate of \$559,000 would provide for requirements centrally administered by the Executive Office on behalf of the Department of Management for commercial communications services, at the standard rate derived from past expenditure patterns (\$417,200), as well as for the acquisition of standard communications equipment (\$141,800). The variance is attributable to additional requirements related to the proposed new posts and general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$58 266.0	\$28 478.5	95.6%

359. The estimate of \$58,266,000 includes resource requirements related to ERP in the amount of \$57,033,000, based on the estimate presented in the Secretary-



General's first progress report on the ERP project (A/64/380). The estimate of \$1,233,000 would cover requirements, centrally administered by the Executive Office on behalf of the Department of Management, for the maintenance and repair of IT equipment based on standard service-level agreements established by the Office of Information and Communications Technology (\$465,000) and the support account share (\$471,000) of central information technology infrastructure costs (information storage and backup, application hosting, departmental servers) derived from past expenditure patterns as well as the acquisition of new and replacement standard information technology equipment (\$297,000). The variance is attributable to the proposed requirements related to ERP.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$8 142.6	(\$1 312.3)	(13.9%)

360. The proposed amount of \$8,142,600 would cover the after-service health insurance costs for retired peacekeeping staff (\$8 million), which is based on the projected annual population during 2010/11 and past period expenditure patterns; a provision for the development of an e-learning tool for local committees on contracts (\$100,000); training supplies for training sessions for local committees on contracts (\$35,600); and training fees for the Management Support Service (\$4,000) and the Management Evaluation Unit (\$3,000). The variance is attributable to the discontinuation of the administration of justice provisions for 2009/10 under the above heading.

## **2. Office of Programme Planning, Budget and Accounts**

### **(a) Results-based-budgeting framework**

361. The core functions of the Office of Programme Planning, Budget and Accounts are outlined in Secretary-General's bulletin ST/SGB/2003/16. The Office comprises the Office of the Controller, the Financial Information Operations Service, the Accounts Division, the Peacekeeping Financing Division, the Programme Planning and Budget Division and the Treasury.

362. The Peacekeeping Financing Division will continue to provide guidance on policies, procedures and methodology for estimating the resource requirements of 13 active peacekeeping operations, the support for the African Union Mission in Somalia, UNLB and the support account for peacekeeping operations; to prepare annual budget and performance reports for field operations and the support account, and ad hoc reports on administrative and budgetary aspects; and to provide substantive committee servicing. The Office continues to monitor cash-flow status of the special accounts for each peacekeeping operation, authorizing payment to Governments for settlement of their certified contingent-owned equipment claims, to determine average monthly troop strengths, to establish amounts reimbursable and initiate payments for troop and formed police unit cost reimbursements to Governments, and to provide training on fund monitoring.

363. The Accounts Division will continue to provide financial services, including payroll, payment and insurance, carry out control and monitoring functions, provide financial guidance and assistance, and prepare the peacekeeping financial statements. As a result of the harmonization of staff contracts in July 2009, education grant claims from staff are expected to more than triple from 3,000 to

10,000 claims annually, which will have an impact on the volume of transactions. The Office will continue its efforts to automate processes so as to achieve efficiencies in meeting growing demands. With the implementation of the Internet portal for Member States, information on the status of contributions will become available in a more comprehensive and timely manner. With regard to IPSAS, the Office continues its work to operationalize IPSAS-compliant accounting policies, develop the related procedures and undertake relevant training for concerned staff. In addition, the Office will continue to be fully engaged with the further advancement of the financial modules of the Umoja project.

364. The Treasury, operating under the Office, also continues to provide policy guidance relating to Treasury and banking operations to peacekeeping missions and to provide investment and liquidity management of peacekeeping funds. The Treasury executes monthly remittances to peacekeeping missions and payroll payments (including education grants) to internationally recruited staff members. Having consolidated the services pertaining to provision of financial information, the Office continues to establish backup resources to provide continuous operational support for mission-critical systems. The Office continues to process requests for designation of staff with significant financial responsibilities in peacekeeping missions and to monitor the exercise of financial authority delegated by the Controller to the administrative heads of peacekeeping missions.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	<p>1.1 100 per cent of deadlines for the submission of reports to the Department for General Assembly and Conference Management are met: 31 December 2010 for all performance reports and the report on closed missions; 31 January 2011 for active field operations on the normal budget preparation cycle; 28 February 2011 for the support account and UNLB (2008/09: 77 per cent; 2009/10: 100 per cent; 2010/11: 100 per cent)</p> <p>1.2 Positive feedback from the Advisory Committee on Administrative and Budgetary Questions and the General Assembly on the format and presentation of peacekeeping budgets, performance reports and other related reports</p> <p>1.3 Provision of responses to requests for supplementary information from the Fifth Committee and the Advisory Committee on Administrative and Budgetary Questions no later than 5 working days after their receipt (2008/09: not applicable/not available; 2009/10: 5 days; 2010/11: 5 days)</p> <p>1.4 Positive opinion of the United Nations Board of Auditors on the peacekeeping financial statements</p> <p>1.5 Financial statements are available to the Board of Auditors within 3 months of the end of the financial period (2008/09: 3 months; 2009/10: 3 months; 2010/11: 3 months)</p>

1.6 Monthly reports on the status of contributions are available by the end of the following month (2008/09: 1 month; 2009/10: 1 month; 2010/11: 1 month)

#### *Outputs*

### **Peacekeeping Financing Division**

- 28 reports on budget performance and budget estimates for 14 active field operations; 1 report on budget performance for UNOMIG; and 1 report on disposition of assets for UNMEE
- 1 report on the updated financial position of 22 closed missions
- 5 reports and 3 notes on the administrative and budgetary aspects of the financing of United Nations peacekeeping operations, including the overview report, support account for peacekeeping operations and UNLB
- 1 briefing to Member States providing a status update on the implementation of General Assembly resolution 63/285, in relation to the review of the methodology for rates of reimbursement to troop-contributing countries
- 17 supplementary information packages to the Advisory Committee on Administrative and Budgetary Questions for 14 active field operations, budget performance for UNOMIG, UNLB and the support account for peacekeeping operations
- Review and coordination of responses to follow-up questions from legislative bodies on 14 active field operations, UNLB, the support account for peacekeeping operations and cross-cutting issues

### **Accounts Division**

- 3 consolidated and 45 individual mission financial statements with 19 schedules and notes to the financial statements
- Monthly reports on the status of contributions, monthly informal summaries of outstanding assessed contributions and 12 informal summaries of the status of contributions on the 15 major contributors and other Member States

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates	2.1 Banking operations established following a Security Council resolution establishing a new United Nations peacekeeping mission

#### *Outputs*

- Assistance to peacekeeping operations in the selection of banks to provide the required banking services

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 Liabilities for troops and formed police units do not exceed 3 months (2008/09: liabilities do not exceed 3 months for 3 active missions, liabilities do not exceed 6 months for 6 other active missions, liabilities for remaining 4 active missions exceeded 6 months; 2009/10: 3 months; 2010/11: 3 months)

3.2 90 per cent of respondents to client surveys rate the guidance provided by the Peacekeeping Financing Division on budgetary policies and procedures as at least good or very good (2008/09: 90 per cent indicated timely and comprehensive service, 63 per cent indicated useful/improved service; 2010/11: 90 per cent; 2011/12: 90 per cent)

3.3 Processing of payments to troop-contributing countries within the required time frames and in accordance with payment instructions provided by Member States (2008/09: yes; 2009/10: yes; 2010/11: yes)

3.4 Processing of 90 per cent of the Headquarters payments to international staff in peacekeeping missions within 30 working days of the receipt of supporting documentation (2008/09: 100 per cent for payroll, 73 per cent for staff separations, 60 per cent for education grants; 2009/10: 90 per cent; 2010/11: 90 per cent)

3.5 90 per cent of payments of invoices to vendors and travel claims of staff processed within 30 working days of the receipt of supporting documentation (2008/09: 89 per cent for vendor payments, 95 per cent for travel claims; 2009/10: 90 per cent; 2010/11: 90 per cent)

3.6 Provision of advice on insurance terms for peacekeeping contracts referred to the Insurance and Disbursement Service within 30 working days of the receipt of the request (2008/09: not applicable/not available; 2009/10: 30 days; 2010/11: 30 days)

3.7 95 per cent of communications to Member States for contributions processed within 30 days after the adoption of resolutions and related instructions from the Peacekeeping Financing Division (2008/09: 100 per cent; 2009/10: 95 per cent; 2010/11: 95 per cent)

3.8 Requests for designation of staff and delegation of authority approved and processed within 2 weeks (2008/09: 2 weeks; 2009/10: 2 weeks; 2010/11: 2 weeks)

3.9 Peacekeeping support accounts investment pool rate of return is equal to or above 90-day United States Treasury bill interest rate for United States dollar investments (United Nations benchmark)

3.10 100 per cent of payments requested for peacekeeping accounts processed within 2 business days (2008/09: 2 days; 2009/10: 2 days; 2010/11: 2 days)

3.11 100 per cent availability of service support to OPPBA users (2008/09: 95 per cent; 2009/10: 100 per cent; 2010/11: 100 per cent)

3.12 Percentage of respondents to client surveys who rate the service provided and the ease of access to financial information as at least good or very good (2008/09: not applicable/not available; 2009/10: 90 per cent; 2010/11: 90 per cent)

---

*Outputs*

**Peacekeeping Financing Division**

- Provision of policy guidance to 14 field operations, UNLB and 11 Headquarters departments and offices on the formulation of budget proposals and performance reports, including on financial rules and regulations, policies and procedures, results-based budgeting and recommendations of legislative bodies, and establishment of related trust funds through, inter alia, the organization of a workshop in cooperation with representatives from the Field Budget and Finance Division/DFS for budget staff from field operations and a briefing for Headquarters departments and offices on the preparation of budget proposals for the support account
- Visits to 4 field operations to provide strategic advice and on-site assistance on budgetary and financial issues
- 300 funding authorizations for field operations, UNLB, Headquarters departments and offices, and peacekeeping trust funds on an ongoing basis
- 14 field operations, 1 UNLB and 11 Headquarters departments and offices staffing table authorizations
- 20 financial reports to donors for peacekeeping trust funds
- Organization and conduct of 9 video teleconferences with field operations and UNLB, as and when required, on pending budget assumptions and justification issues during the performance and budget report finalization phase
- Provision of training for 200 personnel in 5 field operations and at Headquarters on the funds monitoring tool

**Accounts Division**

- Provision of advice to peacekeeping operations on financial regulations and rules, accounting policies, procedures and practices, and insurance matters
- Provision of training and policy guidance to field finance operations on improved internal controls and rectification of audit findings
- Analysis and recommendations for operationalizing of new accounting policies in preparation for the adoption of IPSAS
- Implementation of a portal for Member States' access to the status of assessed contributions
- Automation of the issuance of receipts for voluntary contributions
- Accurate accounting for strategic deployment stock transactions and further refinement of related accounting guidelines, as required
- Processing of 19,000 payments to Member States, staff and vendors
- Processing of 10,000 education grant claims and advances
- Negotiation and administration of 12 insurance policies that cover peacekeeping operations, including the master aviation policy and the worldwide vehicle policy
- Provision of health and life insurance to all eligible international peacekeeping staff and dependants

- Settlement of peacekeeping commercial insurance claims and the claims reviewed by the Advisory Board on Compensation Claims
- Processing of 4,000 investment settlements for peacekeeping operations in accordance with industry standards
- Issuance of 250 daily, 12 monthly and two semi-annual investment and cash management reports for peacekeeping missions
- Timely issuance of assessment letters transmitting 38 peacekeeping assessments and 15 credits, and comprehensive reminder to Member States regarding unpaid assessments
- Processing of 3,000 receipts from Member States for contributions for peacekeeping operations, and maintenance of accurate and up-to-date unpaid contributions records
- Effective servicing of the Committee on Contributions by providing all requested data in a timely manner
- Designation of staff at peacekeeping missions with significant financial responsibilities

### **Treasury**

- The United States dollar funds of peacekeeping accounts invested in accordance with United Nations approved guidelines
- Execution of approximately 3,000 electronic fund transfers, 500 foreign exchange purchases and 1,350 investment settlements
- Execution of approximately 80,000 payroll payments to approximately 8,000 staff members funded from peacekeeping accounts
- Recording of approximately 2,500 incoming payments for \$6 billion to peacekeeping accounts and transfer of approximately 600 remittances for \$2.5 billion to peacekeeping bank accounts
- Processing of approximately 180 bank signatory amendments for peacekeeping bank accounts

### **Office of the Controller**

- Monitoring of delegation of financial authority for peacekeeping missions
- Monitoring of audit recommendations pertaining to accounting and budgeting aspects of peacekeeping operations

### **Financial Information Operations Service**

- Maintenance, updating and operation of computerized budget and finance information systems; management of data structure and system control; local area network administrative functions
- Maintenance of charts of accounts and other finance-related reference tables in IMIS
- Maintenance of troop cost and claims reimbursement system
- Development and enhancement of ad hoc financial applications
- Enhanced financial management reports

---

#### *External factors*

Assessments will be paid promptly. Adequate insurance policies for peacekeeping missions will be offered continuously by the insurance industry. Requests for delegation of financial authority are received on a timely basis

---

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	1	—	—	—	1	—
D-1	1	—	—	—	1	—
P-5	5	1	—	—	6	1
P-4	22	—	—	1	23	1
P-3	19	(1)	—	2	20	1
P-2/P-1	1	—	—	—	1	—
<b>Subtotal</b>	<b>49</b>	<b>—</b>	<b>—</b>	<b>3</b>	<b>52</b>	<b>3</b>
<b>General Service and other</b>						
Principal level	4	—	—	—	4	—
Other level	40	—	—	4	44	4
<b>Subtotal</b>	<b>44</b>	<b>—</b>	<b>—</b>	<b>4</b>	<b>48</b>	<b>—</b>
<b>Total</b>	<b>93</b>	<b>—</b>	<b>—</b>	<b>7</b>	<b>100</b>	<b>7</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2008/09) (1)</i>	<i>Apportionment (2009/10) (2)</i>	<i>Cost estimates (2010/11) (3)</i>	<i>Variance</i>	
				<i>Amount (4)=(3)-(2)</i>	<i>Percentage (5)=(4)÷(2)</i>
I. Post resources	10 385.3	12 615.1	13 907.8	1 292.7	10.2
II. Non-post resources					
General temporary assistance	2 413.1	2 394.5	2 619.6	225.1	9.4
Consultants	255.8	1 188.3	1 332.0	143.7	12.1
Official travel	251.9	637.0	606.0	(31.0)	(4.9)
Information technology	—	720.3	828.5	108.2	15.0
Other supplies, services and equipment	223.2	259.0	527.0	268.0	103.5
<b>Subtotal II</b>	<b>3 144.4</b>	<b>5 199.1</b>	<b>5 913.1</b>	<b>714.0</b>	<b>13.7</b>
<b>Total</b>	<b>13 529.3</b>	<b>17 814.2</b>	<b>19 820.9</b>	<b>2 006.7</b>	<b>11.3</b>

**(d) Justification of posts****Accounts Division*****Payroll and Disbursement Section****Finance Officer (1 P-3, new)**Finance Assistants (2 GS (OL), new)*

365. The Payroll and Disbursement Section is assigned with the tasks of payroll of 100-series staff serving in peacekeeping missions. The Section also processes invoices for procurement contracted at Headquarters and travel claims related to peacekeeping operations. It is supported by staff members in two Professional posts (P-3) and 13 General Service posts funded from the support account.

366. In addition to the overall increase in peacekeeping staff, which is projected to grow continuously in 2010/11 (see table below), the implementation of the new contractual framework, with effect from 1 July 2009, has brought a considerable amount of additional workload to the Payroll and Disbursement Section. As approximately 6,000 special/non-family mission staff have been reappointed as international staff, the number of staff on payroll at Headquarters has increased from 1,500 to 7,500. In cases where there is a drop in salary amount owing to the transition, a personal transitional allowance is being paid, increasing the workload of the Section.

**Workload indicators**

	2002/03	2003/04	2004/05	2005/06	2006/07	2007/08	2008/09	2009/10 estimate
Total staff	9 719	9 722	10 784	11 653	12 693	15 678	15 793	16 154
Non-peacekeeping staff	6 347	6 156	6 130	6 742	7 063	8 482	8 313	8 300
Peacekeeping staff	3 372	3 566	4 654	4 911	5 630	7 196	7 480	7 854
Percentage increase in peacekeeping staff over prior year		6	31	6	15	28	4	5

367. In addition, as a result of the reformed contractual structure, 6,000 staff are now entitled to the benefits of international staff, including education and repatriation grants, processed by the Section. While repatriation grant payments will not cause an immediate increase in workload as they are processed at the end of service, a sudden upsurge is expected in the education grant claims. Currently, about 2,000 such claims are received from 1,500 international staff in peacekeeping missions and one staff member (General Service (Other level)) is fully devoted to the processing of the claims. In aggregate, about 25 to 30 per cent of one Finance Officer's time is required to approve those claims. Based on the Field Personnel Division's detailed review of the 6,000 converted contracts, it is expected that 8,000 additional education grant advances will be issued in 2009/10. Therefore, in total, approximately 10,000 education grant claims will be received during 2010/11, and the number of education grant claims will remain relatively constant. As an increase in such volume of education grant claims cannot be handled with the current staffing resources in the Section, it is proposed to establish a post of Finance Officer at the P-3 level and two posts at the General Service (Other level).



### ***Health and Life Insurance Section***

#### ***Benefits Assistant (1 GS (OL), resubmission)***

368. The Health and Life Insurance Section manages the insurance for staff and their families, processing the claims filed by peacekeeping missions as well as those of offices away from Headquarters and other United Nations agencies. The workload of the Section is directly related to the number of staff administered by Headquarters. The staffing establishment of the Section currently comprises one Professional post (P-4) and three General Service (Other level) posts funded from the support account. Owing to the continuous increases in peacekeeping staff in recent years (see table above), additional staffing resources were requested in the context of the 2009/10 budget for the support account for peacekeeping operations and one additional post (P-4) was approved, while the request for one General Service (Other level) post was not approved. In addition, the harmonization of staffing contracts, with effect from 1 July 2009, resulted in the availability of insurance benefits to more staff members, which will further increase the workload of the Section. It is therefore requested to establish an additional post (General Service (Other level)).

### ***Treasury***

#### ***Cashier (1 P-4, new)***

369. The Cashier Section is responsible for the collection and disbursement of funds, foreign exchange/investment settlement, reconciliation and maintenance of IMIS payee banking master data tables, accurately and efficiently carried out in a secure environment in accordance with the Financial Rules and Regulations of the United Nations.

370. The scope of peacekeeping operations has increased from \$2.5 billion in 2003 to approximately \$7.9 billion in 2009. This increase in operations in the field has resulted in the increased complexity and volume of the payments processed in Treasury, requiring a staff member with extensive knowledge of global payment processing to fully support the operations of the peacekeeping missions. Treasury makes approximately 7,500 payroll payments per month to staff members in peacekeeping missions. The discontinuation of mission subsistence allowance payments in July 2009 and the high turnover of staff in the peacekeeping missions necessitate the ongoing updating of payroll payment instructions by Treasury. The number of IMIS payroll payment instruction records created increased from 1,000 in 2003 to 7,500 in 2009.

371. The current staffing establishment of the Cashier Section comprises one post of Chief of the Section (P-5) funded from the regular budget, one post at the P-3 level, one General Service (Principal level) post and two General Service (Other level) posts funded from the support account for peacekeeping operations. It is proposed that a post of Cashier be established at the P-4 level. The incumbent would ensure the accurate and timely processing of the payroll related to peacekeeping staff and process the payments to Member States for troop reimbursement and contingent-owned equipment payments. The volume of such payments was approximately \$2 billion in 2008. In addition, the Cashier Section processes all the remittances to the local field bank accounts. Treasury processes the foreign currency payments for those field offices that maintain only local currency and United States dollar accounts. Not only has the number of such foreign exchange payments

increased, but the large foreign currency purchases bid competitively on behalf of field offices have also grown from zero in 2003 to 260, totalling \$200 million, in 2009. Moreover, the responsibility for recording the contributions deposited to the United Nations bank accounts in IMIS was transferred to Treasury in 2009, which resulted in the increase of deposit documents created in Treasury from 5,600 in 2003 to 8,400 in 2009.

### **Peacekeeping Financing Division**

*Reclassification of Finance and Budget Officer post (1 P-3 to 1 P-4, new)*

*Reclassification of Finance and Budget Officer post (1 P-4 to 1 P-5, Chief of Section, new)*

372. The Peacekeeping Financing Division supports 14 active field missions and 3 missions in liquidation, UNLB and the support account for peacekeeping operations. The core functions of the Division include establishing policies, procedures and methodology for the estimation of resource requirements and providing policy guidance on matters relating to the financing of peacekeeping missions; preparing annual budgets and performance reports for active peacekeeping missions, and liquidation budgets and reports on the disposition of assets for missions in liquidation; annual budgets and performance reports on the support account and UNLB; annual reports on the overview of peacekeeping and closed missions, and other ad hoc reports concerning the administrative and budgetary aspects of the financing of peacekeeping missions; monitoring the cash flow status of the special accounts for the missions; issuing staff and funding authorizations for active peacekeeping missions, the support account, UNLB and peacekeeping-related trust funds; determining average monthly troop strengths, establishing reimbursable amounts, preparing the Controller's payment authorization memorandums and preparing payment letters to the permanent missions of contributing Governments; organizing training workshops on the funds monitoring tool in peacekeeping missions and Headquarters.

373. The Division is also responsible for providing substantive services to the Advisory Committee on Administrative and Budgetary Questions and the Fifth Committee on peacekeeping financing issues. The current staffing establishment comprises 32 posts located in three peacekeeping mission sections, the Headquarters Support Account Team and the Mission Support Unit (1 D-2, 1 D-1, 3 P-5, 10 P-4, 8 P-3, 9 General Service (Other level)). The Division has experienced significant growth in its workload volume and scope over the last seven financial periods commensurate with the expansion of peacekeeping operations, which has impacted the reporting requirements and other responsibilities of the Division as a whole.

374. The Headquarters Support Account Team (2 P-3, 1 GS (OL)) bears responsibility for formulating the budget instructions and budget requirements, screening and reviewing the budget and performance reports, and supporting the implementation of the support account for peacekeeping operations. The functions of the Mission Support Unit (1 P-4, 1 P-3, 1 GS (OL)) focus on mission cross-cutting matters, such as cash monitoring, elaborating templates for budget and performance reports, and providing the methodology for international staff costing. Both entities continue to grow in scope and volume of workload in tandem with developments in the financial management and administration of peacekeeping missions, and the evolution in departmental structures in the Secretariat, including

the establishment of new offices and departments and the restructuring of existing offices and departments. Furthermore, UNLB is supported by one of the mission-related sections rather than by an entity that has an overview of all relevant mission cross-cutting issues.

375. Following an internal assessment carried out by the Division, it is proposed that the existing posts of the Team and the Unit be combined into a new section and that the support for UNLB be shifted into the proposed new section. This consolidation would improve the review and monitoring of resources for the centralized backstopping of peacekeeping missions. Consequently, oversight at the section level should be exercised by a Chief at the P-5 level owing to the intricate nature of the support account and UNLB, the need for appropriate representation of the Division in interactions with client offices, for which representation ranges from the P-5 to the D-2 levels, and strengthened oversight of the preparation of the overview report, which requires intra-Division and interdepartmental collaboration. Accordingly, it is proposed that the level of the current Finance and Budget Officer post (P-4) in the Mission Support Unit be reclassified to the P-5 level, to perform the duties of Chief of Section.

376. While requirements to support newly established and restructured departments and offices funded from the support account have led to an increase in workload, as demonstrated by the key growth indicators shown in the table below, the responsibilities require senior and experienced staff who can make decisions and perform functions at higher levels with less supervision. Therefore, it is proposed that one of the Finance and Budget Officer posts in the Headquarters Support Account Teams be reclassified from the P-3 to the P-4 level in order to align the experience, budget and reporting skills and management expertise required to administer the support account budget formulation and execution.

<i>Key growth indicators (support account)</i>	<i>2003/04</i>	<i>2008/09</i>	<i>2009/10</i>	<i>Variance (percentage increase in 2009/10 compared with 2003/04)</i>	<i>2010/11 (proposed)</i>
Approved budget (United States dollars)	121 million	274 million	294 million	143	313.9 million
Number of posts	743	1 220	1 245	68	1 377
Budget report (number of pages)	67	243	320	378	350
Performance report (number of pages)	66 (2003/04)	102 (2006/07)	140 (2007/08)	112	141 (2008/09)
Departments/offices	6	10	11	83	11
Submissions	23	53	54	134	54

#### **Staff to clients served**

Headquarters Support Unit: 2 Finance and Budget Officers: 11 Headquarters departments/offices, 54 budget submissions

#### **Qualitative factors**

The implementation of the results-based-budgeting approach resulted in an additional oversight and review function, and increased volume and intricacy of the workload related to the processing and review for each department/office and their divisions; liaising with counterparts at the P-5 and Director levels

Since 2003/04, the following new Departments/offices and restructuring have been established and funded from the support account:

<i>Key growth indicators (support account)</i>	<i>2003/04</i>	<i>2008/09</i>	<i>2009/10</i>	<i>Variance (percentage increase in 2009/10 compared with 2003/04)</i>	<i>2010/11 (proposed)</i>
– DM — restructuring of OHRM (in 2008, doubled in divisions); OPPBA expanded					
– DPKO (more than doubled overall in divisions; restructuring in 2007; strengthening of the Office of Military Affairs and the Police Division in 2008 and 2009)					
– DSS (established in 2005)					
– DFS (established in 2007)					
– OIOS — Investigations Division (established in 2005)					
– OIOS — Internal Audit Division transferred from mission budget to support account budget in 2003					
– OMB (established in June 2002)					
– Ethics Office (established in 2007)					
– OICT (established in 2009)					

#### *Finance and Budget Officer (1 P-3, new)*

377. It is proposed that one new post of Finance and Budget Officer be established at the P-3 level to provide backstopping to the United Nations support of AMISOM. The responsibilities of the incumbent would include the analysis and preparation of reports on financial performance and budget estimates, financial backstopping, monitoring of budget implementation, administration of the trust fund and provision of budgetary guidance to counterparts in DFS and support of AMISOM.

378. The dedicated staffing is no longer adequate, as demonstrated by the workload indicators in the table below. Requirements for financing of support of AMISOM have grown significantly over the past year in light of the challenging operating environment that Somalia presents and as support of AMISOM has expanded its operations. Funding requirements have increased several-fold since the commencement of support of AMISOM in 2007/08 and in 2010/11 the full suite of budget and financial performance reports will be required. In addition, the United Nations Trust Fund for AMISOM is large and complex. It is expected to grow further and will require an increasing level of support. The establishment of this post would ensure adequate backstopping to support of AMISOM and the timely submission of financial reports to the General Assembly.

#### **Workload indicators**

<i>Period</i>	<i>2008/09</i>	<i>2009/10</i>	<i>Variance (percentage increase/decrease compared with 2008/09)</i>
Published reports	38	38	—
Active missions (including UNLB)	18	17	-5.5
Budget report (number of pages)	915	1 130	+23.5
Performance report (number of pages)	484	552	+14.0
Responses to Advisory Committee on Administrative and Budgetary Questions (number of pages)	725	1 016	+40.1
Supplementary package (number of pages)	1 724	1 734	+0.6
Responses to Fifth Committee (number of pages)	391	711	+81.8

<i>Period</i>			<i>Variance (percentage increase/decrease compared with 2008/09)</i>
	<i>2008/09</i>	<i>2009/10</i>	

#### **Staff to clients served**

Mission Support Unit: 2 Finance and Budget Officers: 70 troop-contributing countries and 14 active field missions; closed missions

3 Peacekeeping Mission Sections: 13 Finance and Budget Officers: 17 field missions (14 active and 3 in liquidation), UNLB, and Trust Funds. Each Section is managed by a Section Chief (P-5), reporting to the Deputy Director, and comprises 4 or 5 Finance and Budget Officers (P-3 or P-4) and 2 Finance and Budget Assistants

#### *Finance and Budget Assistant (1 GS (OL), new)*

379. It is proposed that a post of Finance and Budget Assistant (GS (OL)) be established in response to the additional volume of reporting requirements, financial transactions, Headquarters budgetary aspects and cross-cutting issues associated with increasing commitments in relation to peacekeeping operations and the establishment of departments and offices at Headquarters (see table above). In the past, the Finance and Budget Assistant reporting to the Deputy Director was reassigned within the Division to provide assistance in mission and cross-cutting-related matters wherever needed depending on the workload. However, the Deputy Director requires his or her own support function, with the following duties: to provide complete administrative support to the Deputy Director, including coordination of meetings, maintenance of files and the screening of incoming correspondence; and to provide backup support to the Personal Assistant to the Director, notably in the management of such staff-related issues as attendance, processing of leave requests, support in recruitment processes and coordination with the Executive Office of the Department.

#### **(e) Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$13 907.8	\$1 292.7	10.2%

380. The provision of \$13,907,800 would cover salaries, common staff costs and staff assessment for the 93 continuing posts and 7 proposed new posts. The variance is attributable to the increased standard costs and the proposed establishment of seven new posts, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation for the continuing Professional and General Service category posts, respectively, and 65 per cent and 50 per cent for the proposed new Professional and General Service category posts, respectively.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$2 619.6	\$225.1	9.4%

381. The proposed requirements in the amount of \$2,619,600 would cover the continuation of 15 continuing general temporary assistance positions and the establishment of 1 new position as follows, including eight months at the General Service (Other level) to cover maternity and sick leave in the Treasury: Accounts Division: IPSAS (2 positions (P-4), continuation; 2 positions (P-3), continuation);

Peacekeeping Accounts Section (2 positions (P-4), continuation, 3 positions (GS (OL)), continuation); Financial Information Operations Service (1 position (P-4), continuation; 1 position (P-3), resubmission; 1 position (P-2), continuation; 1 position (GS (OL)), continuation); Treasury: Global Banking (1 position (P-3), continuation); Peacekeeping Financing Division (2 positions (P-3), continuation).

## **Accounts Division**

### ***International Public Sector Accounting Standards Project Team***

*IPSAS Officer (2 positions (P-4), continuation; 2 positions (P-3), continuation)*

382. IPSAS implementation is a major undertaking that will continue to require dedicated resources for the duration of the project. An IPSAS implementation team funded with resources from both the regular budget and the support account is leading and coordinating this exercise at the United Nations, including the peacekeeping missions. During 2010/11, the IPSAS team will continue to lead the preparatory work for the determination of IPSAS-compliant opening statements of position, including balances for items of property, plant and equipment, and inventories in field missions, to continue the development and deployment of IPSAS-related training and to formulate IPSAS-related policies that will support IPSAS-compliant financial statements. Furthermore, the team will be involved in the operational aspects of those IPSAS-related policies by coordinating the process in order to develop detailed procedures and associated changes in workflows. Accordingly, it is proposed that four general temporary assistance positions (2 P-4, 2 P-3) be continued to focus on the implementation of IPSAS in peacekeeping missions.

### ***Peacekeeping Accounts Section***

*Policy Guidance and Training Officer (1 position (P-4), continuation)*

*Strategic Deployment Stocks Officer (1 position (P-4), continuation)*

*Finance Assistants (3 positions (GS (OL)), continuation)*

383. The Peacekeeping Accounts Section maintains the accounts of 16 active and 30 closed peacekeeping missions and those of strategic deployment stocks, processes the reimbursements of troop costs and contingent-owned equipment and prepares financial statements. The Section is managed by a Chief of Section (P-5) and supported by nine Professional (4 P-4, 4 P-3, 1 P-2) and four General Service (1 Principal level, 3 Other level) staff, whose posts are funded from the support account. In addition, the Section is currently supported by the incumbents of two positions at the P-4 level and of three positions at the General Service (Other level), and it is proposed that the five general temporary assistance positions be continued.

384. The position of the Policy Guidance and Training Officer (P-4) has been provided to continuously monitor and provide guidance for improving the internal controls in peacekeeping operations. The functions of the position entail responding to new situations and emerging issues, and providing policy guidance in accordance with the Financial Regulations and Rules of the United Nations, sound internal control and accounting principles. The functions also include providing advice on accounting policies, procedures and practices and following up with the implementation of audit recommendations.

385. Moreover, the functions of the position include the review of the Strategic Deployment Stocks Accounting Guidelines, in consultation with the Logistics Support Division and the Field Budget and Finance Division in DFS and the Peacekeeping Financing Division, which requires monitoring of the operations over multiple years to identify the processes that need improvement and updating.

386. The position of the Strategic Deployment Stocks Officer (P-4) has been provided for the accurate accounting of strategic deployment stocks transactions and the review of related accounting guidelines. With the expansion of peacekeeping operations and the increasing need to respond in a timely manner as well as the year-round rotation of strategic deployment stocks, it is requested to continue the position.

387. The three General Service (Other level) positions have been continuously provided to the section (12 years for 2 positions and 5 years for 1 position). Owing to the start-up and expansion of peacekeeping missions, the workload of the Section has steadily increased and it is therefore proposed to continue the three general temporary assistance positions. Moreover, it is evident from the table below that the workload is expected to increase continuously.

#### **Workload indicators, Peacekeeping Accounts Section**

	2003/04	2004/05	2005/06	2006/07	2007/08	2008/09	2009/10 estimate
Total peacekeeping appropriations (millions of United States dollars)	2 934	4 074	4 725	5 360	6 739	7 086	7 805
Number of financial statements and schedules	60	61	62	66	67	67	67
Number of accounting transactions	313 098	369 207	442 056	441 065	462 621	509 270	542 810

#### **Treasury**

##### *Finance Officer (1 position (P-3), continuation)*

388. Owing to the significant increase in the scope of peacekeeping operations from \$2.5 billion in 2002/03 to \$7.9 billion in 2009/10 and the complexity of the operations in the peacekeeping missions, it is proposed that the position of Finance Officer (P-3) in the Global Banking Operations Section be continued to assist in identifying banking solutions for field missions. The Section currently comprises a Chief of Section (P-5) funded by the support account for peacekeeping.

389. Approximately \$2 billion is disbursed annually in the field, with a significant amount disbursed locally in countries with very limited banking infrastructure. Treasury has to ensure that such payments are made in the most efficient, secure and cost-effective manner, that the bank charges paid by the peacekeeping missions are commensurate with the services delivered and that the fees paid are reasonable. Treasury, in coordination with the Procurement Division, will issue requests for proposals for banking services in the peacekeeping missions to ensure that competitive arrangements are in place. The participation of a Banking Officer is essential when negotiating the required banking services and related banking fees.

390. The introduction of electronic payment systems in peacekeeping missions has led to over 200,000 electronic payments annually. Despite extensive training, there are still errors in the formatting of payments that have led to additional bank

charges. Although Treasury has organized numerous training sessions in UNLB and the peacekeeping missions, the turnover of staff and the hiring of new staff explain the continuous requirement for training. The Finance Officer would conduct on-site training in peacekeeping missions, in addition to regular training sessions in UNLB.

391. Moreover, the Finance Officer would prepare and process all the documentation required for the opening and closing of official United Nations bank accounts, as well as all correspondence to the banks related to amendments to bank signatory panels. The incumbent would also maintain all bank account information in the Treasury database.

*Finance Assistant (1 position (GS (OL)) for 8 months, new)*

392. The position of Finance Assistant would be required to provide eight months of maternity and sick leave coverage at the General Service (Other level) within Treasury.

***Financial Information Operations Service***

393. The Financial Information Operations Service was established in 2007/08 and is responsible for providing operational support to all Divisions of the Office of Programme Planning, Budget and Accounts. The current staffing establishment of the Service comprises a Director (D-1), five Professional (2 P-5, 2 P-4, 1 P-3) and five General Service (1 GS (PL), 4 GS (OL)) posts funded from the regular budget as well as one Professional (P-3) and four General Service (1 GS (PL), 3 GS (OL)) posts funded from the support account for peacekeeping operations.

*Information Systems Officer (1 position (P-4), continuation)*

394. It is proposed that the Information Systems Officer (P-4) position be continued to provide systems support for the Peacekeeping Finance Division for all budget, troop cost and fund monitoring-related systems serving the Division. The incumbent would provide guidance for the development of strategies and visions to integrate the peacekeeping budget submission requirements and the auxiliary systems supporting the Peacekeeping Financing Division into Umoja, including the articulation of the particular business requirements related to peacekeeping and coordination with the Umoja team to ensure integration and support within the Umoja technology.

*Information Systems Officer (1 position (P-3), resubmission)*

395. It is proposed that an Information Systems Officer position be established at the P-3 level to support and maintain all specialized systems used by Treasury, including OPICS, SWIFT and Chase Insight, to ensure that payments and investments are made and properly accounted for. The incumbent would be responsible for systems improvements and electronic services that increase the efficiency of Treasury operations for peacekeeping-related operations.

396. Treasury uses many specialized systems for an increasing volume of transactions in a highly complex and fast-evolving environment, requiring a dedicated Information Systems Officer who would provide advice to the Treasurer on systems improvements and the feasibility of using new electronic services, and would implement the required solutions.



*Information Systems Officer (1 position (P-2), continuation)*

397. It is proposed that the Information Systems Officer (P-2) position be continued to work closely with the Investment Accounting Unit and with Treasury to deliver settlements for investments and payments for peacekeeping operations. The incumbent would handle processing of 5,000 investment settlements for peacekeeping operations in accordance with the Financial Rules and Regulations.

398. In addition, the incumbent would continue to provide support of ICOS (IMIS-CMS-OPICS-SWIFT interface) for standardization of IT payment systems for the United Nations globally and improve controls. The Information Systems Officer would also be responsible for the implementation and support of bank reconciliation for peacekeeping accounts.

*Information Systems Assistant (1 position (GS (OL)), continuation)*

399. It is proposed that the Information Systems Assistant (GS (OL)) position be continued to provide assistance to the IMIS finance data team in OPPBA and OICT to support and maintain the financial data integrity in order to provide accurate reports and financial statement preparation for peacekeeping accounts. The incumbent would also provide assistance in IMIS finance data cleansing and in further improving the existing diagnostic system to enhance the quality of data and reports, and facilitate a timely transition to ERP.

**Peacekeeping Financing Division***Finance and Budget Officer (2 positions (P-3), continuation)*

400. The continuation of two general temporary assistance positions at the P-3 level for Finance and Budget Officers is proposed for the ongoing support for UNMIT, as well as for MINURCAT. The responsibilities of the incumbents of both positions would include the analysis and preparation of performance reports and budget estimates, financial backstopping, monitoring of budget implementation, administration of related trust funds, provision of budgetary guidance to counterparts in DFS and the two missions, participation in the delivery of the funds monitoring tool training, and management of liabilities and reimbursements to troop- and formed police-contributing countries.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	\$1 332.0	\$143.7	12.1%

401. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person/Month</i>	<i>Amount</i>	<i>Output reference</i>
IPSAS implementation (Accounts Division)	—	1 121 000	Analysis and recommendations for operationalizing of new accounting policies in preparation for the adoption of IPSAS
IPSAS training (Accounts Division)	2	110 800	Analysis and recommendations for operationalizing of new accounting policies in preparation for the adoption of IPSAS
Treasury/investment systems (Financial Information Operations Service)	3	48 000	Maintenance, updating and operation of computerized budget and finance information systems; management of data structure and system control; local area network administrative functions  Maintenance of charts of accounts and other finance-related reference tables in IMIS; development and enhancement of ad hoc applications  Enhanced financial management reports
Budget system (Financial Information Operations Service)		37 200	Maintenance, updating and operation of computerized budget and finance information systems; management of data structure and system control; local area network administrative functions  Maintenance of charts of accounts and other finance-related reference tables in IMIS; development and enhancement of ad hoc applications  Enhanced financial management reports
Nova reporting platform (Financial Information Operations Service)	—	15 000	Maintenance, updating and operation of computerized budget and finance information systems; management of data structure and system control; local area network administrative functions  Maintenance of charts of accounts and other finance-related reference tables in IMIS; development and enhancement of ad hoc applications  Enhanced financial management reports
<b>Total</b>		<b>1 332 000</b>	

402. An amount of \$1,121,000 is proposed for IPSAS-related consultants to undertake the following exercises: (a) validation of IPSAS policies and procedures (\$465,000) (work in this area will include a review of the policy gap analysis; validation of IPSAS policies, guidance and procedures relating to peacekeeping operations and proposal of additional policies and guidance, including related changes in workflows. The policies, guidance and procedures would include policies on accounting for items of property, plant and equipment, inventories and intangible assets, accounting for in kind contributions by host Governments; after-service health insurance and unused annual leave for staff of peacekeeping operations;

materiality guidelines; reporting on budgetary information; and consolidations and aggregations for the preparation of peacekeeping financial statements. The deliverable in this area will be a comprehensive set of IPSAS-compliant policies and procedures); (b) documented IPSAS implementation strategy (\$548,700) (the associated tasks relate to assessing the Umoja roll-out strategy in the context of achieving full IPSAS-compliant accounting for peacekeeping operations by the beginning of the 2013/14 fiscal year and documenting a strategy, including a timeline with measurable milestones, for IPSAS-compliant reporting; developing a working methodology for the determination of opening balances, including the preparation of model financial statements and notes and the mapping of UNSAS-based financial statement lines to the IPSAS counterpart; articulating proposals on how UNSAS-compliant financial statements could be prepared during the transitional period of Umoja implementation when some offices are on IPSAS-compliant accounting while others are on UNSAS-compliant accounting; formulating recommendations for the use of IPSAS transitional provisions. This deliverable will incorporate proposed policies for IPSAS-compliant consolidation and aggregations); and (c) design and development of a strategy for conversion of fixed assets and inventories (\$107,300).

403. Pursuant to the revised timetable of Umoja, IPSAS-related consultancies for validation of IPSAS policies and a documented implementation strategy, for which provisions were made in the 2009/10 budget, will not be utilized owing to the need to synchronize IPSAS implementation and Umoja.

404. An amount of \$110,800 is proposed for requirements for contractors for deployment of IPSAS instructor-led training in Bangkok, Brindisi, Geneva and New York.

405. An amount of \$48,000 would cover the requirements for the OPICS application, which has to be upgraded to the latest release and migrated to a different technical platform.

406. The provision of \$37,200 would cover the requirements for a consultancy for Business Objects, as the existing software is unsupported and must be upgraded in order to receive vendor support.

407. An amount of \$15,000 would provide for consultancy to support the Nova framework and underlying software to maintain the platform. Nova is the platform supporting travel claims, contributions, financial statements and reports. System development is only available from the vendor.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$606.0	(\$31.0)	(4.9%)

408. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/consultation	54 000	Assistance to field finance operations through training and policy guidance on improved internal controls and rectification of audit findings
Budget preparation/review	113 000	Visits to 4 field operations to provide strategic advice and on-site assistance on budgetary and financial issues
Seminars/conferences/workshops	131 500	Policy guidance to 14 field operations, UNLB and 11 headquarters departments and offices on the formulation of budget proposals and performance reports, including on financial rules and regulations, policies and procedures, results-based budgeting and recommendations of legislative bodies, and establishment of related trust funds  Analysis and recommendations for operationalizing of new accounting policies in preparation for the adoption of IPSAS  Assistance to peacekeeping operations in the selection of banks to provide the required banking services
Technical support	69 700	Assistance to peacekeeping operations in the selection of banks to provide the required banking services
Training	237 800	Assistance to peacekeeping operations by providing advice on financial regulations and rules, accounting policies, procedures and practices, and insurance matters  Assistance to field finance operations through training and policy guidance on improved internal controls and rectification of audit findings  Analysis and recommendations for operationalizing of new accounting policies in preparation for the adoption of IPSAS  Training of 200 personnel in 5 field operations and at Headquarters on the funds monitoring tool  Maintenance, updating and operation of computerized budget and finance information systems, management of data structure and system control, local area network administrative functions  Maintenance of charts of accounts and other finance-related reference tables in IMIS, development and enhancement of ad hoc applications  Enhanced financial management reports
<b>Total</b>	<b>606 000</b>	

409. The amount of \$54,000 is proposed for the Accounts Division Policy Guidance and Training Officer and one senior peacekeeping accounts staff member to visit four peacekeeping missions for one week each.

410. An amount of \$113,000 is proposed for travel requirements for one senior staff and one Budget and Finance Officer of the Peacekeeping Financing Division to provide on-site advice and assistance to four peacekeeping missions on budget and financial issues.

411. The amount of \$131,500 would cover the following requirements: a conference at UNLB on budgetary aspects, including high-level issues, results-based-budgeting methodology and budget instructions, with a view to improving the budget formulation process in missions organized by the Peacekeeping Financing Division in collaboration with DFS (\$108,900); one staff member of the Accounts Division to participate in the annual meeting of the task force on accounting standards as well as the IPSAS Board meeting (\$14,900); and travel of three Treasury staff members to attend the annual banking conference (\$7,700).

412. The amount of \$69,000 would cover the travel requirements for the Treasurer and the Chief of the Global Banking Operations Section to visit five peacekeeping missions to provide technical support.

413. The provision of \$237,800 would cover the following training-related travel requirements: training in five peacekeeping missions on the funds monitoring tool by the Peacekeeping Financing Division (\$121,500); four-day workshop for the chief financial officers of peacekeeping missions, to be attended by staff members of the Accounts Division (\$40,000) as well as instructor-led IPSAS training sessions by the IPSAS team in Bangkok, Brindisi and Geneva (\$46,500); and travel for the Financial Information Operations Service to enhance IT skill sets within the service to ensure that financial systems are maintained in line with technological changes (\$29,800).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$828.5	\$108.2	15.0%

414. The provision of \$828,500 would cover the IT requirements for OPPBA as follows: software licences/fees for such OPPBA applications as Nova as well as support to Treasury applications SWIFT, OPICS, Bloomberg, FITCH, FXALL, Chase Insight and ICPS, and database acquisition and rental for SQL licences providing support (\$563,400); support for data-processing services (\$179,500); acquisition of replacement specialized IT equipment (servers) and provision of IT services (\$85,600).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$527.0	\$268.0	103.5%

415. The amount of \$527,000 would provide for payment of annual bank fees by Treasury (\$260,000), a follow-on study to develop a conceptual staffing model for the support account (\$207,000), training fees related to the Financial Information Operations Service (\$38,000), IPSAS-related training material (\$12,000) as well as training material for Treasury (\$10,000). The variance is attributable to the increase in bank fee charges as well as the one-time requirement for the follow-on study on the support account.

### **3. Office of Human Resources Management**

#### **(a) Results-based-budgeting framework**

416. The organization and functions of the Office of Human Resources Management are contained in Secretary-General's bulletins ST/SGB/1997/5 and ST/SGB/2002/11.

417. The Office of Human Resources Management will, during the budget period, contribute to a number of expected accomplishments, established by the General Assembly, by delivering related key outputs, shown in the frameworks below.

418. The indicators of achievement show a measurement of progress towards such accomplishments during the budget period.

419. The priorities of the Office of Human Resources Management during the budget year focus on the implementation of the Secretary-General's vision for human resources management, "serving as one", and will continue implementing the ambitious United Nations human resources reform agenda in peace operations (see resolution 63/250), including the launch of the talent management system, a new IT construct for staffing which integrates the policies and processes that underpin the management of talent in the Organization. The core modules relating to strategic workforce planning, recruitment, learning management and performance management will be consolidated in the new IT/talent management system launched during the 2009/10 financial period, supporting more strategic analysis and streamlined processes. To this end, the Office of Human Resources Management will release supporting modules in the areas of recruitment, learning management, performance management and workforce planning as well as a United Nations virtual academy learning repository, a data warehouse and reporting, which will enable the Office to make full use of the systems functionalities. User support will continue to be provided through the Centre of Excellence in Bangkok.

420. In addition, the Office of Human Resources Management will focus on institutionalizing a United Nations Secretariat model on strategic workforce planning to enable peace operations to produce staffing supply and trend reports, workforce demand projections and staffing gap analysis, and on providing oversight to peace operations on human resources management action planning, target setting and performance monitoring, and establishing an accountability framework. Emphasis will be placed on implementing an improved monitoring framework through self-monitoring and on-site support visits. The Office will implement outreach and sourcing strategies through strengthened partnerships with Member States, departments, external organizations and other United Nations entities, and identify high-quality candidates. Inspira will support strategic workforce planning by providing increased capacity for data analysis and reporting.

421. The Office of Human Resources Management will also ensure the deployment of the learning management system in peace operations and DPKO/DFS at Headquarters, which will provide a centralized and standardized platform for the management of learners, courses, instructors and venues, and both live and virtual learning events in all locations of the global Secretariat. With the implementation of an enhanced e-performance system in April 2010, the Office will coordinate and facilitate the mandatory training of all managers and users (30,000 plus staff members) within peace operations and DPKO/DFS at Headquarters.

422. The Office of Human Resources Management also proposes to capitalize on the pilot (2009) voluntary initiative for network exchange (VINE) with further expansion and development, specifically extending the exercise to staff serving in field operations, and extend the Career Centre model and services offered at Headquarters to all peace operations through training and advocacy.

423. The Office of Human Resources Management will continue strengthening peacekeeping human resources systems, including recruitment, performance appraisal, career development and training, providing support and guidance for peacekeeping staff development programmes and for the career development of peacekeeping staff.

424. The Office of Human Resources Management is also focused on clearing the significant backlog of disciplinary cases and appeals, and on representing the Administration in hearings before the United Nations Dispute Tribunal in the new administration of justice system. In addition, the Office is actively engaging in the formulation of proposals to improve the Organization's capacity to manage and promote health care for staff, in particular for those in hardship duty stations.

---

*Expected accomplishments*

*Indicators of achievement*

1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping

1.1 Access provided to all Member States to standard online reports on human resources data (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: yes)

1.2 Customized human resources data on the Secretariat and peace operations, available within 3 business days upon request (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 3 days)

---

*Outputs*

**Strategic Planning and Staffing Division**

- Development of format and process for standard online reports as well as customized reports providing human resources data, including peace operations, for Member States
- Annual report on the composition of the Secretariat, including data on consultants and individual contractors, and on employment of retirees, which incorporates information on peace operations

---

*Expected accomplishments*

*Indicators of achievement*

3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Compliance of all peace operations with specified standards in exercising delegated human resources management through the implementation of a monitoring framework

3.2 Response to all (100 per cent) mission medical evacuation requests and urgent deployment requests for medical clearance on the same day (2008/09: 100 per cent; 2009/10: 80 per cent; 2010/11: 100 per cent)

3.3 Response to all (100 per cent) requests for pre-mission health assessment (2008/09: 100 per cent; 2009/10: 80 per cent; 2010/11: 100 per cent)

3.4 Implementation of the new learning policy of 5 training days per staff per year for 20 per cent of staff in peace operations (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 5 days)

3.5 100 per cent field mission staff usage of the enhanced e-performance system in the 2010/11 cycle (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 100 per cent)

3.6 Proactive and appropriate response to incidents of staff misconduct and appeals of administrative decision by staff in the field

3.7 Positive feedback from peacekeeping field missions on the services provided by the Human Resources Policy Service

3.8 Provision of timely legal and policy advice to senior field personnel (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 750)

3.9 Development of generic job profiles in key functional areas for use in field missions (2008/09: not applicable; 2009/10: not applicable; 2010/11: 200)

---

*Outputs*

**Strategic Planning and Staffing Division**

- Provision of guidance, including training and oversight from an Organization-wide perspective to peace operations on the implementation of a new monitoring framework through advice and support in 3 on-site support missions, 1 workshop for chiefs of Civilian Personnel Officers, and through the development of a monitoring framework document
- Provision of guidance, including training, and oversight to enable peace operations to produce staffing supply and trend reports, workforce demand projections and staffing gap analysis
- Provision of guidance and oversight to peace operations on human resources management action planning, target setting and performance monitoring through advice and support in 3 on-site support missions and support for the development of revised human resources management action plans for the field by DFS
- Provision of policy guidance and training to peace operations on the implementation of the new talent management system
- Clearance and certification of approximately 70 Chief Administrative Officers and Chief Civilian Personnel Officers for missions, Chiefs of Personnel, and all Professional officers with responsibilities for personnel administration and for performing human resources functions for both DFS and peace operations



- In coordination with DFS, implementation of outreach and sourcing strategies, including cooperative arrangements with providers of external candidates and networks, such as governmental entities, academic institutions, women's associations, NGOs and United Nations entities
- Issuance of 450 vacancy announcements and receipt and processing of applications for vacancies for military officers and United Nations police
- Pool of 120 qualified candidates available to be recruited for positions at the P-2 level in peace operations

### **Medical Services Division**

- Provision of guidance and support regarding health standards, policies and guidelines for all peacekeeping missions to protect all peacekeeping personnel against potential environmental and biological health hazards, including pandemic human influenza, and to ensure readiness to respond to such events
- Professional oversight for 17 Chief Medical Officers and provision of medical technical oversight to the entire mission medical support system to maintain consistency and an acceptable level of delivery of health services
- Evaluation, monitoring and provision of advice and technical support to 77 United Nations civilian medical facilities in peace operations
- Review for technical clearance of 300 curricula vitae of candidates for medical positions in peace operations
- Organization of 1 regional meeting of Chief Medical Officers for coordination and update of medical and medical-administrative policies
- 4 on-site assessments of mission medical facilities
- Evaluation of a regional medical evacuation centre linked to peace operations (Pretoria and Johannesburg, South Africa)
- Medical examination of 250 candidates for mission deployment or travel
- 2,000 pre-mission briefings and consultations on health-related issues
- 300 pre- and post-mission psychological assessments and consultations, as well as mental health management
- Immunizations of 1,500 Headquarters staff travelling to peace operations
- Issuance of 1,000 medical kits for mission travel and deployment, and briefing of travellers on the usage and contents of the kits
- Medical treatment of and consultations with 2,000 staff of DPKO, DFS and visiting mission staff
- Review and analysis of 9,000 incoming medical examinations of mission staff/candidates, military observers and civilian police to determine fitness for recruitment/assignment/travel
- Certification of sick leave for 1,000 staff of missions, DPKO and DFS
- Provision of advice to the United Nations Joint Staff Pension Fund on 20 disability pension cases for staff of missions and DPKO

- Provision of advice to DPKO and missions on 700 requests of medical evacuations/repatriations of civilian staff, military observers, civilian police and troops
- Provision of advice on 400 medical compensation claims for civilian staff, military observers, civilian police and troops
- 1 training session to assist managers in providing support for staff leaving for and returning from peace operations
- Training and psychosocial support in 4 missions through the mission readiness/wellness programme
- Coordination of a training meeting for 20 focal points of the mission readiness/wellness programme on increasing resilience of staff going to and in field missions
- 2 mission readiness training sessions for the Headquarters staff planning to work in peace operations and 2 mission readiness/wellness workshops for the family members (spouses and children) of Headquarters staff members who are preparing for or are on mission
- Transfer to digital storage and electronic processing of the medical evacuations and repatriations of military observers and civilian police officers and contingents
- Provision of support for the ongoing implementation of electronic medical records and occupational health management system (EarthMed) in 5 peace operations and implementation of EarthMed in 2 peace operations (UNLB, UNMIT)

#### **Learning, Development and Human Resources Services Division**

- Field mission access to a United Nations catalogue of training courses through the virtual academy repository and the learning management system
- Roll-out of the OHRM impact assessment of training programmes in 5 field missions
- Establishment of a tracking and monitoring system of the administration of training programmes
- Administration and outreach events linked with the extension of the voluntary initiative for network exchange (VINE) to enhance mobility of staff between Headquarters locations, offices away from Headquarters and field missions
- Provision of advice and standard operating procedures for the replication of the model of OHRM Career Support Centres in 3 large peace operations
- Training events for all end-users (globally) on the enhanced e-performance system
- Provision of 2,750 consultations and guidance on various human resources-related issues to the Field Personnel Division/DFS in relation to field missions and their staff members
- Provision of administrative support for approximately 1,800 requests to staff of DPKO and DFS, including entitlements and benefits (rental subsidy, dependency benefits, education grant), separation and movement of staff (transfer, secondment and loan)

#### **Human Resources Policy Service**

- Provision of written and oral legal advice on 300 occasions to senior mission staff on administration of justice matters

- Provision of legal advice to mission-based personnel about the handling of 300 allegations of misconduct in accordance with the relevant administrative issuances, including the Secretary-General's bulletin on the prohibition of discrimination, harassment, including sexual harassment, and abuse of authority (ST/SGB/2008/5), including the conduct of investigations, application of disciplinary measures and representation of the Administration before the United Nations Dispute Tribunal
- Management of, and written and oral representation of the Administration on appeals in respect of approximately 50 field-related cases per year before the United Nations Dispute Tribunal
- Development of technology and communications tools to enable more efficient case management with peace operations of appeals/disciplinary cases
- Management of a yearly average of 560 disciplinary cases and cases of sexual exploitation and abuse concerning field mission staff referred to the Office of Human Resources Management. This includes the review and analysis of material referred, charging the staff members, recommending the sanction to be imposed and representing the Administration before the United Nations Dispute Tribunal on appeals against imposed disciplinary measures
- Review and reissuance, if necessary, of 250 administrative instructions related to the introduction of the new system of administration of justice, the new staff rules and regulations, the harmonization of conditions of service and the latest developments in field missions, taking into account the implementation of the new talent management system
- Update and adjustment of policies and entitlements for all civilian personnel in all field missions
- Review and development of 200 generic job profiles for use in field missions
- Development and implementation of phase I of a new electronic human resources handbook and the e-policy project
- Training of field personnel in the application of job classification standards and procedures
- Conduct of comprehensive salary surveys for 8 peace operations and issuance of 16 salary scales for local staff in field missions
- Conduct of interim salary surveys for other peace operations and issuance of 18 salary scales for local staff in field missions

#### **Human Resources Information Systems Section**

- Provision of application development, maintenance and production support for Inspira, the talent management system, for use in all field missions (Centre of Excellence, Bangkok)
- Provision of round-the-clock Inspira user support for up to 40,000 users, including field missions (Centre of Excellence, Bangkok)
- Annual conference to provide training for technical coordinators on Inspira enhancements for the benefit of all field missions (Centre of Excellence, Bangkok)
- Roll-out of 3 Inspira modules for field missions: recruitment (to include recruitment of non-United Nations local field mission employees, military officers and United Nations police); performance management (to include a 360-degree review and short-term contracts); and learning management (to include conversion of United Nations training course data from various sources to an online course catalogue)

- Roll-out of the data warehouse and reporting system to provide human resources practitioners and programme managers in field missions with self-service tools to access the data repository and to obtain, analyse and report on human resources information
- Customization and roll-out of the Inspira workforce planning module to field missions
- Customization and roll-out of 6 online learning courses and other web-based training materials, as part of the United Nations virtual academy repository, for field missions
- Customization of the system to manage disciplinary case files pertaining to field mission personnel
- Availability of human resources data pertaining to IMIS personnel actions to all field missions
- Help desk support and training associated with an average of 132 IMIS human resources queries per week from field missions

*External factors*

National institutions will be supportive of efforts to improve the local health environment and facilities at mission locations. There is no escalation of hostilities in countries where mission staff are deployed and no resurgence of epidemics or emergence of new health hazards. Availability of courses through the virtual academy; optimum performance of the learning management and performance management systems will depend on the availability of reliable Internet connections. Vendors will meet their obligations under the talent management system and other information systems contracts.

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassifications</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	—	—	—	—	—	—
P-5	2	—	—	—	2	—
P-4	14	—	—	1	15	1
P-3	8	—	—	3	11	3
P-2/P-1	1	—	—	2	3	2
<b>Subtotal</b>	<b>25</b>	<b>—</b>	<b>—</b>	<b>6</b>	<b>31</b>	<b>6</b>
<b>General Service and other</b>						
Principal level	1	—	—	—	1	—
Other level	19	—	1	—	20	1
<b>Subtotal</b>	<b>20</b>	<b>—</b>	<b>1</b>	<b>—</b>	<b>21</b>	<b>1</b>
<b>Total</b>	<b>45</b>	<b>—</b>	<b>1</b>	<b>6</b>	<b>52</b>	<b>7</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	4 106.1	4 936.7	6 993.8	2 057.1	41.7
II. Non-post resources					
General temporary assistance	893.0	1 655.5	2 798.8	1 143.3	69.1
Consultants	423.3	367.5	169.0	(198.5)	(54.0)
Official travel	306.4	711.5	759.5	48.0	6.7
Information technology	—	1 080.0	1 537.3	457.3	42.3
Medical	523.5	200.0	200.0	—	—
Other supplies, services and equipment	—	144.5	89.1	(55.4)	(38.3)
<b>Subtotal II</b>	<b>2 146.2</b>	<b>4 159.0</b>	<b>5 553.7</b>	<b>1 394.7</b>	<b>33.5</b>
<b>Total</b>	<b>6 252.3</b>	<b>9 095.7</b>	<b>12 547.5</b>	<b>3 451.8</b>	<b>37.9</b>

**(d) Justification of posts****Human Resources Policy Service, Administrative Law Section**

*Legal Officer, Disciplinary Unit (2 P-3, resubmission; 1 P-2, resubmission; 1 P-2, new)*

*Legal Officer, Appeals Unit, Nairobi (1 P-4, new; 1 P-3, new)*

425. The Human Resources Policy Service is composed of three sections: the Administrative Law Section; the Compensation and Classification Section; and the Policy and Conditions of Service Section. The work of the Administrative Law Section, which, effective 1 January 2010, has been split into the Appeals Unit and the Disciplinary Unit, includes the management of appeals, including representing the Administration before the United Nations Dispute Tribunal, and handling of disciplinary cases regarding civilian mission personnel, including the provision of legal advice and the formulation of recommendations in disciplinary cases (not yet delegated to missions) through all steps of the disciplinary process. The Section is responsible for analysing and presenting the Administration's position, both in writing and orally, on mission-related appeals and disciplinary matters. It also provides advice on matters related to the administration of justice for all peacekeeping missions, including sensitizing them to the changes in the new internal system of justice.

426. Since the introduction of the new system of justice, the workload of the Administrative Law Section has increased significantly. Whereas, under the prior system, appeal proceedings were largely based on written submissions and did not include the examination of witnesses, the new system requires the appearance of Legal Officers at numerous hearings before the judges, which involves many hours of preparation prior to each hearing, including the time taken to prepare witnesses. In addition, whereas, in the past, the written submissions were normally limited to a

respondent's reply and observations, under the new system, the judges order numerous additional submissions on various points of laws and policy. Moreover, the new system requires not only paper-based submissions, but also complex oral hearings on procedural matters and trial litigation before professional judges and against professional legal counsel, with strict regulatory time limits that must be adhered to.

427. With the introduction of the new justice system, the number of working days needed to process an appeal has increased on average to 15 and the average number of working days needed to process a disciplinary case has increased to 20. From 1 January 2007 to 31 October 2009, the workload of the Appeals Unit, measured in terms of number of appeals, has doubled (from 76 to 200 cases) and the workload of the Disciplinary Unit has tripled (from 230 to 600 cases). In the light of the number, size and complexity of current peacekeeping operations as well as the new operations that have emerged and continue to grow, and the need for potential exit strategies for missions that are downsizing and/or ceasing operations, the number of disciplinary and appeals cases will continue to grow. In addition, the Section provides advice on a number of ad hoc matters which require, on average, one working day. Accordingly, given a three-year average number of outputs of 816 (comprising advice, appeals and disciplinary cases) which require 5,609 working days to produce those outputs effectively, the Section requires additional Professional staff. The current staffing establishment comprises eight Professional staff members (2 P-5, 1 P-4 funded from the regular budget and 2 P-4, 2 P-3, 1 P-2 funded from the support account). Moreover, two Professional staff members at the P-2 level are funded from the support account as general temporary assistance.

428. The additional workload resulting from the introduction of the new system of justice has already manifested itself. In addition, there will be a need to address the workload of the cases being referred to the new system of justice from the United Nations Administrative Tribunal, with effect from 1 January 2009. It is therefore proposed to establish two posts of Legal Officer at the P-3 level (resubmission) and two posts of Associate Legal Officer at the P-2 level (resubmission) in the Disciplinary Unit. It is proposed that the Legal Officers would review investigation reports and prepare the charges, review the comments of the staff members and prepare the recommendations for the imposition of disciplinary measures, while the Associate Legal Officers would review less complex investigation reports. It is anticipated that there will be 146 months of workload (excluding the workload resulting from the referral of cases from the United Nations Administrative Tribunal) for the Disciplinary Unit. Each of the four new Officers would undertake one eleventh of this workload. In addition, the Legal Officers would appear before the United Nations Dispute Tribunal in preliminary hearings on matters relating to disciplinary cases, while the Associate Legal Officers would undertake research, as needed, on points of law relating to disciplinary cases and assist in the preparation of the oral hearings.

429. The United Nations Dispute Tribunal in Nairobi handles the appeals of field staff stationed in Africa. Experience with the new system has shown that the Administrative Law Section functions at a disadvantage when representing the Administration before the Tribunal. The parties to the dispute are located in Africa, while the Appeals Unit's Legal Officer is in New York. The time difference and telephone communication problems pose limitations on the quality of communications and consultations with witnesses, as well as with opposing counsel

from the Office of Legal Staff Assistance who is stationed in Nairobi. Hearings are held through telephone conferences or videoconferences, which are not always reliable and/or are of poor quality, which prevents the Legal Officer from properly assessing the impact of submissions on the Tribunal during the hearing. It is proposed that two new posts of Legal Officers (1 P-4, 1 P-3) stationed in the Nairobi office be established. It is anticipated that there will be 58 months of workload for the Appeals Unit (based on the fact that the Appeals Unit undertakes the bulk of the forecasted advice work). The new Legal Officers would undertake two fifths of this workload. The Legal Officer at the P-4 level would most regularly appear before the Tribunal to represent the Administration in oral hearings, while the Legal Officer at the P-3 level would prepare written submissions in connection with appeals and would assist the staff members at the P-4 and P-5 levels in preparation for oral hearings before the Tribunal to represent the Administration. In addition, the incumbent at the P-4 level would provide mentoring and coaching to the more junior staff members in relation to their written work and oral presentations, while the incumbent at the P-3 level would appear before the Tribunal in preliminary hearings on matters relating to appeals cases.

### **Human Resources Information Systems Section**

*IMIS Help Desk Assistant (1 GS (OL), general temporary assistance conversion)*

430. The current staffing in the Human Resources Information Systems Section comprises 18 posts funded from the regular budget (7 Professional, 11 General Service) as well as 3 posts (2 Professional, 1 General Service) and 15 general temporary assistance positions funded from the support account for peacekeeping operations. It is proposed that the approved IMIS Help Desk Assistant (GS (OL)) position be converted to a post. The section requires longer-term sustained support for IMIS because of the timelines with respect to ERP implementation.

431. The IMIS help desk provides support to users in peacekeeping missions. The main responsibilities and deliverables of the Help Desk Assistant include: identification and analysis of technical problems within IMIS human resources functionalities; provision of guidance and solutions to all users with regard to IMIS in the field of human resources management; coordination of data processing when actions involve users of more than one department; liaison with local IMIS coordinators in the field on the analysis of data for processing transfers of staff post data; liaison with the IMIS technical staff on various aspects of system maintenance, including the review of functional and/or technical requirements documentation; provision of support for the utilization of the Section's tracking system to record user requests and to assist in building a knowledge-based library of the most common issues that may lead to the design of user training sessions; provision of assistance in organizing and delivering training in all areas of the IMIS human resources management application for staff in all categories, both at Headquarters and in the field, including the development and revision of training programmes.

432. Owing to the high turnover of the support staff in the field, there has been a significant increase in the number of IMIS issues caused by human errors, requiring extensive corrections in the IMIS system and causing substantial delays in the processing of staff members' records and payroll. The Help Desk Assistant would respond to IMIS requests relating to IMIS script changes, index number requests, IMIS adjustments/corrections and other IMIS requests. Currently, over 25 per cent

of the IMIS support is related to field movements of staff. IMIS has different databases in each duty station; therefore, the Human Resources Information Systems Section needs to move data from one IMIS database to another. In addition, the workload with regard to IMIS support requests from the movement of staff arising from more mobility in the field will increase the workload in the Section.

(e) **Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$6 993.8	\$2 057.1	41.7%

433. The provision of \$6,993,800 would cover salaries, common staff costs and staff assessment for the continuing posts, six new proposed posts and one general temporary assistance conversion. The variance is attributable to increased standard costs, the continuation of additional posts approved for 2009/10 in respect of which delayed recruitment factors of 65 per cent (Professional category) and 50 per cent (General Service category) were applied and the proposed establishment of seven new Professional and General Service category posts. The computation of requirements for all continuing posts reflects the application of budgeted vacancy rates of 12 per cent and 7 per cent for Professional and General Service category posts, respectively, and 65 per cent and 50 per cent for the proposed new Professional and General Service category posts, respectively.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$2 798.8	\$1 143.3	69.1%

434. The proposed requirements in the amount of \$2,798,800 would cover the continuation of 19 general temporary assistance positions and the establishment of 2 new general temporary assistance positions, as follows, as well as the requirement to continue 1 general temporary assistance position at the P-4 level for six months in the Strategic Planning and Staffing Division: Human Resource Policy Service: Administrative Law Section (1 P-2 position (continuation), 1 P-3 position (continuation)); Medical Services Division (1 P-4 position (new), 1 GS (OL) position (new)); Learning Development and Human Resources Division (2 P-3 positions (continuation), 1 GS (OL) position (continuation)); Human Resources Information Support Section (2 P-4 positions (continuation), 2 P-3 positions (continuation), 1 P-2 position (continuation), 1 GS (PL) position (continuation), 8 GS (OL) positions (continuation)).

**Human Resources Policy Service, Administrative Law Section**

*Legal Officers (1 position (P-3), continuation; 1 position (P-2), continuation)*

435. It is proposed that the two Legal Officer positions in the Administrative Law Section be continued to address the backlog of substantive cases originating from field missions. The incumbents would represent the Secretariat on appeals and disciplinary matters, and provide both formal and informal advice on the application of human resources rules and policies to mission staff in the context of appeals and disciplinary cases.



## **Medical Services Division**

### *Project Manager (1 position (P-4), new)*

436. Since 2003, the Medical Services Division has been in the process of implementing an occupational health management and electronic medical records system (EarthMed) to establish a global, comprehensive and centralized database to contain medical records for all staff members, with special emphasis on the United Nations field staff. The system has been adjusted to support the mission staff and integrate into peacekeeping missions. For the 2010/11 period, it is planned to implement EarthMed in two peacekeeping missions and assess five additional missions for future implementation. It is therefore proposed to establish a Project Manager position at the P-4 level to implement EarthMed in the field missions.

437. The incumbent would work with the peacekeeping missions and Headquarters to identify, design and prioritize new functions and/or enhancements to the system to support evolving needs; to determine whether such enhancements or functions will need to be channelled through the United Nations team or the vendor; to manage the contract with the vendor to ensure proper licensing and timely incorporation of new functions into the system, as determined by United Nations needs; to supervise the business analysts, developers and technical support staff associated with the project; and to establish standards of service and procedures. Currently, there is a Systems Analyst post at the P-3 level, funded from the regular budget, to provide technical support to Headquarters and in part to regional commissions.

### *EarthMed Assistant (1 GS (OL) position, new)*

438. It is proposed that a new EarthMed Assistant position be established in the General Service (Other level) category to provide technical support to the implementation of EarthMed in field missions and to provide dedicated technical and functional support with extended hours of service.

439. The incumbent would monitor system availability and interface operation; take action or liaise with relevant IT groups for problem resolution to ensure continuous operation; provide user support relating to the operation and functionality of the system; and identify repetitive technical issues and needs for system adjustments. For reasons of confidentiality, such activities should remain under the domain of the Medical Services Division, therefore functional and administrative support cannot be provided by other offices. Based on the current pilot in UNMIT, it is anticipated that as many as 6,000 to 10,000 individual records would be entered in EarthMed on a monthly basis.

## **Human Resources Information Systems Section**

440. The core function of the Human Resources Information Systems Section is to develop and improve information systems to support the implementation of United Nations human resources reforms in the Organization, including in peacekeeping missions. Core activities include project management and production support for human resources information systems, including Inspira, the talent management information system. The Section will provide project management product support, reporting and technological infrastructure support for system enhancements in the areas of recruitment, learning management and performance management. It will

provide Inspira application development, maintenance, production and user support through the Centre of Excellence in Bangkok. Enhancement of the data warehouse will include the creation and roll-out of online “dashboards” to provide human resource practitioners and programme managers in peacekeeping missions with self-service tools, which will enable self-monitoring of targets and performance on human resources action plans and enable monitoring and oversight by Member States. The Section will continue to support the implementation of enterprise resource planning systems that conform to the directives of the Office of Information and Communications Technology. It will also support and facilitate the ERP/Umoja implementation in the field and integration with the Inspira system for the field staff data elements.

*Data Warehouse Project Manager (1 position (P-4), continuation, New York)*

441. Since 2006, the database for the Secretariat has been expanded to over 40,000 records to reflect the philosophy of an integrated United Nations workforce, which is an underlying principle for human resources reform, with more than 60 per cent of the increase attributed to incorporation of peacekeeping personnel records. The workforce that will be captured in the system is projected to exceed 150,000 records, including consultants, individual contractors, volunteers, military, police and interns. In addition to operational reports, demands for executive reports, ad hoc reporting capabilities, charts, graphs, dashboards and scorecards have increased at a rapid rate. In order to fulfil such needs, the Office of Human Resources Management, with the participation of DFS and DPKO, has started the development of a single fully integrated and automated data warehouse that should provide all the users with a single authoritative data source for analytical, transactional and strategic reporting capabilities. The data warehouse will effectively provide a consolidated view of all personnel throughout the Organization. It will also provide consistent quality data, enabling analysts and management to proactively identify problems and opportunities. Accordingly, it is proposed that the position of the Data Warehouse Project Manager at the P-4 level be continued.

442. The Data Warehouse Project Manager would be responsible for implementing the data warehouse project overall; leading analysis and documentation of the Organization’s business needs in reporting; overseeing data warehouse design; providing assistance in designing data dimensions; ensuring tight and seamless integration with such legacy systems of record as IMIS, PMStars, Nucleus and Galaxy for data extraction to and from the data warehouse; designing integration with the new Inspira system for data exchange and report generation; ensuring data quality and integrity in the data warehouse; overseeing the building of the self-service reporting portal; designing and ensuring implementation of data security rules and models; and ensuring that all aspects of the data warehouse are implemented in line with industry best practices and Secretariat standards.

**Inspira Centre of Excellence (Bangkok)**

443. The Inspira Centre of Excellence is responsible for development support and maintenance of the Inspira application and the career portal, as well as for providing round-the-clock support to peacekeeping missions. Moreover, it is responsible for all enhancements, upgrades, support and maintenance for the PeopleSoft enterprise platform for human resources. Each year the functionality and technology needs to be updated and enhanced to ensure optimized support so as to enable the

Organization to meet its human resources mandates. The team of PeopleSoft consultants in New York is expected to be phased out after the initial implementation of Inspira in the first half of 2010. The scope and activities within the Centre will increase significantly after the first phase of implementation, as all technical functions will be performed from the Centre and not from New York.

444. The Centre of Excellence will help to optimize the use and functions of all United Nations PeopleSoft talent management programme modules, as well as performance management and learning management components, to ensure the overall success of the programme. While the initial roll-out of the recruiting, learning management and performance management modules will occur in 2010, they will also require extensive support and enhancement. It is proposed that such functions be performed from the Centre of Excellence.

445. Given the anticipated lifespan of 7 to 10 years of an application such as Inspira and the financial investment made for the software and implementation, it is important that the Centre of Excellence be sufficiently staffed to maintain the system and respond quickly to the user communities, including peacekeeping mission personnel and applicants for peacekeeping posts. It is estimated that the number of end-users in 2010/11 will include more than 50,000 internal United Nations personnel, over 1.7 million external candidates and millions of visitors to the website. An estimated 80 per cent of the recruitment activities are associated with peacekeeping missions.

*Chief, Inspira Centre of Excellence (1 position (P-4), continuation)*

446. The creation of the Inspira Centre of Excellence is in alignment with the Secretariat information and communications technology strategy, according to which the implementation of a new structure that includes programme-based centres of excellence and a global service delivery model will strengthen organizational ownership of ICT while simultaneously improving ICT effectiveness and efficiency. The Chief of the Inspira Centre of Excellence (P-4) will continue to oversee the provision of the following key services: maintain and troubleshoot the Inspira application residing in production, test, development and demonstration environments, batch processing and server maintenance; resolve first-level ("how to") service calls by the users using help desk support; resolve second-level technical service calls escalated by the help desk; author and maintain Inspira operating-level agreements with external parties, including contractors responsible for third-level technical support; escalate third-level technical calls to external parties, as defined by existing operating-level agreements; carry out all necessary upgrades to the environments following standard change management, configuration management and release management processes in accordance with documented procedures; execute periodic tests of the disaster recovery processes; monitor and report on systems usage and available capacity; measure and report on production system availability; perform daily operations, system monitoring, jobs monitoring and system administration activities; perform security administration activities for all users and groups; and undertake periodic and spot security audits of the application to ensure compliance with the Organization's security standards.

*Development and Production Support Analyst (1 position (P-3), continuation)*

447. The Development and Production Support Analyst (P-3) will maintain and troubleshoot the PeopleSoft application in the production environment, escalating the third-level technical calls to the external parties, as defined by the service-level agreement, monitoring and reporting on systems usage and capacity, measuring and reporting on system availability, performing systems and security administration, and resolving tier-2 problems and known errors.

*Career Portal Analyst (1 position (P-3), continuation)*

448. The Career Portal Analyst (P-3) will be responsible for managing the development of new portals and migration of business critical systems to the Microsoft Dynamics suite of applications in collaboration with a team of developers, business analysts and quality assurance staff. The human resources applications to be migrated include e-Internship, e-Factsheet, General Service recruitment and roster management, Policy Exception in the human resources sections, All Person database, NCE Recruiting and Examination and Corlog.

*Associate Application Support Officer (1 position (P-2), continuation)*

449. The Associate Application Support Officer (P-2) will be responsible for the provision of the following: application support for Inspira, reporting and learning management system (defect resolution, root cause analysis) application configuration; performance management support; technical system administration; application upgrades and patching; running process and scheduling reports; user management; system maintenance and monitoring; change management and workflow development.

*Database Administrator (1 position (GS (OL)), continuation)*

450. The Database Administrator will be responsible for ensuring availability, backup and recovery of data, resolving database issues, creating tables and indexes, maintaining the database users, applying patches, ensuring database security and troubleshooting database performance issues.

*Administrative Assistant (1 position (GS (OL)), continuation)*

451. The incumbent will be responsible for supporting the Chief of the Inspira Centre of Excellence in the administrative duties and the Centre functions to provide support in the area of human resources matters, budget and finance, responses to governing body inquiries, building facilities issues, ICT services and other administrative duties, ensuring consistency in the application of United Nations rules and procedures.

*Help Desk for Talent Management: Customer Support Representatives (1 position (GS (PL)), continuation; 6 positions (GS (OL)), continuation)*

452. It is proposed that a position of Customer Support Representative (GS (PL)) supervisor be established, the incumbent of which would be responsible for managing tier-1 customer support (help desk) staff, comprising six General Service (Other level) help desk personnel from the off-site location (ESCAP, Bangkok). The help desk staff will be responsible for the following tasks: provide tier-1 ("how to")

support; facilitate provision of predefined responses by OHRM to first-level substantive service calls to the help desk and manage the quarterly reviews and updates of such responses; escalate service calls to the second level of support; prepare response templates; prepare operational reports and ongoing training and knowledge transfer. It is anticipated that the learning management module will be rolled out in October 2010 and will require extensive support, as well. The help desk supervisor will manage Information Technology Infrastructure Library-based processes for the Centre. The help desk operations will run in multiple shifts.

**Learning, Development and Human Resources Services Division, Career Support and Performance Management Section**

*Human Resources Officer (1 position (P-3), continuation)*

453. The Learning, Development and Human Resources Services Division is responsible for human resources services and career development and learning. The launch of the Organization's enhanced electronic performance management system is scheduled for April 2010. In accordance with the recommendations of the recently concluded Staff-Management Coordination Committee discussions and subsequent approvals granted by the Secretary-General, all staff members with supervisory responsibilities will be required to undergo mandatory training in performance management. The Career Support and Performance Management Section comprises 10 posts (1 P-5, 2 P-4, 1 P-3, 6 GS (OL)) funded from the regular budget, with no dedicated staffing resources funded from the support account for peacekeeping operations. It is therefore proposed to continue the Human Resources Officer position at the P-3 level, in order to provide dedicated performance management implementation and coordinate support and training for field staff serving in peacekeeping operations.

454. The incumbent will serve as a focal point for field missions on performance management training. In addition, he or she will plan the coordination and serve as the principal trainer in the delivery of training-of-trainers (to designated focal points in peacekeeping operations. This effort will not only ensure availability of trained focal points in field operations, but will also build capacity within the Organization and peacekeeping operations. Furthermore, taking into consideration the high vacancy rates, the mobility and turnover of staff in field operations, it is anticipated that the incumbent of the proposed function at the P-3 level will manage a continuous caseload of training delivery. Where required, as a subject matter expert, the incumbent will provide advice on the interpretation and application of policies related to the performance management and development system.

455. Based on historic data and current trends, it is anticipated that Office of Human Resources Management/Learning, Development and Human Resources Services Division support specific to performance management for staff and supervisors/managers is likely to increase significantly over the next three periods, directly attributed to the introduction of the enhanced system: 15,000 to 20,000 staff members will receive training on performance management; approximately 7,000 managers/supervisors are expected to undertake the mandatory performance management training; and increased demand for other performance management workshops/training is expected.

*Human Resources Officer (1 position (P-3), continuation)**Human Resources Assistant (1 position (GS (OL)), continuation)*

456. The Learning, Development and Human Resources Services Division, through its Career Support and Performance Management Section, implements and manages staff mobility programmes, which include the establishment of occupational network initiatives, the managed reassignment programme and the voluntary initiative for network exchange (VINE). The networks proposed for extension to field missions include resource management and operations support, political, peace and security, ICT and public information and external relations.

457. While recognizing that the expansion to field operations will foster greater mobility between Headquarters and the field, it is noted that the pilot VINE initiative attracted an initial pool of 305 applicants with a limited scope, comprising applicants from Headquarters and offices away from Headquarters. As such, extension to field operations is likely to generate a significantly high caseload of applicants. In this regard, the proposed expansion will require the continuation of one Human Resources Officer (P-3) position as well as one Human Resources Assistant (GS (OL)) position to ensure that sufficient Office of Human Resources Management resources are dedicated to managing this initiative. The existing staffing complement dedicated to managing mobility (1 P-3, 1 GS (OL)) is inadequate to address the additional caseload of staff members from field operations, targeted to participate in the initiative.

**Strategic Planning and Staffing Division***Human Resources Officer (1 position (P-4), for 6 months, continuation)*

458. One of the mandates of the Strategic Planning and Staffing Division is to develop and manage components of the talent management system (Inspira) related to staffing as an enterprise talent management tool, which will replace the current e-staffing Galaxy system. The first wave of the new Inspira talent management system will be launched by April 2010. The Division, in coordination with the Field Personnel Division in DFS, is currently leading the designing and configuration of Inspira. The Division is also leading the substantive implementation of the system in the Secretariat, including DPKO, DFS and field operations. In so doing, the Division is developing and implementing change management strategies, which include developing training programmes and materials and communications support. The second wave of Inspira will be implemented in the first and second quarters of 2010, and enhancements to the first wave are planned for the third and fourth quarters of 2010.

459. It is proposed that the general temporary assistance position be continued for six months at the P-4 level for the second wave of the Inspira implementation. The incumbent will continue to provide substantive support to the Director of the Division and the Chief of the Staffing Service in the development and implementation of change management strategies, including development of training programmes and materials, policies and communications support strategies on Inspira. The incumbent will also participate in teams and working groups involved in human resources management reform and change management; analyse new human resources needs; and streamline processes and procedures. For the release of the second wave and enhancements planned, the continuation of general temporary assistance for six months is requested.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Consultants</b>	<b>\$169.0</b>	<b>(\$198.5) (54.0%)</b>

460. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person/ month</i>	<i>Amount</i>	<i>Output reference</i>
Data warehouse development (Human Resources Information Systems Section)	12	144 000	Roll-out of the data warehouse and reporting system to provide human resources practitioners and programme managers in field missions with self-service tools to access the data repository and to obtain, analyse and report on human resources information
Resilience-building/mission readiness (Medical Services Division)	1	25 000	Coordinate training meeting for focal points of mission readiness/wellness programme on increasing resilience of staff going to and in peacekeeping missions (approximately 20 focal point invitees from different peacekeeping mission and duty stations)  2 mission readiness training sessions for the Headquarters staff planning to work in peacekeeping missions within 2 years, focused on building resilience  2 mission readiness/wellness workshops for the family members (spouses and children) of Headquarters staff members who are preparing for or on mission to offer additional psychosocial support
<b>Total</b>		<b>169 000</b>	

461. The provision of \$144,000 is required to hire a consultant for the Human Resources Information Systems Section with Oracle OBIEE expertise, including the extraction, transformation and loading of data metrics development and reports development for the data warehouse project. The data warehouse developers will, led by the project management office in New York, use this expertise to implement and enhance the data warehouse reports and dashboards, including new metrics and extraction of data from source systems.

462. The amount of \$25,000 would cover the engagement of a consultant for the Medical Services Division to develop training workshops needed for the expansion of the mission readiness training programme as well as the engagement of a consultant with expertise in occupational readiness-building to train staff counsellors and focal points to carry out resilience training programmes for staff preparing to go on missions and for staff serving in hardship missions. The variance is due to reduced consultancy requirements in the Human Resources Information Services Section.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	<b>\$759.5</b>	<b>\$48.0 6.7%</b>

463. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/ consultation	209 300	4 on-site assessments of mission medical facilities Evaluation of a regional medical evacuation centre linked to peacekeeping missions (Pretoria and Johannesburg, South Africa) Conduct of comprehensive salary surveys for 8 peacekeeping missions and issuance of 16 salary scales for local staff in peacekeeping missions
Technical support	146 300	Implementation of electronic medical records and the occupational health management system (EarthMed) in 2 peacekeeping missions Provision of guidance, including training, and oversight from an Organization-wide perspective to peacekeeping missions on the implementation of the monitoring framework through self-monitoring and on-site support visits Human Resources Information Systems Section management visit to the Inspira Centre of Excellence to ensure operational compliance and efficiency
Seminars/conferences/workshops	206 200	1 regional meeting of Chief Medical Officers for coordination and update of medical and medical and administrative policies Representation of administration on due process rights Provision of policy guidance and support to DFS on human resources management in peacekeeping missions, including compliance with applicable rules and regulations Review, amendment, streamlining, consolidation and replacement of 250 administrative issuances related to the introduction of the new system of administration of justice, the new staff rules and regulations, the harmonization of conditions of service and the latest developments in field missions, taking into account the implementation of the new talent management system Update and adjustment of policies and entitlements for all civilian personnel in all peacekeeping missions Provision of guidance, including training, and oversight from an Organization-wide perspective to peacekeeping missions on the implementation of the monitoring framework through self-monitoring and on-site support visits Roll-out of enhancements to the recruitment module of Inspira to peacekeeping missions, to include recruitment of non-United Nations (local) field mission employees Roll-out of enhancements to the performance management module of Inspira to peacekeeping missions, to include 360 degree review and short-term contracts



<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		Roll-out of enhancements to the learning management module of Inspira to peacekeeping missions, to include conversion of United Nations training course data from various sources to an online course catalogue
Other	38 300	Representation of the Administration before the United Nations Dispute Tribunal in cases of appeals arising in missions
Training travel	159 400	Provision of tools, guidance and oversight from an Organization-wide perspective to peacekeeping missions on the implementation of the monitoring framework through self-monitoring and on-site visits, in order to ensure coherent delegated human resources management authority throughout peacekeeping missions and between peacekeeping missions and the rest of the Secretariat
		Provision of application development, maintenance and production support for Inspira, the talent management system, for use in all peacekeeping missions (Centre of Excellence, Bangkok)
		Provision of round-the-clock Inspira user support for peacekeeping missions (Centre of Excellence, Bangkok)
		Training and psychosocial support in 4 missions through the mission readiness/wellness programme
		Coordination of the training meeting for focal points of the mission readiness/ wellness programme on increasing resilience of staff going to and in peacekeeping missions
<b>Total</b>	<b>759 500</b>	

464. An amount of \$209,300 is proposed for travel to undertake the following mission planning/assessment/consultation activities: conduct of interim salary surveys for eight peacekeeping missions, issuance of 16 salary scales for local staff in peacekeeping missions and conduct of reviews of mission subsistence allowance, as required, based on operational needs (\$144,800); on-site visits by the Medical Director to four peacekeeping missions to assess medical facilities and to evaluate a regional medical facility (\$64,500).

465. An amount of \$146,300 is proposed for travel to provide technical support: conduct by the Strategic Planning and Staffing Division of on-site visits to missions to provide advice to human resources practitioners, substantive and technical support to address any issues and concerns identified through the self-monitoring exercise as well as to improve the way delegated authority is exercised (\$82,200); visits to the Inspira Centre of Excellence by Human Resources Information Systems Service staff to ensure operational compliance and efficiency (\$25,400); two on-site visits by an IT specialist from the Medical Services Division to implement EarthMed (\$23,500); travel of Human Resources Policy Service staff to participate in the working group of ICSC to review the salary survey methodology (\$15,200).

466. An amount of \$206,200 is proposed for travel related to seminars/conferences/workshops: coordination and conduct of workshops related to the Inspira roll-out in missions (\$125,000); attendance at various workshops and conferences related to mobility, conditions of service in the field and human resources network meetings,

and attendance by a working group at an investigators' conference on investigation and disciplinary procedures (\$49,200); participation of the Medical Director and a Chief Medical Officer in a regional meeting (\$19,000); attendance by two staff members of the Strategic Planning and Staffing Division at the Chief Civilian Personnel Officer conference and conduct of a workshop for human resources practitioners on the improved monitoring framework and the new planning and reporting tools (\$13,000).

467. An amount of \$38,300 is proposed for four trips for a Legal Officer representing the Administration before the United Nations Dispute Tribunal in Nairobi.

468. An amount of \$159,400 is proposed for travel in connection with the following training: provision of mission readiness training and training of mission focal points conducted by the Medical Services Division (\$97,500); two performance management workshops conducted by the Learning, Development and Human Resources Services Division (\$32,800); training of Centre of Excellence staff to support new Inspira modules (\$20,400); participation in workforce planning training of the Strategic Planning and Staffing Division (\$8,700).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$1 537.3	\$457.3	42.3%

469. The provision in the amount of \$1,537,300 would cover the contractual support and annual PeopleSoft maintenance/licence as well as the disaster recovery for talent management. The variance is attributable to requirements for development, production support and implementation services for Inspira enhancements under vendor contracts (recruitment, performance management and learning), hosting of user productivity kit, human resources analytics and disaster recovery software.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Medical</b>	\$200.0	—	—

470. The provision in the amount of \$200,000 would cover medical supplies, such as medical travel kits, for Headquarters staff travelling to peacekeeping missions as well as the maintenance of medical equipment.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$89.1	(\$55.4)	(38.3%)

471. The provision of \$89,100 is required for supplies and equipment-related requirements for training materials for the Human Resources Information Systems Section (\$50,000), the Learning, Development and Human Resources Division (\$20,000), the Strategic Planning and Staffing Division (\$9,100), as well as supplies for staff counsellor training (\$10,000).

#### **4. Office of Central Support Services**

##### **(a) Results-based-budgeting framework**

472. The functions and organization of the Office of Central Support Services are laid down in Secretary-General's bulletin ST/SGB/1998/11. The Office of Central Support Services comprises the Office of the Assistant Secretary-General, the Procurement Division and the Facilities and Commercial Services Division.

473. The Procurement Division will continue to provide support to DFS and peacekeeping missions by undertaking procurement activities within the framework of the Financial Regulations and Rules of the United Nations and to develop policies and procedures for procurement at Headquarters and peacekeeping missions. The priorities and challenges that are anticipated for the 2010/11 period include continuous support to the procurement requirements for peacekeeping; conduct of further vendor outreach seminars to increase vendor registrations from developing countries and countries with economies in transition; completion of the development of an online procurement training module and procurement certification programme; and implementation of best procurement practices throughout United Nations Headquarters and peacekeeping missions.

474. The priorities in the area of facilities management will be to continue to facilitate the work of departments in receipt of funding under the support account budget, specifically DPKO and DFS, by providing high-quality and safe working conditions to staff and policy advice on facilities management matters that have specific implications for field operations. The provision of standard office accommodations to a growing workforce supporting peacekeeping activities at United Nations Headquarters will remain a challenge. In order to meet the increasing and constantly changing requirements, the Organization has to secure, fit out and furnish additional leased space as well as readjust and track existing space and asset allocations to take into account internal personnel movements and adjacency needs, among other factors. Those processes are complex, lengthy and labour intensive. The preparation for the implementation of enterprise resource planning and IPSAS will be an additional challenge for the period. In the area of property management, in particular, policies will have to be revised and incorporate the specific needs of field operations. Transitional frameworks to govern the migration of asset data will also have to be developed in close coordination with DFS.

475. The Commercial Activities Service is responsible for the provision of efficient, cost-effective and high-quality services and products to peacekeeping operations, covering travel and transportation, archives and record-keeping, and pouch and mail services. The priorities and challenges that are anticipated for 2010/11 for the Service include enhancements to the United Nations laissez-passer issuing system and United Nations laissez-passer documents; improvement in business processes; further automation of mail and pouch handling; and the preservation of electronic records and archival materials. The impact of the capital master plan on travel, the issuance of United Nations travel documents and visa requirements, and mail, pouch and messenger services is expected to be the main challenge to efficient and cost-effective programme delivery. The implementation of the enterprise resource planning and enterprise content management systems will require significant changes to travel, shipments of household goods, archives, record management and commercial activities processes, procedures and workflows.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	1.1 Archival material for all liquidating missions is available at Headquarters to the Organization, Member States and the general public (2008/09: 100 per cent; 2009/10: 100 per cent; 2010/11: 100 per cent)

*Outputs*

- Identification of archival records at MINURCAT and MINUSTAH for immediate or future transfer to Headquarters
- 50,000 pages of peacekeeping archives posted on the United Nations Internet site for public consultation
- 1,000 reference responses to the Secretariat and Member States regarding peacekeeping archives

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 50 per cent of peacekeeping missions employ standard policies, tools and technical standards for records management (2008/09: 50 per cent; 2009/10: 50 per cent; 2010/11: 50 per cent)</p> <p>3.2 Standard office accommodations are provided for new support account-funded personnel (staff and contracted personnel) at Headquarters (2008/09: 105 personnel; 2009/10: 120 personnel; 2010/11: 70 personnel)</p> <p>3.3 Review of 90 per cent of the vendors' registration applications within 2 months from the first application submission (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 2 months)</p> <p>3.4 Positive feedback on surveys of the Department of Peacekeeping Operations, the Department of Field Support and field missions regarding the provision of mail services (2008/09: 87 per cent; 2009/10: 87 per cent; 2010/11: 87 per cent)</p> <p>3.5 Positive feedback in surveys of users of travel and transportation services (2008/09: 80 per cent; 2009/10: 85 per cent; 2010/11: 85 per cent)</p>

*Outputs***Archives and Records Management Section**

- Implementation of records management programmes in compliance with United Nations record-keeping requirements at MINURCAT and MINUSTAH
- Organization of a workshop at UNLB on records, information and archives for all peacekeeping mission focal points

### **Facilities Management Service**

- 120 support account staff and contractors are provided with new office accommodations in accordance with United Nations standards
- 3,000 requests from DPKO and DFS for building maintenance services and office space reconfigurations are satisfactorily met
- Policies and procedures for the management of non-expendable properties at Headquarters and the field are harmonized and in accordance with future IPSAS and enterprise resource planning requirements

### **Procurement Division**

- Issuance of 2,000 purchase orders, 80 systems contracts and 300 regular contracts, including amendments in support of peacekeeping operations
- Business seminars in 30 locations for developing countries and countries with economies in transition
- Follow-up on applications for registration in United Nations Global Market Place, with all vendors that participated in business seminars within 1 month
- 9 procurement assistance visits in peacekeeping missions, namely, MINURCAT, MINUSTAH, MONUC, support for AMISOM, UNAMID, UNIFIL, UNMIL, UNMIS and UNAMI
- 150 staff trained at peacekeeping missions on contractual issues in purchasing, development of commercial evaluation criteria, negotiation skills, risk assessment and fraud prevention in procurement
- 11 staff trained on project management, contracting for fuel, food rations and sea charter
- An Air Carrier Day organized in Brindisi aimed at existing vendors as well as new applicants on revised solicitation, registration methods and the revised draft contract
- 24 site visits, bidders' conferences and contract negotiations prior to contract award and participation in trade and industry fairs
- Reviewed and streamlined vehicle contract management and administration through extension of 5 systems contracts and timely rebidding of 16 systems contracts
- Implementation of the online Procurement Manual, thereby identifying, standardizing and implementing best procurement practices throughout United Nations Headquarters and field missions
- Continued review of cases related to vendors' alleged unethical behaviour by the Senior Vendor Review Committee
- Establishment of a Regional Procurement Office

### **Special Services Section**

- Screening and delivering incoming/outgoing mail, pouch and inter-office mail for the Departments of Peacekeeping Operations and Field Support
- Screening, inspecting and delivering shipments between overseas offices

### Travel and Transportation Section

- Negotiation or renegotiation of 34 airline agreements to benefit Department of Peacekeeping Operations and Department of Field Support travellers by reducing travel costs (31 renegotiated and 3 negotiated during 2008/09; most agreements are of a 2-year duration)
- 7,300 travel authorization inspections
- Entitlement calculation of 350 lump-sum home leave travel requests for Department of Peacekeeping Operations and Department of Field Support staff at Headquarters
- Issuance of 8,000 United Nations travel documents and visas
- Arrangement of 10,700 shipments of personal effects (including insurance registrations, claims and invoices)

#### External factors

The enterprise content management system will be deployed to implement compliant records management programmes (Archives and Records Management Section); vendors will participate in business seminars (Procurement Division); contracted couriers will process shipments on a timely basis; developments in the airline and shipping industries will continue to enable negotiations of favourable contracts (Travel and Transportation Section)

### (b) Human resources requirements

Category	Approved support account posts 2009/10	Redeployment, reassignment, reclassification	General temporary assistance conversions	Additional new posts requested	Total proposed 2010/11	Change
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	1	—	—	—	1	—
P-5	4	—	—	—	4	—
P-4	19	—	—	—	19	—
P-3	21	—	2	5	28	7
P-2/P-1	5	—	—	—	5	—
<b>Subtotal</b>	<b>50</b>	<b>—</b>	<b>2</b>	<b>5</b>	<b>57</b>	<b>7</b>
<b>General Service and other</b>						
Principal level	1	—	—	—	1	—
Other level	27	—	—	—	27	—
<b>Subtotal</b>	<b>28</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>28</b>	<b>—</b>
<b>Total</b>	<b>78</b>	<b>—</b>	<b>2</b>	<b>5</b>	<b>85</b>	<b>7</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	10 513.9	11 094.6	12 267.4	1 172.8	10.6
II. Non-post resources					
General temporary assistance	1 290.8	793.9	951.7	157.8	19.9
Consultants	249.7	466.5	105.0	(361.5)	(77.5)
Official travel	709.0	1 115.3	1 076.9	(38.4)	(3.4)
Other supplies, services and equipment	1 293.2	1 291.3	1 412.2	120.9	9.4
<b>Subtotal II</b>	<b>3 542.7</b>	<b>3 667.0</b>	<b>3 545.8</b>	<b>(121.2)</b>	<b>(3.3)</b>
<b>Total</b>	<b>14 056.6</b>	<b>14 761.6</b>	<b>15 813.2</b>	<b>1 051.6</b>	<b>7.1</b>

**(d) Justification of posts****Office of the Assistant Secretary-General**

*Administrative Officer (1 P-3, conversion of general temporary assistance position to post)*

476. The Office of the Assistant Secretary-General provides primary support to the Assistant Secretary-General in the executive direction and management of the Procurement Division, the Facilities and Commercial Services Division and the Business Continuity Management Unit. The unprecedented surge in peacekeeping operations in recent years resulted in rapid growth in the volume of procurement conducted to support the peacekeeping missions. The increase has necessitated additional efforts to ensure that proper internal control mechanisms exist in the procurement cycle from beginning to end.

477. One key element of the internal control mechanism is monitoring the use of the delegation of procurement authority both at Headquarters and in the field missions. In 2007/08 approximately 317 field procurement staff had delegation of authority. Currently, the Director of Procurement at Headquarters has been granted delegation of procurement authority for contracts valued at up to \$5 million for both the capital master plan and short-term logistics and transportation and up to \$500,000 for other requirements; the Under-Secretary-General for Field Support has delegation of procurement authority for the review and approval of letters of assist valued at up to \$200,000 and for contracts up to \$500,000 for non-core requirements and \$1 million for core requirements. Any award for higher amounts must be submitted to the Headquarters Committee on Contracts for review, which subsequently makes recommendations to the Assistant Secretary-General for Central Support Services for the approval of proposed awards. The table below summarizes the number of cases reviewed by the Headquarters Committee on Contracts along with the face value of the cases during the past four years. Generally, the Committee would have a recommendation for every case presented. It should be noted that the reduction in cases between 2008 and 2009 reflect an increase in the delegation of authority to peacekeeping missions from \$200,000 to \$500,000. While this could

appear to result in less workload for the purpose of monitoring the recommendations of the Headquarters Committee on Contracts, it translates into a higher requirement for the monitoring of field operations.

478. The current staffing establishment of the Office of the Assistant Secretary-General comprises two Professional posts and two General Service (Other level) posts funded from the regular budget, with no staffing resources from the support account. The proposed Administrative Officer post at the P-3 level would assist in reviewing and monitoring the use of delegation of authority. The Officer would work with a staff assistant to compile pertinent information such as feedback obtained through procurement assistance visits to the field missions, recommendations of the Headquarters Committee on Contracts on cases submitted for review and those of other oversight bodies, build and maintain a database, identify weaknesses and areas of risk and make proposals for the revision of the delegation of authority. A similar database would also be built on the recommendations of the Headquarters Committee on Contracts and the decisions of the Assistant Secretary-General. The Officer would ensure that follow-up actions were taken when necessary. The Administrative Officer would also conduct the initial review of recommendations of the Vendor Review Committee and provide advice to the Assistant Secretary-General; in addition, the incumbent would be responsible for the initial review of designation of staff through liaison with other offices in the Department of Management. Given that all of the functions listed above are of a core and continuing nature, it is proposed that the existing P-3 general temporary assistance position be converted to a post.

**Number of cases reviewed by the Headquarters Committee on Contracts between 2006 and 2009 (value in millions of United States dollars)**

	<i>Headquarters</i>		<i>Peacekeeping operations</i>		<i>Total cases</i>	<i>Total value</i>
	<i>Cases</i>	<i>Value</i>	<i>Cases</i>	<i>Value</i>		
2006	137	637.3	630	4 398.5	767	5 035.8
2007	162	310.1	599	4 210.9	761	4 521.0
2008	157	898.7	572	7 983.2	729	8 881.9
2009	138	2 183.2	434	3 713.5	572	5 896.7
<b>Total</b>	<b>594</b>	<b>4 029.3</b>	<b>2 235</b>	<b>20 306.1</b>	<b>2 829</b>	<b>24 335.4</b>

**Procurement Division**

479. Any increase in the scope of peacekeeping missions that subsequently requires the transportation of personnel and/or goods or the acquisition of goods and/or services will have an impact on the workload of the Procurement Division, which is observed about 10 months to a year following approval of resources. Requirements and funds approved during one year will most likely be subject to solicitations about six months after approval and not be acquired for at least another six months. Therefore, there is a direct correlation between the increases in peacekeeping requirements and the workload in the Procurement Division, with a delayed impact of about one year.



## Logistics and Transportation Section, Strategic Movements Team

### Procurement Officer (1 P-3, new)

480. The Strategic Movements Team is responsible for the procurement of short-term air charters for the rotation and deployment of peacekeeping contingents, air and sea charter and transportation services for United Nations-owned and contingent-owned equipment. The tables below highlight the increase in workload over the past two periods for the Team.

<i>Passenger charters</i>	<i>Requisitions issued</i>	<i>Passengers rotated</i>	<i>Flights</i>	<i>Value (United States dollars)</i>
2008	117	98 001	334	120 348 279
2009	147	119 108	387	98 549 580
Increase/decrease (percentage)	26	22	16	-18

<i>Sea cargo charters</i>	<i>Requisitions issued</i>	<i>Cargo moved</i>	<i>Cargo ship charters</i>	<i>Value (United States dollars)</i>
2008	28	39 246 tons/197 818 m <sup>3</sup>	28	33 960 801
2009	46	35 136 tons/226 278 m <sup>3</sup>	46	57 697 957
Increase/decrease (percentage)	64	-10.5/14.4	64	70

<i>Air cargo charters</i>	<i>Requisitions issued</i>	<i>Cargo moved</i>	<i>Cargo flight charters</i>	<i>Value (United States dollars)</i>
2008	13	2 748 tons/19 019 m <sup>3</sup>	113	26 116 144
2009	22	8 662 tons/51 977 m <sup>3</sup>	192	42 566 326
Increase/decrease (percentage)	69	215/173	70	63

It is anticipated that during the 2010/11 period the workload will increase 15 to 20 per cent, mainly because of the increase in troop contingents and the volume of cargo deployment to UNAMID and for the support of AMISOM. In addition, the Team handles and administers the following long-term contracts: a contract for logistics/movement control services due to expire in April 2010; a ship charter contract for UNMIL due to expire in May 2010; and a contract for the shipment of military observers and civilian police personal effects due to expire in June 2010, for which tender exercises have not commenced owing to resource constraints. The Team is also in the process of evaluating a long-term contract for a regional jet and manages a contract for a passenger vessel in support of MINUSTAH.

481. The current staffing establishment of the Strategic Movements Team is one Professional and two General Service (Other level) posts as well as one general temporary assistance position (P-3) funded from the support account for peacekeeping.

482. The increase in requirements for air and sea transportation services has added complexity to the procurement process, which requires more staff time to process the procurement of highly time-sensitive transportation requirements. Efforts have been made to minimize the costs of positioning and deposition of aircraft by

increasing due diligence review of the requirements and regularly looking into the possibility of combining transportation services for one routing with another. Such activities regularly involve several staff members at different hierarchical levels based on the high dollar value of the contracts being reviewed. The proposed Procurement Officer post (P-3) would contribute to the accomplishment of the new bidding exercises for high-dollar-value contracts and management of the procurement aspects of the increased transport activities in the missions, which would increase the efficiency and effectiveness of peacekeeping operations.

## **Peacekeeping Procurement Section**

### ***Engineering Team***

#### *Procurement Officers (2 P-3, new)*

483. The Engineering Team is responsible for the procurement of prefabricated buildings; generators; bridges; engineering support; barbed, binding and concertina wire; gabions; sandbags, timber and plywood; and water treatment and electrical supplies in support of peacekeeping missions. The team currently comprises one P-4 Team Leader, one P-3 Procurement Officer and one Procurement Assistant (GS (OL)) funded from the support account. It is proposed that two additional Procurement Officer posts be established at the P-3 level to establish and manage high-value complex contracts in support of field missions. The timely and efficient rebidding, including market research, management and negotiation of new contracts, would benefit the Organization by creating effective international competition. It is estimated that the team would handle a total of 45 systems contracts in 2010/11 (15 existing, 25 rebids and 5 new contracts) with a total value of \$1.2 billion. In addition to systems contracts, the Team handles regular contracts (approximately 5 per year) and contract amendments/extensions (approximately 70 per year). As indicated in the table below, a significant increase is expected in the value of contracts to be established in 2010/11 compared to the value of contracts established in 2009, and it is therefore requested that two new posts be established in the Engineering Team to handle the increased workload. The two additional Procurement Officers would have a positive impact on the procurement cycle by reducing the time required for procurement and by improving the daily delivery of quality service to the clients. The additional posts would allow the Engineering Team to research and analyse its clients' recurring requirements in order to consolidate requirements and to work proactively.

### **Increase in the average value of procurement handled by staff in the Engineering Section**

	<i>Value of contracts (millions of United States dollars)</i>			<i>Increase (percentage)</i>	
	<i>2008</i>	<i>2009</i>	<i>2010</i>	<i>2008-2009</i>	<i>2009-2010</i>
Total	625.2	815.1	1 200.0	30	47
Average per post	156.3	203.8	300.0	30	47

### ***Vehicles Team***

#### ***Procurement Officer (1 P-3, new)***

484. The Vehicles Team is responsible for the procurement of all vehicles, including spare parts and ancillary services, in support of field missions. The established systems contracts are also open to use by United Nations agencies, funds and programmes and offices away from Headquarters. All procurement of vehicles against Headquarters systems contracts in support of field missions is done by the Vehicles Team at Headquarters, not at the field level. With the recent and upcoming expiration of virtually all high-value systems contracts for vehicles, the workload of the Vehicles Team will expand dramatically. About 30 systems contracts are due for establishment and rebidding in 2010/11 for a total value of about \$600 million, representing a 43 per cent increase in the number of contracts compared to 2009/10. Moreover, high-value existing contracts being managed by the Team amount to about \$125 million.

485. The Vehicles Team currently comprises one P-4 Team Leader, one P-3 Procurement Officer and two Procurement Assistants (GS (OL)) funded from the support account. It is proposed that one Procurement Officer post be established at the P-3 level to handle the increased workload.

### **Planning, Compliance and Monitoring Section**

#### ***Training Officer (1 P-3, resubmission)***

486. The Planning, Compliance and Monitoring Section was established to strengthen internal controls according to five key areas, including ethics and integrity; management and staff; procurement processes; governance; and information systems. A key element in the strengthening of internal controls in regard to management and staff is the provision of continuous and updated training to staff in topics relevant to their areas of responsibility in order to enable them to perform at an optimal level and in accordance with internationally recognized best practices. The terms of reference for the Section include the planning and delivery of training programmes to procurement staff at Headquarters and other offices on ethics and integrity, internal controls and related procedural matters and the coordination of external procurement training for staff involved in procurement activities at Headquarters and other offices.

487. To date, the Procurement Division has made considerable progress with regard to the strengthening of internal controls through the introduction of an internal ethics and integrity training programme in collaboration with the Ethics Office and the Office of Human Resources Management in order to foster and maintain a more ethical culture among approximately 1,200 staff members drawn from the requisitioning/procurement community at Headquarters and peacekeeping missions. Training in the fundamentals of procurement has been subcontracted to UNDP. Each one-week ethics and integrity and fundamentals of procurement workshop has been co-presented by a volunteer procurement trainer and a UNDP trainer. The average cost of retaining a UNDP trainer to train 15 to 20 persons in a four-day workshop is \$5,000 per day. The Procurement Division will be able to provide updated and continuous training to procurement practitioners and other relevant staff worldwide at a much lower cost through an online learning management system, coordinated by a Training Officer. In order to facilitate the simultaneous training of about 1,000

staff in multiple locations worldwide in 2009/10, the Division is currently developing an online learning management system, not only to deliver training in the fundamentals of procurement and ethics and integrity, but also to facilitate continuous and updated training in the procedures and principles enshrined in the Procurement Manual and other relevant procurement material.

488. During 2010/11, the introduction of more advanced courses is planned for 10 subjects, including contractual issues in purchasing, development of commercial evaluation criteria, negotiation skills, risk assessment and fraud prevention in procurement. The first phase, the development of online fundamental training courses, has been done by a consultant under the guidance of the Chief of the Section. Given the complexity of the advanced courses, which will involve an increase in the number of slides, it is estimated that development will take 16 months. With the knowledge of the learning management system accumulated through the development of the first phase and the need to be familiar with procurement issues to be covered under the advanced courses and secure the expertise gained, it is proposed that a Training Officer post (P-3) be established. The current staffing establishment of the Planning, Compliance and Monitoring Section is one P-5 Chief of Section, one P-4 Compliance Officer, one P-4 Contracts Officer and one General Service (Principal level) Procurement Assistant funded from the support account.

489. The Training Officer would monitor and review the output of the selected contractor and ensure that the course materials are relevant to United Nations requirements, coordinating inputs from the Procurement Division's senior management as well as Procurement Officers.

#### **Workload for development of procurement training (persons per month)**

	2009 (classroom)	Estimate (online)	
		2010	2011
Fundamental courses (989 slides)	8	—	—
Advanced courses (1,500-2,000 slides)	—	9	7
<b>Total</b>	<b>8</b>	<b>9</b>	<b>7</b>

490. Once the online training programmes have been developed and launched, the Training Officer will coordinate the delivery of such programmes to be introduced for United Nations procurement staff worldwide. The fundamental programme is expected to be launched in the second quarter of 2010, while the advanced programmes will be launched from the third quarter of 2010 as the course materials for individual modules become available. The Training Officer would also assume the responsibility of registering students; monitoring their progress and participation; coaching and supporting students; promoting a collaborative learning environment where students worldwide discuss and resolve technical issues arising from the course training material; preparing reports; studying trends; making proposals for the modification of material; interacting with the host (server) and with the company maintaining the learning management system; and maintaining a student performance database. It is estimated that completion of the online training programme would require a period of two months for staff members studying on a part-time basis after working hours. Based on an estimate of 25 students enrolled in

the fundamental course and 10 students for advanced modules, the Training Officer would be responsible for the management of 70 students a month.

491. In addition to the advanced online training, it is intended that procurement staff at Headquarters and in peacekeeping missions continue to be registered for specialist courses in subjects including procurement and management issues related to sea charter, food rations contracts, fuel contracts and construction services. The students should also be monitored, coached and otherwise supported in order to facilitate their success.

#### **Workload for delivery of procurement training**

<i>Number of staff trained</i>	<i>2009 (classroom)</i>	<i>Estimate (online)</i>	
		<i>2010</i>	<i>2011</i>
Fundamental courses			
Classroom	130	150	300
Online	—	50	—
Advanced courses (online only)	—	30	600
<b>Total</b>	<b>130</b>	<b>230</b>	<b>900</b>

#### **Facilities and Commercial Services Division, Facilities Management Service**

492. The number of support account-funded personnel at Headquarters is currently 1,245 and represents approximately 17 per cent of the Secretariat staffing in New York, having a direct impact on the resources of the Facilities Management Service, specifically in the areas of space planning and contract management, building maintenance and asset management. Existing and new personnel have to be housed, requiring the Organization to secure leased space and to refurbish and furnish it, a lengthy and staff-intensive process. Space allocation among departments and offices also has to be revised to take into account adjacency requirements. The high mobility of the Department of Peacekeeping Operations/Department of Field Support workforce caused by field assignments, interoffice transfers and regular turnover adds to the complexity of managing their office space needs. It results in frequent moves that require coordination and tracking to maintain the accuracy of various space, contact and assets databases. In addition, the office spaces occupied by the 1,245 support account-funded personnel have to be maintained regularly, adding to the workload of building maintenance and contract management staff. A measure of the additional workload in that area is the average increase of 39 per cent in service requests made by staff of the two Departments since 2006/07.

493. In addition to providing the above-mentioned services, the Facilities Management Service contributes to the setting of policies to promote consistent building management processes throughout the United Nations system. In that capacity, it is engaged with DPKO/DFS in a review of asset management processes aimed at facilitating the work of field missions and harmonizing policies. While resources are provided for standard office accommodation in the support account budget in the form of rent and alteration and furniture provisions, the growth in personnel and planning teams has put a strain on the existing resources of the Service, particularly on those staff responsible for coordinating, administering and

managing the provision of office space, assets and building maintenance services at Headquarters. In order to be able to respond to the continuous growth of peacekeeping activities and to provide services to support account-funded personnel and field missions in an effective and timely manner, the Service will need to strengthen its administrative, managerial and policy-setting capacity.

*Office Space Planning Officer (conversion of 1 P-3 general temporary assistance position to post)*

494. The more than 50 per cent increase in support account-funded personnel at Headquarters since 2006/07 has had the greatest effect in the area of office space planning and management. Securing sufficient office space proved to be difficult in the then competitive market, and construction was delayed by design considerations owing to the relocations under the capital master plan. A total of 337,674 square feet of office space had been added to Headquarters by the end of 2009, including 135,000 square feet to accommodate support account staffing (see table below). As at February 2010, construction was still ongoing, and new office space requirements were anticipated to meet the continued growth of peacekeeping operations.

**Space leased at Headquarters, excluding swing space leased under the capital master plan (square feet)**

	2006	2007	2008	2009
Total	676 605	676 605	709 963	1 014 279
Annual growth (percentage)		0	5	43
Total growth (including for Uganda Building/Alcoa relocation)				337 674
Space to accommodate support account-funded growth				135 070
Estimated space occupied by support account-funded staff				361 297
Percentage of total leased space				36

495. Currently, the functions of an Office Space Planning Officer at the P-3 level are carried out through general temporary assistance. Due to the ongoing nature of the function, it is proposed that the position be converted to a post. The current staffing establishment of the Space Planning Unit is one P-4, one General Service (Principal level) and four General Service (Other level) posts funded from the regular budget; no posts are funded from the support account. The incumbent will continue to be responsible for office space planning and project management issues as they relate to peacekeeping support activities. The Officer will manage the selection of additional premises; prepare current and newly rented space for use based on Organizational needs; and manage all related planning and project management tasks and effectively utilize office spaces at Headquarters. The incumbent will serve as the DPKO/DFS focal point for all office space-related requirements, including the provision of temporary accommodations for planning teams and other field mission staff, the coordination of office reconfiguration, personnel moves, the acquisition of furniture and related services.

496. The Officer will negotiate space allocations with other offices when required and carry out all aspects of contract administration for construction and moving contracts. In addition, the incumbent will keep an up-to-date computerized graphic space database, monitor occupancy rates and report on space utilization.

(e) **Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$12 267.4	\$1 172.8	10.6%

497. The provision of \$12,267,400 would cover salaries, common staff costs and staff assessment for the 78 continuing posts and 7 proposed new posts. The variance is attributable to the increased standard costs and the proposed establishment of seven new posts, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation for the continuing Professional and General Service posts, respectively, and 65 per cent for the proposed new Professional posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$951.7	\$157.8	19.9%

498. The proposed requirements in the amount of \$951,700 would cover the continuation of five general temporary assistance positions and the establishment of three new positions as follows: Procurement Division, Procurement Management Section, Vendor Registration and Management Team, three General Service (Other level), continuation; Logistics and Transportation Section, one P-3 position, new; Facilities and Commercial Services Division, Facilities Management Service, one P-4, new; one P-3, new, one General Service (Principal level), new; Archives and Records Management Section, one P-2, continuation.

**Procurement Division*****Procurement Management Section, Vendor Registration and Management Team******Procurement Assistants (3 GS (OL) positions, continuation)***

499. The Vendor Registration and Management Team is responsible for the provision of all vendor-related support services to the Procurement Division. The Team undertakes maintenance and support and manages and verifies data for all vendor registrations in the vendor databases; services also cover the migration of data from peacekeeping missions.

500. It is requested that three General Service (Other level) positions be continued to carry out the manual process of verifying vendor data records and processing them in IMIS and ProcurePlus to clean up the records in anticipation of the implementation of the enterprise resource planning system. Currently there are approximately 14,699 vendors recorded in the vendor roster and in the United Nations Global Marketplace vendor registration website.

501. The continuing data clean-up exercise requires the cooperation of vendors to process their latest information through the Global Marketplace website. The pace of processing of the latest information is dependent on the vendors' initiatives and up to now, progress has been slower than expected. In the meantime, through vendor diversification activities such as business seminars, applications for registration are growing, resulting in a backlog of vendor applications to be processed. As indicated in the table below, the total number of applications increased significantly in 2009. Staff members engaged in the evaluation of applications from vendors have to contact vendors to obtain additional and/or missing information individually in order for the Organization to review their applications properly. The number of vendors shown in the "Vendor to update" row reflects those whom vendor registration staff contacted to obtain additional and/or missing information. They

have not yet been evaluated by the Organization pending the receipt of additional and/or missing information.

### Number of vendor registration applications processed

	2008		2009		2010 (estimate)	
	Number	Monthly average	Number	Monthly average	Number	Monthly average
Applications processed in the United Nations Global Marketplace						
Rejected	6	0.5	45	3.8	50	4.2
Suspended	26	2.2	4	0.3	0	0.0
Accepted	225	18.8	568	47.3	1 150	95.8
<b>Subtotal</b>	<b>257</b>	<b>21.4</b>	<b>617</b>	<b>51.4</b>	<b>1 200</b>	<b>100.0</b>
Outstanding applications						
Submitted	13	1.1	160	13.3	150	12.5
Vendor to update	238	19.8	835	69.6	450	37.5
<b>Subtotal</b>	<b>251</b>	<b>20.9</b>	<b>995</b>	<b>82.9</b>	<b>600</b>	<b>50.0</b>
<b>Total</b>	<b>508</b>	<b>42.3</b>	<b>1 612</b>	<b>134.3</b>	<b>1 800</b>	<b>150.0</b>

502. The Vendor Registration and Management Team consists of one P-4 Team Leader, one P-3, two P-2 and three General Service (Other level) staff. One P-2 and one General Service (Other level) posts are assigned to coordinate business seminars and one P-2 post is assigned to vendor due diligence review. While currently the remaining Procurement Officer (P-3) and two Procurement Assistant (GS (OL)) posts have been assigned to vendor evaluation and registration, it is necessary to continue the three general temporary assistance positions pending the implementation of the enterprise resource planning system, which is expected to reduce manual work once the interface can be established between it and the United Nations Global Marketplace.

### *Logistics and Transportation Section, Strategic Movements Team*

#### *Procurement Officer (1 P-3 position, new)*

503. The Strategic Movements Team is responsible for the procurement of short-term air charters for the rotation and deployment of peacekeeping contingents and air and sea charters and transportation services for United Nations-owned and contingent-owned equipment.

504. The increase in requirements for air and sea transportation services has added to the complexity of the procurement process. More staff time is required to process the procurement of highly time-sensitive transportation requirements and to manage procurement related to the increased transport activities in the missions. It is therefore proposed that the position of a Procurement Officer (P-3) be continued to handle the anticipated surge of workload of the Strategic Movements Team for the 2010/11 period. The incumbent would handle the complex ship charters and cargo aircraft contracts on a daily basis and handle several disputed ship chartering contract cases, involving the resolution of disputes on liquidated damages and detention and demurrage charges in an aggregated amount of more than \$1 million.



## **Facilities and Commercial Services Division**

### ***Archives and Records Management Section***

*Associate Records Management Officer (1 P-2 position, continuation)*

505. Inactive records from field missions are being stored at a commercial records facility in New Jersey. It is therefore requested that the general temporary assistance position be continued at the P-2 level. The current staffing establishment of the Section funded from the support account comprises two posts (1 P-4 and 1 P-2). A backlog of 30,000 linear feet of records from 20 missions had accumulated by July 2009, resulting in annual storage costs of about \$75,000. The Archives and Records Management Section estimates that about 7 per cent of the material constitutes permanent archives and should be transferred to its facilities for cataloguing and preservation and to make it available for research. However, the records are badly organized and need inspection and processing. Of the remaining 93 per cent it is estimated that 70 per cent can be destroyed and 30 per cent need to be placed on a retention schedule and assigned a destruction date in the short to medium term. During the 2009/10 period, it is expected that 12,000 feet of records will be processed, and during the 2010/11 period the Associate Records Management Officer will continue to eliminate the backlog by applying the approved retention policy. This has the dual benefit of avoiding storage costs and providing Internet-based access to peacekeeping archives. Failure to make this resource available would result in ongoing costs to the Organization and the availability of less archival material.

### ***Property Management and Inventory Control Unit***

*Senior Property Management Officer (1 P-4 position, new)*

506. Property management and inventory control are important and often complex tasks in field missions, which own 83 per cent of United Nations non-expendable property (see table below). The Departments of Peacekeeping Operations and Field Support have over the years developed a central capacity to interpret applicable policies and financial rules and establish procedures and systems to support their application. While the authority for property management is delegated by the Office of Central Support Services to the Under-Secretary-General of the Department of Field Support, the setting of policies, remains, by mandate, one of the core functions of the Office. Because of a lack of resources, the Office has not been able to keep pace by adopting a policy framework that would respond to changing specific property management requirements in field operations. The environment in which missions operate is more complex than in other offices, making the establishment of an appropriate internal control framework more challenging. Administrative instructions have not been revised for many years, and while they are adequate for Headquarters offices and regional commissions, there are inconsistencies with the field that have led to a number of recommendations by oversight bodies. In recent years, the Office of Central Support Services has received a number of requests to change the delegation of authority for property management and suggestions on how to streamline perceived burdensome administrative processes. A working group was established in 2009 to review the delegation of authority, reconcile differences between the field and Headquarters and harmonize policies to be incorporated into a United Nations-wide property management standard. Progress has been slow, however, due in part to the lack of dedicated resources to address property management policy issues. The Property Management and Inventory Control Unit currently has one Professional post (P-2) funded from regular budget, which

oversees property management at Headquarters and is responsible for providing furniture, tracking assets and controlling inventory whereas there are no staffing resources funded from the support account for peacekeeping operations.

507. The revision and harmonization of property management policies have taken on added urgency with the implementation of the enterprise resource planning system and the transition to IPSAS. Direction would have to be provided on the migration of property information to the software vendor and on the framework established for the maintenance in the registry of master data and asset classes, useful life, depreciation scales and residual values. It is therefore requested that a Property Management Officer position be established at the P-4 level to lead this effort. The incumbent would work closely with the Department of Field Support to revise existing policies, address specific enterprise resource planning and IPSAS issues and develop transitional frameworks. He/she would also be responsible for establishing mechanisms for internal control and for monitoring the implementation of recommendations of oversight bodies relating to the execution of property management functions in the field.

#### **Value of non-expendable property (2008 financial statements)**

	<i>United States dollars</i>	<i>Percentage</i>
Peacekeeping	1 561 938 000	83
United Nations Headquarters	157 342 000	8
Offices away from Headquarters	129 106 000	7
Field offices	15 923 000	1
Other	6 558 373	0
<b>Total</b>	<b>1 870 867 373</b>	<b>100</b>

#### ***Plant Engineering Section***

##### *Building Maintenance Officer (1 P-3 position, new)*

508. The surge in support account-funded personnel in recent years has resulted in higher maintenance requirements and requests for building management services. The Facilities Management Service is already running its regular operations at full capacity, and the additional workload has not been met with an increase in resources. The increase in the square footage of leased space (see para. 496) as well as the added complexity of having to manage more locations with various lease conditions, gives a measure of the additional requirements indirectly resulting from the field operations, as shown in the following table:

#### **Number of leased locations (excluding swing space)**

	<i>2006</i>	<i>2009</i>	<i>Increase (percentage)</i>
Buildings	7	12	71
Floors	58	81	40

The Facilities Management Service administers more than 70 contracts to provide maintenance services at owned and leased premises, which have to be renegotiated

when new locations are added. The strained workload situation has led to a build-up of backlogs in contractual renewals, delays in the provision of services and deferment of much-needed upkeep of leased premises. In addition, there has been an average increase of 39 per cent in work orders received from the Departments of Peacekeeping Operations and Field Support since 2006. The anomaly in the trend is attributable to the relocation exercise in 2009, which was mostly the responsibility of the Capital Master Plan project. However, all occupied buildings at Headquarters, including swing space under the capital master plan, are now managed by the Office of Central Support Services, and the upward trend resumed in the last part of 2009, as shown in the following table:

#### **Work orders**

	2006	2007	2008	2009
DPKO/DFS	2 551	3 161	4 011	3 456
Annual change (percentage)	—	24	27	-14
Average increase (percentage) (2006 versus 2009)	—	—	—	35

509. To ensure the quality of the work environment, the establishment of a general temporary assistance position at the P-3 level is requested to assist the Chief of the Plant and Engineering Section in the administration and management of building maintenance activities and in the provision of facilities management services. Although the functions are of a recurrent nature, temporary assistance is proposed pending a review of the Facilities Management Service's operations to determine staffing and other requirements on the completion of the capital master plan. The current staffing establishment of the Plant and Engineering Section is two Professional posts (1 P-4 and 1 P-3) funded from the regular budget, whereas no staffing resources are funded from the support account.

#### ***Facilities Management Service***

##### ***Facilities Management Assistant (1 GS (PL) position, new)***

510. The Facilities Management Assistant (GS (PL)) would provide substantive and administrative support to peacekeeping activities at Headquarters to facilitate the provision of office accommodation, building maintenance and asset management services. Currently no staffing resources for administrative support are funded from the support account within the Facilities Management Service.

511. The incumbent would take the lead in managing leased contracts, including with respect to contractual and financial matters, as well as service requests for office space, building repairs and regular maintenance. As office spaces are fitted out or reconfigured, the facilities management assistant would be responsible for reviewing design and construction documents, tracking transmittals, records management, coordination of project logistics and maintenance of related databases. The incumbent would also assist in the drafting of property management procedures and guidelines in anticipation of the implementation of the enterprise resource planning system and IPSAS. In addition, the Facilities Management Assistant would provide administrative and secretarial support to the proposed Office Space Planning Officer, the Senior Property Management Officer and the Building Management Officer to assist them in performing their functions.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Consultants</b>	\$105.0	(\$361.5) (77.5%)

512. The provision of \$105,000 would cover requirements in the Procurement Division to engage a food rations consultant to assist in advising on price negotiations based on various sources of supply, different indexes for approximately 400 commodities included in the United Nations rations scale and the applicable consumption patterns in the relevant mission (\$50,000), as well as to engage a consultant with a wide range of fuel pricing and sourcing experience (\$21,000). The provision would also cover the requirements for a consultant to assist in the screening of peacekeeping records transferred to the Archives and Records Management Section (\$34,000). The variance is attributable to there being no consultancy requirements in the Procurement Division for procurement performance indicators and methodology and air charter budgeted in 2009/10 and to the transfer of requirements for a digitization and cataloguing specialist from the Archives and Records Management Section to the other supplies, services and equipment class of expenditure.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$1 076.9	(\$38.4) (3.4%)

513. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/ assessment/consultation	304 600	Organization and completion of 9 procurement assistance visits to peacekeeping missions Site inspections and contract negotiations Archival material for all liquidation missions is available at Headquarters to the Organization, Member States and the general public
Seminars/conferences/ workshops	143 700	Air carrier conference for air charter vendor outreach project Site visits and bidders conference
Other	518 600	Business seminars in 30 locations
Training	110 000	150 staff trained at peacekeeping missions on contractual issues in purchasing, development of commercial evaluation criteria, negotiation skills, risk assessment and fraud prevention in procurement 11 staff trained on project management, contracting for fuel, food rations and sea charters Delivery of a records, information and archives workshop for peacekeeping missions Property managers from field missions are fully trained on the revised and updated delegation of authority for property management and revised and harmonized property management policies and procedures Participants gather first-hand information about the delegation of authority for property management in the missions and the practice of property management in the field
<b>Total</b>	<b>1 076 900</b>	

514. An amount of \$304,600 is proposed for travel related to mission planning, assessment and consultation as follows: for the Procurement Division to engage in complex contract negotiations with vendors for the provision of food rations, fuel and engineering goods and services, which are complex in nature and would require site inspections (\$100,900), as well as to conduct annual reviews of procurement activities in nine field missions in order to identify and report on performance, weaknesses, areas of risk and ongoing challenges and to recommend appropriate action for improvement in the procurement function (\$167,500); and two on-site mission visits of the Archives and Records Management Section to identify archival records for immediate or future transfer to Headquarters (\$36,200).

515. The provision of \$143,700 would cover travel requirements related to the following seminars, conferences and workshops: conduct of an air carrier day in Brindisi and attendance at an air carrier conference with the objective of briefing the industry on new developments in solicitation methods and on a revised model contract that is being developed by the Section and obtaining industry feedback, which will be open to non-registered operators in an effort to solicit their registration and participation in United Nations air charter solicitations (\$42,900); and conduct of site visits for potential vendors of high-value key contracts to see the actual infrastructure of the mission, the condition of roads for deliveries, the different United Nations delivery locations and the condition of equipment, and to answer all vendors' queries, following the site visit, in a bidders conference (\$100,800).

516. The amount of \$518,600 is proposed for requirements in the Procurement Division to cover travel of staff to conduct business seminars in 30 locations. Travel would include trips to regions where the peacekeeping missions operate in order to review the capacity of vendors in the areas and disseminate information on procurement opportunities. The funding would also allow the Division to conduct preliminary missions to potential locations for consultation with host country organizations, such as chambers of commerce, and to invite procurement staff from peacekeeping missions to the seminars. The request is in compliance with a series of General Assembly resolutions requesting an increase in procurement opportunities for vendors from developing countries and countries with economies in transition.

517. The provision of \$110,000 would cover the following training-related travel requirements: participation of eight staff members of the Procurement Division in training at internationally accredited procurement institutions (\$12,400); travel for two staff members to deliver internal procurement training at the regional procurement office in Entebbe, Uganda, once it has been established, for new staff of the office and newly appointed staff from other missions twice a year to supplement the online training programme (\$38,200); attendance at trade conferences and specialized training by the Procurement Division (\$29,100); delivery of a records, information and archives workshop at UNLB for peacekeeping missions (\$18,900); travel of the Facilities Management Service to attend training at UNLB to acquire first-hand knowledge and understanding of the current property management procedures and policies in the field missions and to then provide comprehensive training on the revised and harmonized property management procedures and policies in the field missions (\$11,400).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$1 412.2	\$120.9	9.4%

518. The provision of \$1,412,200 under the above heading includes a provision of \$1,204,700 for the Procurement Division for: the development of advanced online training modules following the two development phases completed in the previous periods (\$475,000); vendor screening services (\$250,000); maintenance of the United Nations Global Marketplace, a web-based vendor registration and database programme (\$245,000); and Dun to Bradstreet vendor credit reports, LexisNexis service to provide legal, criminal and commercial background checks of vendors, placement of advertisements and expressions of interest in magazines and training fees for various specialized training classes (\$234,700).

519. The amount of \$205,000 would cover requirements in the Archives and Records Management Section for archival cataloguing and digitization services (\$200,000), as well as for training supplies and the purchase of storage materials (\$5,000). A provision of \$2,500 would cover training fees for facilities management services.

## **D. Office of Internal Oversight Services**

### **(a) Results-based-budgeting framework**

520. The mandate of OIOS is derived from General Assembly resolutions 48/218 B, 54/244 and 59/272, Secretary-General's bulletin ST/SGB/273, the relevant provisions of the Financial Regulations and Rules of the United Nations (ST/SGB/2003/7) and of the Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation (ST/SGB/2000/8). The Office works closely with the other United Nations oversight bodies, namely the Board of Auditors and the Joint Inspection Unit, to ensure that work is effectively coordinated.

521. During the budget period OIOS will contribute to a number of expected accomplishments, established by the General Assembly, by delivering related key outputs, shown in the frameworks below.

522. The indicators of achievement are a means of measuring progress towards such accomplishments during the budget period.

523. OIOS contributes to the goals of the United Nations by promoting the responsible administration of resources, improved programme performance and a culture of accountability and transparency. To that end, the Office will: (a) issue recommendations to strengthen internal controls and mitigate risks; (b) provide independent information and assessments to assist in decision-making; and (c) provide independent reviews of the effectiveness of the use of the Organization's resources. This will be accomplished through the issuance of timely, high-quality reports on inspection, evaluation, internal audit and investigation, in accordance with applicable professional standards. OIOS comprises the Internal Audit Division, the Inspection and Evaluation Division and the Investigations Division, each headed by a Director who reports directly to the Under-Secretary-General for Internal Oversight Services.

524. The Internal Audit Division uses a risk-based audit-planning approach in compliance with the relevant practice advisory of the Institute of Internal Auditors and developed its 2010-2011 audit workplan taking into account the recommendations of the Independent Audit Advisory Committee. The Division plans to cover all higher-risk areas in a four-year cycle from 1 July 2010 to 30 June 2014. In selecting assignments for 2010/11, priority was given to: (a) areas of higher inherent risk not sufficiently covered in the past three years or those for which no reliable assessment of residual risk is available; and (b) client concerns. In addition, safety and security and procurement activities are high-risk areas that will be covered twice in the four-year cycle. The Peacekeeping Audit Service of the Internal Audit Division is organized into two sections: the Headquarters Peacekeeping Audit Section and the Peacekeeping Audit Coordination Section. The latter is responsible for supporting and backstopping 10 resident audit offices, while the former provides audit services to the Department of Peacekeeping Operations and the Department of Field Support. With respect to the methodology for allocating resident auditors in peacekeeping missions, the Division has identified its resources on the basis of areas identified as the result of a systematic assessment of risks in peacekeeping missions, in accordance with the recommendations of the General Assembly in its resolutions 60/267 and 63/287. In previous years, OIOS used a ratio of staff to the mission's budget for identifying resources allocated to a particular mission.

525. The Inspection and Evaluation Division focuses its work on both programme evaluations of peacekeeping missions and thematic evaluations covering cross-cutting aspects of peacekeeping work assessing the relevance, efficiency and effectiveness (including impact) of peacekeeping operations.

526. The Investigations Division conducts administrative fact-finding investigations into reports of possible misconduct and transmits to the Secretary-General the results of those investigations together with appropriate recommendations. The Division is also mandated to undertake proactive investigations into high-risk operations and activities, especially with respect to fraud and corruption, and to provide recommendations for corrective action to minimize the risk of exposure. The Investigations Division has three regional centres for investigation, in New York, Vienna and Nairobi, in addition to maintaining a resident investigation staff presence in some peacekeeping operations. By its resolution 63/287, the General Assembly requested a comprehensive report on the pilot project on the restructuring of the Investigations Division in the context of the 2012/13 support account budget.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	1.1 Positive feedback from the General Assembly, including the Fifth Committee and the Special Committee on Peacekeeping Operations, on OIOS reports

*Outputs*

- OIOS reports specifically requested by the General Assembly
- Annual report to the General Assembly on peacekeeping oversight results

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Acceptance of 95 per cent of recommendations issued by the Internal Audit Division (2008/09: 98 per cent; 2009/10: 95 per cent; 2010/11: 95 per cent)</p> <p>3.2 Acceptance of 85 per cent of evaluation and inspection recommendations (2008/09: 90 per cent; 2009/10: 80 per cent; 2010/11: 85 per cent)</p> <p>3.3 Completion of 500 reviews of matters received for intake and possible investigation into instances of theft, embezzlement, smuggling, bribery and other forms of misconduct as well as waste of resources, abuse of authority and mismanagement (2008/09: 378 reviews; 2009/10: 470 reviews; 2010/11: 500 reviews)</p> <p>3.4 50 advisory notes issued incidental to investigations to assist with and provide advice on prevention of fraud and other acts of misconduct as well as waste of resources and abuse of authority and mismanagement (2008/09: 73 advisories; 2009/10: 18 advisories; 2010/11: 50 advisories)</p> <p>3.5 United Nations personnel trained on basic investigation techniques (2008/09: 95 participants; 2009/10: 80 participants; 2010/11: 80 participants)</p>
<i>Outputs</i>	
<ul style="list-style-type: none"> <li>• 18 audit reports by auditors at United Nations Headquarters</li> <li>• 93 audit reports by resident auditors located in peacekeeping missions</li> <li>• Quality review of 20 audit assignments relating to peacekeeping operations</li> <li>• 2 fraud risk-assessment reports</li> <li>• 1 professional development training programme for resident auditors/assistants and annual conference of Chief Resident Auditors</li> <li>• 2 reports on programme evaluations addressing the attainment of broader peacekeeping objectives and results in individual peacekeeping missions</li> <li>• 1 report on thematic evaluation of cooperation and coordination with regional and multilateral organizations in peacekeeping</li> <li>• 1 report on ad hoc inspection of a peacekeeping organizational unit or practice</li> <li>• 500 reviews and analysis of misconduct allegations for decisions as to jurisdiction and investigative action</li> <li>• 50 advisories to the Department of Field Support and mission management, as well as the Department of Management, regarding the oversight of peacekeeping operations</li> <li>• 4 training sessions on investigating category II matters provided to programme managers</li> </ul>	
<i>External factors</i>	
External parties will cooperate with the conduct of evaluation and inspection reviews, investigations and audit assignments	



**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	1	—	—	—	1	—
P-5	11	—	—	2	13	2
P-4	36	—	—	4	40	4
P-3	23	—	—	2	25	2
P-2/P-1	—	—	—	—	—	—
<b>Subtotal</b>	<b>71</b>	<b>—</b>	<b>—</b>	<b>8</b>	<b>79</b>	<b>8</b>
<b>General Service and other</b>						
Principal level	1	—	—	—	1	—
Other level	6	—	—	1	7	1
Field Service	17	—	—	—	17	—
National General Service	4	—	—	1	5	1
<b>Subtotal</b>	<b>28</b>	<b>—</b>	<b>—</b>	<b>2</b>	<b>30</b>	<b>2</b>
<b>Total</b>	<b>99</b>	<b>—</b>	<b>—</b>	<b>10</b>	<b>109</b>	<b>10</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2008/09) (1)</i>	<i>Apportionment (2009/10) (2)</i>	<i>Cost estimates (2010/11) (3)</i>	<i>Variance</i>	
				<i>Amount (4)=(3)-(2)</i>	<i>Percentage (5)=(4)÷(2)</i>
I. Post resources	12 157.8	12 688.9	15 099.6	2 410.7	19.0
II. Non-post resources					
General temporary assistance	8 138.2	6 459.3	7 395.7	936.4	14.5
Consultants	872.0	427.0	578.0	151.0	35.4
Official travel	1 448.3	2 264.4	2 243.2	(21.2)	(0.9)
Facilities and infrastructure	619.4	296.9	274.5	(22.4)	(7.5)
Communications	131.1	104.5	175.2	70.7	67.7
Information technology	170.6	872.9	662.5	(210.4)	(24.1)
Medical	1.6	3.5	—	(3.5)	(100.0)
Other supplies, services and equipment	44.7	353.1	256.4	(96.7)	(27.4)
<b>Subtotal II</b>	<b>11 425.9</b>	<b>10 781.6</b>	<b>11 585.5</b>	<b>803.9</b>	<b>7.5</b>
<b>Total</b>	<b>23 583.9</b>	<b>23 470.5</b>	<b>26 685.1</b>	<b>3 214.6</b>	<b>13.7</b>

527. It is recalled that the original budget submission from OIOS, which was reviewed by the Independent Audit Advisory Committee, includes the request for a total of 22 new posts, as detailed in the table below. The proposed requirements of OIOS for the period from 1 July 2010 to 30 June 2011 include 10 new posts.

**Posts requested in the budget submission of Office of Internal Oversight Services**

<i>Office</i>	<i>Number and grade</i>
<b>Internal Audit Division</b>	
Information and Communications Technology Audit Section	1 P-4
Headquarters Peacekeeping Audit Section	1 P-4, 1 P-3
Professional Practices Section	1 P-4
Resident Auditors Coordination Section	2 P-4
Special Assignments Section	1 P-4
MINURCAT	2 P-4, 1 P-3
MINUSTAH	1 P-3, redeployment from UNMIK
Support of AMISOM	1 P-5, 2 P-4, 2 P-3, 1 NGS
UNIFIL	1 NGS
UNMIK	1 P-3, redeployment to MINUSTAH
UNMIS	1 NGS
<b>Inspection and Evaluation Division</b>	
Evaluation team	1 P-5, 1 P-3, 1 GS (OL)
<b>Investigations Division</b>	
Professional Practices Section	1 GS (OL)
<b>Total</b>	<b>22 posts</b>

**(d) Justification of posts**

**Internal Audit Division**

528. The Internal Audit Division is responsible for conducting comprehensive internal audits in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations and with the International Standards for the Professional Practice of Internal Auditing. The Division uses risk-based audit plans in developing its programme of work. The staffing establishment of the Internal Audit Division in New York currently includes 1 Director, 13 Professional and 4 General Service (Other level) posts funded from the support account as follows: the Peacekeeping Audit Service comprises 1 Chief of Service (D-1) and 5 posts (1 P-5, 2 P-4, 1 P-3, 1 GS) in the Resident Auditors' Coordination Section as well as 9 posts (1 P-5, 4 P-4, 3 P-3, 1 GS) in the Headquarters Peacekeeping Audit Section; the Information and Communications Technology Audit Section includes 1 P-4 post; 1 General Service (Other level) post is located in the Professional Practices Section; and 1 is in the Administrative Unit.

## **Information and Communications Technology Audit Section**

### *Information and Communications Technology Auditor (1 P-4, new)*

529. The Section is responsible for overseeing the implementation of the audit workplan in the area of ICT and providing ongoing independent advice to the missions' management on ICT issues. The staffing establishment of the Section currently consists of three Professional posts (1 P-5, 1 P-4, 1 P-3) funded by the regular budget and one P-4 Information and Communications Technology Auditor funded by the support account. The risk assessments conducted at Headquarters and in field missions have identified a number of high-risk areas that need audit coverage. These risks were particularly evident in the ICT domain, where information, assets and operations are exposed to threats that can have an impact on missions' ability to manage and secure data and ensure business continuity and disaster recovery. OIOS has started a comprehensive programme of audits (MINUSTAH, MONUC, UNMIS and UNLB) to address these risks in all peacekeeping missions. However, given the number of locations and the fact that in the past ICT has not been the subject of specific audits, the establishment of one Information and Communications Technology Auditor post is proposed at the P-4 level to ensure the adequate and timely coverage of those risks.

## **Professional Practices Section**

### *Programme Manager (1 P-4, new)*

530. In December 2008, the Internal Audit Division established a quality assurance and improvement programme as required by the professional standards issued by the Institute of Internal Auditors. The programme is designed to provide reasonable assurance to the Secretary-General, the General Assembly, the Board of Auditors, the Independent Audit Advisory Committee and other stakeholders that the Division: (a) performs its work in accordance with its mandate and the standards; (b) operates efficiently and effectively; and (c) is perceived by stakeholders as adding value and improving the Organization's operations. The staffing establishment currently consists of five Professional posts (1 P-5, 3 P-4, 1 P-3) funded by the regular budget and one General Service (Other level) post funded by the support account. Currently, no professional resources are available to implement the programme in audits of peacekeeping operations.

531. The implementation of the quality assurance and improvement programme is critical to ensure that the Internal Audit Division delivers internal audit services of acceptable quality and that improvements to the audit process are made on the basis of the mandatory professional standards issued by the Institute of Internal Auditors and industry best practices. The establishment of one Programme Manager post at the P-4 level is therefore proposed to provide the capacity to improve the quality of audit work and increase the value added by internal audits in improving peacekeeping operations.

## **Special Assignments Section**

### *Auditor (1 P-4, new)*

532. The Special Assignments Section is responsible, inter alia, for conducting forensic audits. The Internal Audit Division embarked on an initiative in early 2009 to strengthen the Division's capacity to conduct forensic audits as well as other

sensitive and complex audits, especially where they pose a high reputation risk to the Organization. The new Special Assignments Section is developing expertise in conducting fraud risk assessments, identifying fraud indicators in specific business processes and designing audit procedures that will enhance the likelihood that the Division will detect fraud. Where fraud indicators are observed or there are allegations of fraud, the Section will guide the Division's approach to auditing such areas.

533. The establishment of one Forensic Auditor post at the P-4 level is proposed to oversee the roll-out of forensic audit methodology, which is currently being developed, to resident auditors. Annually, the Auditor would conduct one fraud risk assessment and one assignment in a peacekeeping mission (starting with MONUC) covering fraud indicators. The incumbent would also assess fraud risks in business processes at UNLB.

#### **Resident Auditors' Office in peacekeeping missions**

*Redeployment of posts: 1 P-5, 1 P-4, 1 P-3 and 1 NGS for support of the African Union Mission in Somalia resident audit team*

534. The staffing requirements for the Resident Auditors' Office for the support of AMISOM were included in the 2009/10 budget for the support of AMISOM (A/64/465) on an interim basis until the posts could be reflected in the proposed support account budget for 2010/11.

535. In 2009/10, four posts were established for the support of AMISOM. The team comprised one Senior Resident Auditor (P-5), two Resident Auditors (1 P-4 and 1 P-3) and one Audit Assistant (NGS) which were included in the 2009/10 support of AMISOM budget. It is requested that the four posts be transferred to the support account. The proposed staffing and grade levels are commensurate with the scope of the missions' operational activities and the range of administrative, logistical and technical support provided by the administration to the mission's substantive staff.

*Redeployment of Resident Auditor post (1 P-3) from UNMIK to MINUSTAH*

536. The staffing establishment of the Resident Audit Office in MINUSTAH currently includes four Professional (1 P-5, 2 P-4, 1 P-3), one Field Service and one National General Service level post, while the current staffing establishment of the Resident Audit Office in UNMIK includes three Professional (1 P-5, 1 P-4, 1 P-3) and one National General Service level post. Owing to the reduction in the level of audits required in UNMIK based on the risk assessment, the redeployment of one P-3 Auditor post from UNMIK to the Resident Audit Office in MINUSTAH is proposed. The redeployment of the P-3 post from the UNMIK Resident Audit Office to MINUSTAH would ensure the implementation of the risk-based audit plan, which is critical in mitigating risk associated with the mission's operations. The increased resource level would enable coverage of additional high-risk areas and would result in one additional audit output at MINUSTAH. Conversely, there would be effective use of the UNMIK audit resources.

## **Inspection and Evaluation Division**

### **Programme team**

*Senior Evaluation Officer (1 P-5, resubmission)*

*Evaluation Officer (1 P-3, resubmission)*

*Programme Assistant (1 GS (OL), resubmission)*

537. The evaluation and inspection function in OIOS, which rests with the Inspection and Evaluation Division, complements the other two oversight functions of audit and investigation by focusing on the broader issues of relevance, efficiency and effectiveness, including the impact of Secretariat programmes. The General Assembly has repeatedly maintained that restructuring and strengthening of the evaluation capacity is part of the overall effort to strengthen accountability and oversight in the United Nations. In this context, the Assembly, in paragraph 19 of its resolution 58/269, emphasized the need to strengthen the monitoring and evaluation system and urged the Secretary-General to improve the format and timing of programme performance and evaluation reports.

538. In line with OIOS-wide efforts to strengthen the oversight of peacekeeping operations, the Division has since the 2008/09 period focused its work on both programme evaluations of peacekeeping missions and thematic evaluations covering cross-cutting aspects of peacekeeping work. Both types of evaluation assess the relevance, efficiency and effectiveness (including impact) of peacekeeping operations and provide objective and independent evaluative evidence that can contribute to strategic decision-making on peacekeeping mandates and activities. The Division is headed by a Director (D-2) and comprises three sections with a total of 18 Professional (1 D-1, 3 P-5, 5 P-4, 4 P-3, 5 P-2) and 4 General Service (Other level) posts funded by the regular budget as well as 2 P-4 Evaluation Officer posts funded by the support account. The two Evaluation Officers cover the totality of United Nations peacekeeping activities, which include those of all active peacekeeping missions and of the Departments of Peacekeeping Operations and Field Support. With the current two P-4 staff, and based on past experience with the level of effort required to conduct programme evaluations of peacekeeping missions, the Division has to confine its peacekeeping oversight activities to only two programme evaluations each year. In addition, the two P-4 Evaluation Officers are operating without any support account-funded management and administrative support staff. The current staff capacity of two P-4 officers is considered to be inadequate for a robust independent inspection and evaluation oversight function, owing to the lack of more senior, substantive leadership at the P-5 level, the lack of adequate capacity to undertake thematic evaluations and inspections in addition to programme evaluations and the lack of administrative support at the General Service level. Accordingly, it is proposed that one post at the P-5 level, one post at the P-3 level and one post in the General Service (Other level) category, be established.

539. With the additional posts, the Division would be able to deliver two programme evaluations, one thematic evaluation and one inspection annually. It is estimated that the frequency and coverage would increase over time through enhanced efficiency gains and the gradual build-up of evaluation capacity. Specifically, the incumbent of the P-5 post would be responsible for coordinating, supporting and taking part in risk assessments, evaluation and inspection of peacekeeping activities. The incumbent would provide sound leadership and management, be responsible for planning,

implementing, monitoring and reporting on evaluation and inspection activities related to peacekeeping, coordinate the work programme, establish priorities and assign staff on the basis of operational tasking. The incumbent would work closely with senior management in the Department of Peacekeeping Operations, Special Representatives of the Secretary-General and Force Commanders in the field, representatives of the Fourth and Fifth Committees and the Special Committee for Peacekeeping Operations, as necessary, and establish selected teams for evaluation and inspection as well as for the corresponding preparation of reports to be presented to the General Assembly. The incumbent of the P-3 post would assist with data collection methodologies and provide analytical support to the evaluation assignments. The administrative support staff would provide much-needed dedicated support involving maintaining and updating internal databases, coordinating travel arrangements, maintaining records of inspections and recommendations and monitoring the status of their implementation. In addition, the Programme Assistant would provide assistance in the areas of research, preparation of background material, compilation of analysis and summarization of data for evaluation.

### **Investigations Division**

#### *Redeployment of Resident Investigator post (1 P-4) from UNMIT to UNAMID*

540. The Investigations Division conducts administrative preliminary fact-finding investigations into reports of possible misconduct and transmits to the Secretary-General the results of those investigations together with the appropriate recommendations. The Division is mandated to undertake proactive investigations into high-risk operations or activities, especially with respect to fraud and corruption, and provide recommendations for corrective action to minimize the risk of exposure (ST/SGB/273, para. 17). There is currently one P-4 Resident Investigator post in UNMIT, but none in UNAMID, as the mission's cases are expected to be serviced by the regional hub in Nairobi. A pilot project included fewer positions in Nairobi than the Investigations Division's projected requirement, however, and it has been determined that resources would be better utilized by redeploying the P-4 post to a higher-risk/greater-need location. While it is recognized that a comprehensive report on the pilot project on the restructuring of the Division will be presented in the context of the 2012/13 support account budget, it is proposed that one P-4 post be redeployed from UNMIT to UNAMID, taking into account the current distribution of caseload in UNMIT (no open cases) and UNAMID (13 open cases). Any cases relating to UNMIT would be investigated by the regional hub in Vienna.

#### **(e) Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$15 099.6	\$2 410.7	19.0%

541. The provision of \$15,099,600 would cover salaries, common staff costs and staff assessment for 99 continuing posts and 10 proposed new posts. The variance is attributable to increased standard costs and the proposed establishment of 10 new posts, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service category posts, respectively, and 65 per cent for the proposed new Professional and 50 per cent for the new proposed General Service posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$7 395.7	\$936.4	14.5%

542. The proposed requirements in the amount of \$7,395,700 would cover the continuation of 51 general temporary assistance positions (2 D-1, 3 P-5, 14 P-4, 20 P-3, 1 GS (PL), 9 GS (OL) and 2 NGS) in the Investigations Division as follows: 9 continuing positions in the regional hub in New York (1 P-5, 3 P-4, 2 P-3, 3 GS (OL)), 14 continuing positions in the regional hub in Vienna (1 D-1, 1 P-5, 2 P-4, 7 P-3, 1 GS (PL), 2 GS (OL)) and 16 continuing positions in the regional hub in Nairobi (1 D-1, 1 P-5, 4 P-4, 6 P-3, 4 GS (OL)), as well as 12 continuing positions in field missions (MINUSTAH: 1 P-4; MONUC: 1 P-4, 1 P-3, 1 NGS; UNMIL: 1 P-4, 2 P-3, 1 NGS; UNMIS: 1 P-4, 2 P-3; UNOCI: 1 P-4). The variance is attributable to increased standard costs, with the application of the projected vacancy rates of 7 per cent and 5.2 per cent to the computation of requirements for the continuing Professional and General Service positions, respectively. Pending the presentation of a comprehensive report on the pilot project on the restructuring of the Investigations Division in the context of the 2012/13 support account budget, it is proposed that the 51 general temporary assistance positions be continued, as detailed above.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	\$578.0	\$151.0	35.4%

543. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person/month</i>	<i>Amount</i>	<i>Output reference</i>
Specialized investigative skills (Investigation Division)	3	24 000	500 reviews and analysis of misconduct allegations for decisions as to jurisdiction and investigative action  50 advisories to the Department of Field Support and mission management, as well as the Department of Management, regarding the oversight of peacekeeping operations
Support to multidimensional inspections/evaluations (Inspection and Evaluation Division)	24	315 000	2 reports on programme evaluations addressing the attainment of broader peacekeeping objectives and results in individual peacekeeping missions  1 report on thematic evaluation of cooperation and coordination with regional and multilateral organizations in peacekeeping 1 report on ad hoc inspection of a peacekeeping organizational unit or practice
Control self-assessment workshop (Internal Audit Division)	6	100 000	18 audit reports by United Nations Headquarters auditors  93 audit reports by resident auditors located in peacekeeping missions

<i>Expertise</i>	<i>Person/month</i>	<i>Amount</i>	<i>Output reference</i>
Information and communications technology Audit Specialist (Internal Audit Division)	3.5	59 500	18 audit reports by United Nations Headquarters auditors 93 audit reports by resident auditors located in peacekeeping missions
Audit training (Internal Audit Division)	2.75	67 500	18 audit reports by United Nations Headquarters auditors 93 audit reports by resident auditors located in peacekeeping missions
Investigative interviewing techniques training (Investigations Division)	0.75	12 000	500 reviews and analysis of misconduct allegations for decisions as to jurisdiction and investigative action 50 advisories to the Department of Field Support and mission management, as well as the Department of Management, regarding the oversight of peacekeeping operations
<b>Total</b>		<b>578 000</b>	

544. The provision of \$24,000 would cover requirements for the engagement of one consultant in each of the regional hubs, New York, Vienna and Nairobi, to provide services required for a period of one month to cover specialized investigative skill areas, such as handwriting analysis, which are not normally part of investigator skill sets.

545. The amount of \$315,000 would provide support to the planning and conduct of two in-depth programme evaluations, including support for the conduct of local population surveys in the country or region of two peacekeeping missions, as well as one thematic evaluation and one inspection of a peacekeeping organization unit or practice. The surveys are a necessary and important part of programme evaluations, as they provide valuable input on the perception of the local population about the impact the peacekeeping mission has on their lives in general and in the peace process overall. The findings from the survey would support programme evaluation, which is aimed at determining as systematically and objectively as possible the relevance, efficiency and effectiveness, including the impact, of the activities of the mission in relation to its mandate, operational objectives and performance targets. Owing to the expanded scope of the evaluations, the use of external international and local expertise is needed to provide additional expertise in areas where the OIOS staff are lacking, such as highly technical, topical and geographical (local) expertise and local language competencies.

546. The consultant would also provide support by developing suitable approaches, methodology and tools that are needed for the evaluation process in assessing the actual results, impact and achievement of mandates from an independent, objective point of view in order to support accountability for the results attained. Four months of consultancy support for each of the programme evaluations would be required for successful evaluation results.

547. The provision of \$100,000 would cover the requirements of the Internal Audit Division for the provision of funding to hire a consultant to help in facilitating control self-assessment in the Department of Field Support and peacekeeping



missions. Control self-assessment is conducted through workshops facilitated with business process owners where an organization's key controls that are used to mitigate its risks are assessed for efficiency and effectiveness and appropriate solutions for improvement are explored. This should provide reasonable assurance to improve the business processes and so ensure achievement of its objectives. Control self-assessment can be implemented in several ways, but its distinguishing feature is that risk identification and internal control evaluations are made by operational employees or lower-level managers who work in the area being evaluated. The Department of Field Support has specifically requested OIOS assistance in this area to ensure that risks arising from its proposed support strategy are mitigated in a timely and adequate manner. The Internal Audit Division currently does not have the capacity to perform control self-assessment in accordance with established professional standards.

548. The provision of \$59,500 would cover the requirements of the Internal Audit Division to provide funding for the engagement of a consultant to assist in the audits of ICT governance and security management in UNIFIL, UNAMID, UNMIK, UNOCI and UNLB. The consultants would collaborate with and assist OIOS auditors in determining whether the peacekeeping missions have adequate controls and mechanisms in place to govern, monitor, measure, evaluate and report on the performance and security of ICT operations and resources and to report to management on any significant residual fraud risk exposures faced by UNLB.

549. The provision of \$67,500 would cover requirements in the Internal Audit Division to engage the services of a consultant to deliver a training course on the audit of substantive peacekeeping programmes in missions, including in the areas of police and military operations, human rights, civil affairs, and disarmament, demobilization and reintegration to resident auditors as well as a consultant to conduct a training course for beginning auditors and a training course on forensic auditing to be delivered during the resident auditors' conference.

550. The provision of \$12,000 would cover requirements in the Investigations Division to engage one consultant in each of the regional hubs to conduct training on interviewing and forensic techniques.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$2 243.2	(\$21.2)	(0.9%)

551. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/ assessment/consultation	1 004 900	18 audit reports by United Nations Headquarters auditors 93 audit reports by resident auditors located in peacekeeping missions 500 reviews and analysis of misconduct allegations for decisions as to jurisdiction and investigative action 50 advisories to the Department of Field Support and mission management, as well as the Department of Management, regarding the oversight of peacekeeping operations 2 reports on programme evaluations addressing the attainment of broader peacekeeping objectives and results in individual peacekeeping missions 1 report on thematic evaluation of cooperation and coordination with regional and multilateral organizations in peacekeeping 1 report on ad hoc inspection of a peacekeeping organizational unit or practice
Training	1 238 300	18 audit reports by United Nations Headquarters auditors 93 audit reports by resident auditors located in peacekeeping missions 500 reviews and analysis of misconduct allegations for decisions as to jurisdiction and investigative action 50 advisories to the Department of Field Support and mission management, as well as the Department of Management, regarding the oversight of peacekeeping operations 2 reports on programme evaluations addressing the attainment of broader peacekeeping objectives and results in individual peacekeeping missions 1 report on thematic evaluation of cooperation and coordination with regional and multilateral organizations in peacekeeping 1 report on ad hoc inspection of a peacekeeping organizational unit or practice
<b>Total</b>	<b>2 243 200</b>	

552. The amount of \$1,004,900 would cover the following travel requirements related to mission planning/assessment/consultation: travel of a senior staff member of the Peacekeeping Audit Service staff and a senior staff member of the Resident Auditors' Coordination Section to five field missions to carry out management/supervisory visits (\$90,400); travel of two Internal Audit Division staff to perform quality assurance reviews, assist in audits and provide hands-on training in five missions (\$111,800); two Peacekeeping Headquarters Audit Section auditors to undertake four visits to field missions to carry out audit assignments as well as two auditors and a consultant to conduct ICT governance and security management audits in UNIFIL, UNAMID, UNMIK and UNOCI and one Special Assignments Section staff to conduct a comprehensive audit of two missions (\$207,600). One consultant would take one trip to UNLB to assist in a comprehensive audit (\$7,400).

Two auditors would take 4 trips to participate in an Assessment Centre evaluation and to interview potential candidates in Geneva and Nairobi (\$52,300); the amount of \$334,600 is estimated to cover the travel of the investigators to complete 74 trips of one week each from one of the regional hubs to various peacekeeping missions to conduct investigations of misconduct allegations; the amount of \$200,800 would provide travel funds for two investigators to conduct 2 field mission visits of one week and five investigators to conduct 2 field mission visits of two weeks to complete two reports on programme evaluation addressing the attainment of broader peacekeeping objectives and results in peacekeeping operations and would cover travel requirements to complete one thematic evaluation report and one inspection report of a peacekeeping organizational unit or practice.

553. The provision of \$1,238,300 would cover travel requirements in connection with training activities, specifically: the travel of resident audit staff and Headquarters-based auditors to participate in the annual internal audit conference at UNLB (\$847,700); the travel of Chief Resident Auditors to New York for the annual planning conference (\$103,900); the travel of four auditors to attend the Institute of Internal Auditors Conference in the United States of America (\$11,700); the travel of 16 investigators from New York, Vienna and Nairobi to participate in external courses on advanced interview techniques as well as for a retreat to train all investigators with a view to improving the conduct of investigations of possible misconduct (\$255,300); requirements of the Inspection and Evaluation Division for attendance at advanced training courses on the evaluation of peacekeeping and development interventions aiming to enhance the understanding of the main challenges in the conduct of evaluations of conflict resolution projects focusing on peacekeeping and peacebuilding programmes (\$19,700).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$274.5	(\$22.4)	(7.5%)

554. The proposed amount of \$274,500 would cover rental costs in Vienna and Nairobi and costs for the acquisition of office supplies for all OIOS divisions. The variance is attributable to the estimate of lower rental costs in Vienna and Nairobi.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$175.2	\$70.7	67.7%

555. The estimate of \$175,200 would provide for commercial communications, at the standard rate derived from past expenditure patterns, for OIOS staff in New York, Vienna and Nairobi, as well as the acquisition of standard communications equipment (telephone sets) for new staff. The variance is attributable to the acquisition of satellite communications equipment and service, BlackBerries and videoconferencing services.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$662.5	(\$210.4)	(24.1%)

556. The estimate of \$662,500 would cover requirements for the maintenance and repair of standard information technology equipment based on standard service-level agreements for each workstation in New York, Vienna and Nairobi (\$114,800) and the support account share (\$7,300) of the central information technology infrastructure costs (information storage and backup, application hosting, departmental servers) derived from past expenditure patterns, as well as the acquisition of standard replacement and purchase of new standard information technology equipment (\$56,200). Maintenance costs in the field duty stations are provided from within the respective missions.

557. In addition, the provision includes special equipment (\$42,000) for the Investigations Division in the three regional hubs; funding of a case management system (\$266,000); and software licences and fees for specialized software in the Internal Audit Division, such as data analysis software (IDEA) and the renewal of the AutoAudit software (\$176,200). The variance is attributable to the acquisition of fewer non-standard items of specialized information technology equipment in the Investigations Division.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	\$256.4	\$96.7 (27.4%)

558. The proposed amount of \$256,400 would provide for the cost of subscriptions, library books, training supplies, materials and services as well as venue costs for the annual conference. The variance is attributable to the discontinuation of service fees charged by the regional offices in Vienna and Nairobi as well as lower annual subscription fees.

## E. Executive Office of the Secretary-General

### (a) Results-based-budgeting framework

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	<p>1.1 Increased percentage of reports to the Security Council and General Assembly and other bodies on peacekeeping issues submitted by the due date (reports to the Security Council, 2008/09: 55 per cent; 2009/10: 70 per cent; 2010/11: 85 per cent; reports to the General Assembly, 2008/09: 81 per cent; 2009/10: 70 per cent; 2010/11: 70 per cent)</p> <p>1.2 All documents (e.g., reports, talking points, statements, letters and speeches) are reviewed by the Executive Office of the Secretary-General and returned to the relevant lead department within 4 days</p>
<i>Outputs</i>	
<ul style="list-style-type: none"> <li>• Provision of advice for approximately 136 reports of the Secretary-General to the Security Council and General Assembly on peacekeeping issues</li> <li>• Provision of advice for approximately 1,200 talking points, including the preparation of 12 presentations by the Secretary-General to the Security Council</li> </ul>	

- Provision of advice for approximately 200 letters and notes from the Secretary-General to the Security Council, the General Assembly, other intergovernmental bodies, troop-contributing countries and other key interlocutors on peacekeeping issues

*Expected accomplishments**Indicators of achievement*

3.1 Increased efficiency and effectiveness of peacekeeping operations

3.1 Provision of 200 notes from the Secretary-General or senior officials of the Executive Office of the Secretary-General to the Department of Peacekeeping Operations

*Outputs*

- Comments and guidance from the Executive Office of the Secretary-General to peacekeeping missions and the Departments of Peacekeeping Operations and Field Support on the Secretary-General's reports on peacekeeping missions provided within 5 days
- Advice in the preparation and subsequent revision of reports on peacekeeping issues to be submitted to the Security Council, the General Assembly and other intergovernmental bodies provided within 5 days

*External factors*

- Documentation is submitted to the Executive Office of the Secretary-General for review on a timely basis
- Advice from intergovernmental bodies on peacekeeping issues is requested

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	1	—	—	—	1	—
P-5	2	—	—	—	2	—
P-4	—	—	—	—	—	—
P-3	—	—	—	—	—	—
P-2/P-1	—	—	—	—	—	—
<b>Subtotal</b>	<b>3</b>	—	—	—	<b>3</b>	—
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	2	—	—	—	2	—
<b>Subtotal</b>	<b>2</b>	—	—	—	<b>2</b>	—
<b>Total</b>	<b>5</b>	—	—	—	<b>5</b>	—

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09) (1)	Apportionment (2009/10) (2)	Cost estimates (2010/11) (3)	Variance	
				Amount (4)=(3)-(2) (4)	Percentage (5)=(4)÷(2) (5)
I. Post resources	1 207.0	897.8	914.2	16.4	1.8
II. Non-post resources					
General temporary assistance	44.7	91.5	94.4	2.9	3.2
Consultants	—	—	—	—	—
Official travel	—	—	—	—	—
Facilities and infrastructure	4.8	2.5	2.5	—	—
Communications	9.8	7.0	8.2	1.2	17.1
Information technology	12.6	9.9	14.4	4.5	45.5
Other supplies, services and equipment	—	—	—	—	—
<b>Subtotal II</b>	<b>71.9</b>	<b>110.9</b>	<b>119.5</b>	<b>8.6</b>	<b>7.8</b>
<b>Total</b>	<b>1 278.9</b>	<b>1 008.7</b>	<b>1 033.7</b>	<b>25.0</b>	<b>2.5</b>

**(d) Analysis of resource requirements<sup>1</sup>**

	Cost estimates	Variance	
<b>Posts</b>	<b>\$914.2</b>	<b>\$16.4</b>	<b>1.8%</b>

559. The provision of \$914,200 would cover salaries, common staff costs and staff assessment for five continuing posts. The variance is attributable to increased standard costs, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service category posts, respectively.

	Cost estimates	Variance	
<b>General temporary assistance</b>	<b>\$94.4</b>	<b>\$2.9</b>	<b>3.2%</b>

560. Proposed requirements in the amount of \$94,400 would cover the continuation of 12 months of General Service (Other level) general temporary assistance to support the Executive Office during peak workload periods. The variance is attributable to increased standard costs, with the application of the projected vacancy rates of 5.2 per cent to the computation of requirements for the continuing General Service position.

	Cost estimates	Variance	
<b>Facilities and infrastructure</b>	<b>\$2.5</b>	<b>—</b>	<b>—</b>

561. The proposed amount of \$2,500 would provide for the acquisition of office supplies for the five continuing posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$8.2	\$1.2	17.1%

562. The estimate of \$8,200 would provide for commercial communications, at the standard rate derived from past expenditure patterns, for five continuing posts. The variance is attributable to the acquisition of three BlackBerries.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$14.4	\$4.5	45.5%

563. The estimate of \$14,400 would cover requirements for five continuing posts and provide for the maintenance and repair of information technology equipment based on standard service-level agreements established by the Office of Information and Communications Technology (\$7,800) and the support account share for the Executive Office of the Secretary-General, the Ethics Office and the Office of the United Nations Ombudsman (\$2,100) of central information technology infrastructure costs (information storage and backup, application hosting and departmental servers) derived from past expenditure patterns. The variance is attributable to the replacement of standard information technology equipment (\$4,500).

## F. Office of the United Nations Ombudsman

### (a) Results-based-budgeting framework

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 Initial action taken within 30 days on 100 per cent of cases received
<i>Outputs</i>	
<ul style="list-style-type: none"> <li>• Resolution of employment-related problems from peacekeeping staff in at least 400 cases, including the provision of mediation services through the Mediation Division</li> <li>• Cross-cutting analysis of at least 400 cases to identify systemic issues in field missions</li> <li>• Provision of an annual report to the General Assembly, including recommendations on systemic issues</li> <li>• Quarterly feedback to the Secretary-General and to the Under-Secretary-General for Field Support to identify systemic issues and make practical recommendations</li> <li>• 10 visits to peacekeeping operations to provide on-site ombudsman and mediation services, including travel in the mission area by the regional ombudsmen</li> <li>• Quarterly awareness-raising videoconferences with staff in peacekeeping operations, bimonthly updates of the Office's website, production of 1,000 pamphlets for distribution to staff in peacekeeping missions</li> </ul>	
<i>External factors</i>	
The security situation in missions will allow visits	

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	—	—	—	—	—	—
P-5	3	—	—	—	3	—
P-4	—	—	—	—	—	—
P-3	2	—	—	—	2	—
P-2/P-1	—	—	—	—	—	—
<b>Subtotal</b>	<b>5</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>5</b>	<b>—</b>
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	—	—	—	1	1	1
Security Service	—	—	—	—	—	—
Field Service	—	—	—	—	—	—
National General Service	2	—	—	—	2	—
<b>Subtotal</b>	<b>2</b>	<b>—</b>	<b>—</b>	<b>1</b>	<b>3</b>	<b>—</b>
<b>Total</b>	<b>7</b>	<b>—</b>	<b>—</b>	<b>1</b>	<b>8</b>	<b>1</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2008/09)</i>	<i>Apportionment (2009/10)</i>	<i>Cost estimates (2010/11)</i>	<i>Variance</i>	
				<i>Amount</i>	<i>Percentage</i>
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	416.6	1 047.8	1 157.9	110.1	10.5
II. Non-post resources					
General temporary assistance	—	—	168.0	168.0	—
Consultants	—	—	—	—	—
Official travel	96.7	146.3	139.7	(6.6)	(4.5)
Facilities and infrastructure	4.1	3.5	1.5	(2.0)	(57.1)
Communications	14.0	10.4	9.8	(0.6)	(5.8)
Information technology	5.2	12.0	8.8	(3.2)	(26.7)
Other supplies, services and equipment	11.7	24.5	29.8	5.3	21.6
<b>Subtotal II</b>	<b>131.7</b>	<b>196.7</b>	<b>357.6</b>	<b>160.9</b>	<b>81.8</b>
<b>Total</b>	<b>548.3</b>	<b>1 244.5</b>	<b>1 515.5</b>	<b>271.0</b>	<b>21.8</b>



**(d) Justification of posts**

564. The Office of the Ombudsman was established pursuant to General Assembly resolutions 55/258 and 56/253 to make available the services of an impartial and independent person to address the employment-related problems of staff members, including matters pertaining to conditions of employment, administration of benefits, managerial practices and professional and staff relations. The terms of reference of the Office are contained in Secretary-General's bulletin ST/SGB/2002/12, which entered into force on 25 October 2002. In its resolution 62/228, the General Assembly decided to create a single, integrated and geographically decentralized Ombudsman structure to serve the United Nations Secretariat, funds and programmes, a Mediation Division to provide formal mediation services and regional offices.

565. As a recommended first step in the administration of justice system, the Office of the Ombudsman will continue to provide the full range of informal dispute resolution services to staff in peacekeeping missions with the objective of resolving conflicts at an early stage, thus avoiding escalation and/or costly litigation. In addition, the Office will seek to further increase the conflict resolution competence of peacekeeping personnel and will also continue to raise awareness about its services, with particular emphasis on new staff and staff in field missions. As requested by the General Assembly, the Office will place increased emphasis on the identification of systemic issues in the peacekeeping areas.

566. The staffing establishment of the Office currently includes six posts funded from the support account deployed to the regional offices in Khartoum and Kinshasa, with one P-5 Regional Ombudsman, one P-3 Case Officer and one General Service (Other level) post in each location. The Office of the Ombudsman at Headquarters comprises one Assistant Secretary-General, one D-1 Director of Office, one D-1 Director of the Mediation Division, 2 P-5 Mediators, one P-4 Conflict Resolution Officer, one P-3 Information Officer and three General Service (Other level) posts funded under the regular budget, as well as one P-5 Senior Conflict Resolution Officer post funded under the support account.

**Ombudsman and Mediation Services***Administrative Assistant (1 GS (OL), resubmission)*

567. The establishment of one new General Service (Other level) post for an Administrative Assistant is proposed to provide the necessary administrative support for the Senior Conflict Resolution Officer and the proposed Case Officer position. One General Service (Other level) post in the Office of the Ombudsman was discontinued with the establishment of the new administration of justice system effective 1 July 2009. The experience of the past period has shown that the discontinuation of the post had an adverse impact on the operation of the Office in terms of the timely tracking of cases, data collection and support for the Senior Conflict Resolution Officer in identifying systemic issues. The incumbent would receive and process requests for appointments, file office communications, maintain anonymous data on cases and support office operations relating to cases from MINURSO, MINUSTAH, UNDOF, UNFICYP, UNIFIL, UNMIK, UNMIL, UNMIT and UNOCI, which cover about 8,000 staff who are not served by the regional Ombudsmen. The incumbent would also assist in generating reports, help to maintain the confidential database and assist in the intake and tracking of the

approximately 400 cases expected to be received from peacekeeping personnel and provide support to the Senior Conflict Resolution Officer in his/her ability to identify systemic issues and to service approximately 50 high-risk cases in a timely manner.

568. Currently these functions are not sufficiently performed, and with the set-up of the regional branches in Khartoum and Kinshasa, the need for consistent case-processing and tracking is expected to increase.

(e) **Analysis of resource requirements**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$1 157.9	\$110.1	10.5%

569. The provision of \$1,157,900 would cover salaries, common staff costs and staff assessment for the seven continuing posts and one proposed new post. The variance is attributable to increased standard costs, with the application of the projected vacancy rates of 12 per cent to the computation of requirements for one continuing Professional post at Headquarters and 50 per cent for the proposed new General Service post. Mission-specific salary costs and turnover factors based on past performance have been applied to six continuing posts in the regional offices.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$168.0	\$168.0	—

570. The proposed requirements in the amount of \$168,000 would cover the establishment of one new general temporary assistance position of Case Officer at the P-4 level for the Ombudsman's Office at Headquarters to handle cases originating from peacekeeping personnel other than those covered by the regional branches in Kinshasa and Khartoum. One P-4 Case Officer post in the Office of the Ombudsman was discontinued with the establishment of the new administration of justice system effective 1 July 2009. The experience of the past period has shown that the discontinuation of the post had an adverse impact on the operation of the office and its ability to quickly resolve all cases originating from peacekeeping personnel. The incumbent would service up to 80 cases not covered by the regional Ombudsmen, namely those originating from MINURSO, MINUSTAH, UNDOF, UNFICYP, UNIFIL, UNMIK, UNMIL, UNMIT and UNOCI, which cover more than 8,000 staff. The establishment of new regional Ombudsman branches requires additional capacity in the management of operations between Headquarters and the regional branch, which involves the accurate tracking and effective processing and tracking of approximately 400 expected cases from peacekeeping missions in conformity with the operating procedures of the Ombudsman and Mediation Services at Headquarters. The incumbent would also assist the Senior Conflict Resolution Officer in handling queries, consultations and requests for comments from other components of the administration of justice system relating to peacekeeping field cases, oversee the proper case tracking of all 400 cases received from peacekeeping personnel and ensure that cases are handled in a consistent manner. The incumbent would assist in developing case-handling procedures for all peacekeeping cases, share information and lessons learned with the regional Ombudsmen and monitor consistency in approach.

571. The Office of the Ombudsman expects to receive a minimum of 400 cases from peacekeeping personnel during 2010/11. Approximately 135 cases will be received by the regional branch in UNMIS and the same number will be received by the regional branch in MONUC. The P-5 Senior Conflict Resolution Officer at Headquarters will service up to 50 high-risk cases as assigned by the Ombudsman.

572. It is proposed that the remaining 80 cases expected to originate from staff in MINURSO, MINUSTAH, UNDOF, UNFICYP, UNIFIL, UNMIK, UNMIL, UNMIT and UNOCI be serviced through the P-4 Case Officer at Headquarters until the Office has gained experience regarding the caseload and operations of the regional branches.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$139.7	(\$6.6) (4.5%)

573. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/consultation	103 000	10 visits to peacekeeping operations to provide on-site ombudsman and mediation services including travel in the mission area by the Regional Ombudsmen
Seminars/conferences/workshops	21 200	Resolution of employment-related problems in at least 400 cases, including the provision of mediation services by the Mediation Division
Training	15 500	Resolution of employment-related problems in at least 400 cases, including the provision of mediation services by the Mediation Division
<b>Total</b>	<b>139 700</b>	

574. An amount of \$103,000 is proposed for travel to undertake mission planning, assessment and consultation activities: the provision of \$55,000 would allow for travel of the United Nations Ombudsman and one staff member to UNIFIL, UNDOF, UNOCI and UNFICYP to provide on-site ombudsman services and analyse cases; the provision of \$48,000 would allow the Regional Ombudsmen and one staff member to travel to peacekeeping missions within the region to provide on-site ombudsmen services and analyse cases covering MINURCAT, MONUC, UNAMID and UNMIS.

575. An amount of \$21,200 is proposed for the travel of the United Nations Ombudsman, the regional Ombudsmen and one staff member to participate in and attend training at the annual conference of the International Ombudsman Association in the United States.

576. An amount of \$15,500 is proposed for travel of the two regional Ombudsmen to attend training in the United Kingdom of Great Britain and Northern Ireland to develop and enhance mediation skills to provide better services within the area of responsibility of the regional branch.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$1.5	(\$2.0)	(57.1%)

577. The proposed amount of \$1,500 would provide for the acquisition of office supplies for the one continuing post at Headquarters, one proposed new post and one new general temporary assistance position. The variance is attributable to the discontinuation in 2010/11 of the provision made in the 2009/10 budget for the acquisition of office supplies for six posts located in the two regional offices.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$9.8	(\$0.6)	(5.8%)

578. The estimate of \$9,800 would provide for commercial communications, at the standard rate derived from past expenditure patterns, for one continuing post at Headquarters, one proposed new post and one new general temporary assistance position, as well as for the acquisition of standard communications equipment (telephone sets) and five BlackBerries and the holding of 12 videoconferences. The variance is attributable to the discontinuation in 2010/11 of the provision made in the 2009/10 budget for the standard commercial communications rate for six posts located in the two regional offices.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$8.8	(\$3.2)	(26.7%)

579. The estimate of \$8,800 would cover requirements for one continuing post, one proposed new post and one new general temporary assistance position and would provide for the maintenance and repair of information technology equipment based on standard service-level agreements established by the Office of Information and Communications Technology (\$4,700). The Office of the Ombudsman's support account share of the central information technology infrastructure costs (information storage and backup, application hosting and departmental servers) is covered by the Executive Office of the Secretary-General. The variance is attributable to the additional requirements related to the proposed new post and general temporary assistance, offset by the discontinuation in 2010/11 of the provision made in the 2009/10 budget for the standard service-level agreement fees for six posts located in the two regional offices.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$29.8	\$5.3	21.6%

580. The proposed amount of \$9,400 would provide for website maintenance, database maintenance, production, translation and distribution of 1,000 brochures on the responsibility, awareness and staff assistance of the Ombudsman's Office to peacekeeping missions and the regional offices. The provision of \$20,400 is also proposed for training fees of four staff relating to an advanced conflict-resolution class at the annual conference of the International Ombudsman Association (\$6,400) as well as training fees for the two regional Ombudsmen to attend mediation skills

training (\$14,000). The variance is attributable mainly to the new requirements for the mediation skills training class.

## **G. Ethics Office**

### **(a) Results-based-budgeting framework**

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Increased number of ethics-related training and briefing sessions provided for peacekeeping personnel at Headquarters and in missions (2008/09: 3; 2009/10: 5; 2010/11: 6)</p> <p>3.2 Steady rate of compliance with the requirements of the financial disclosure programme (2008/09: 99 per cent; 2009/10: 100 per cent; 2010/11: 100 per cent)</p> <p>3.3 Increased percentage of completed responses in relation to the total volume of ethics-related queries and requests received by the Ethics Office (2008/09: 92 per cent; 2009/10: 94 per cent; 2010/11: 95 per cent)</p>
<i>Outputs</i>	
<ul style="list-style-type: none"> <li>• An assessment of ethics training requirements for the staff in field missions and development of ethics-related training modules</li> <li>• Ethics training and briefings for 150 staff members at United Nations Headquarters and in field missions (tentatively UNMIS, UNAMID, MONUC, UNIFIL)</li> <li>• Provision of substantive support to relevant offices in the provision of ethics-related training</li> <li>• Administration of an estimated 1,600 financial disclosure or declaration of interest forms filed in the context of the financial disclosure programme from peacekeeping-related staff at Headquarters and in field missions</li> <li>• Four visits to peacekeeping missions to resolve instances of non-compliance with the financial disclosure programme and/or other unresolved ethics-related issues (UNMIS, UNAMID, MONUC, UNIFIL)</li> <li>• Provision of ethics-related advice and policy support, including advice on the policy for protection of staff against retaliation for reporting misconduct and for cooperating with duly authorized audits and investigations, to peacekeeping staff members at Headquarters and in field missions</li> <li>• Annual Secretary-General's report on the activities of the Ethics Office</li> </ul>	
<i>External factors</i>	
Cooperation of external parties with preliminary reviews and sharing of all information	

**(b) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09)	Apportionment (2009/10)	Cost estimates (2010/11)	Variance	
				Amount	Percentage
	(1)	(2)	(3)	(4)=(3)-(2)	(5)=(4)÷(2)
I. Post resources	—	—	—	—	—
II. Non-post resources					
General temporary assistance	191.6	260.6	265.6	5.0	1.9
Consultants	729.4	732.5	723.9	(8.6)	(1.2)
Official travel	19.0	47.8	47.8	—	—
Facilities and infrastructure	1.0	1.0	1.0	—	—
Communications	4.2	2.8	2.8	—	—
Information technology	4.7	3.1	3.1	—	—
<b>Subtotal II</b>	<b>949.9</b>	<b>1 047.8</b>	<b>1 044.2</b>	<b>(3.6)</b>	<b>(0.3)</b>
<b>Total</b>	<b>949.9</b>	<b>1 047.8</b>	<b>1 044.2</b>	<b>(3.6)</b>	<b>(0.3)</b>

**(c) Analysis of resource requirements<sup>1</sup>**

	Cost estimates	Variance
<b>General temporary assistance</b>	\$265.6	\$5.0 1.9%

581. The proposed requirements in the amount of \$265,600 would cover the continuation of one general temporary assistance position at the P-3 level and the continuation of one General Service (Other level) position in support of the financial disclosure programme related to peacekeeping personnel serving at Headquarters and in field missions. The variance is attributable to increased standard costs, with the application of the budgeted vacancy rates of 7 per cent and 5.2 per cent to the computation of requirements for the continuing Professional and General Service positions, respectively.

*Ethics Officer (1 P-3 position, continuation)*

*Administrative Assistant (1 GS (OL) position, continuation)*

582. As its core mandate, the Ethics Office administers the financial disclosure programme, which is a continuous annual programme. An external consulting firm performs the reviews, as third-party independence is required. There has been a steady increase in the number of staff participating in the United Nations financial disclosure programme, from 1,062 participants related to peacekeeping in 2007/08, which represents 42 per cent of the total, to approximately 1,518 participants in 2009/10, representing 42 per cent of the total. The number of peacekeeping-related participants is expected to reach 1,600 in the 2010/11 period.

583. The Ethics Office does not have dedicated staff under the regular budget to assist in the administration of the programme, which requires constant follow-up and provision of assistance to staff as well as daily liaison with the external

reviewer in an effort to reach a high overall compliance rate. In addition, approximately 10 per cent of requests for ethics-related advice received by the Office come from peacekeeping staff, and the P-3 Ethics Officer will continue to provide advice and promote the mandate and relevant policies of the Office among peacekeeping staff at Headquarters as well as at field missions. In this context, it is proposed that the two general temporary assistance positions of one Ethics Officer (P-3) and one Office Assistant (GS (OL)) be continued.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Consultants</b>	\$723.9	(\$8.6) (1.2%)

584. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person/month</i>	<i>Amount</i>	<i>Output reference</i>
Training consultant	—	50 000	Ethics training and briefings for staff members in 4 field missions (tentatively UNMIS, UNAMID, MONUC, UNIFIL) and at Headquarters
Financial disclosure programme	—	673 900	Administration of an estimated 1,600 financial disclosure forms or declaration of interest forms filed in the context of the financial disclosure programme from peacekeeping-related staff at Headquarters and field missions
<b>Total</b>		<b>723 900</b>	

585. An amount of \$50,000 is proposed to retain the services of a consultant for the design and delivery of ethics-related training at Headquarters, offices away from Headquarters and peacekeeping missions to fulfil one of the Office's core mandates, namely, ethics training and outreach. There are no dedicated staff available for the design and delivery of ethics-related training, and the Ethics Office has therefore entered into a cost-sharing arrangement with the Office of Human Resources Management to hire a specialized training consultant. The focus in the 2010/11 period will continue to be on training and outreach activities in peacekeeping missions to increase awareness of the Organization's commitment to ethical values and standards and accountability. The consultant would work in close cooperation with the Integrated Training Service of the Department of Peacekeeping Operations to determine which training sessions would be most effective.

586. An amount of \$673,900 is proposed for external consultancy services for the review of staff files in connection with the financial disclosure programme. The Ethics Office gathers and compiles all necessary information and transmits the data to the consultant. The provision is based on the estimated 1,600 peacekeeping staff required to participate in the financial disclosure programme and the consultant fee of \$421 per statement per person. The variance is attributable to the lower number of peacekeeping staff estimated to participate in the programme in 2010/11 compared to 2009/10.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$47.8	—

587. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/ assessment/consultation	23 900	Four visits to peacekeeping missions to address non-compliance with the financial disclosure programme and/or other ethics-related issues
Training	23 900	Ethics Training and briefing for staff members at Headquarters and in four field missions
<b>Total</b>	<b>47 800</b>	

588. An amount of \$23,900 is proposed for the travel of one staff member to four peacekeeping missions to provide on-site assistance and training in relation to the financial disclosure programme as well as to provide guidance on other ethics-related issues, including in relation to protection against retaliation for reporting misconduct and for cooperating with duly authorized audits or investigations.

589. Furthermore, an amount of \$23,900 is proposed for the travel of the consultant to conduct ethics-related training at four peacekeeping missions as part of the cost-sharing arrangement with the Office of Human Resources Management. In close cooperation with the Integrated Training Service, training needs will be identified and conducted with the aim of maximizing the efficiency of ethics-related training in the field and with building local capacity.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Facilities and infrastructure</b>	\$1.0	—

590. The proposed amount of \$1,000 would provide for the purchase of office supplies for two continuing general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Communications</b>	\$2.8	—

591. The estimate of \$2,800 would provide for commercial communications, at the standard rate derived from past expenditure patterns, for two continuing general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Information technology</b>	\$3.1	—

592. The estimate of \$3,100 would provide for the maintenance and repair of information technology equipment based on standard service-level agreements established by the Office of Information and Communications Technology for two



continuing general temporary assistance positions. The Ethics Office's support account share of the central information technology infrastructure costs (information storage and backup, application hosting and departmental servers) is covered by the Executive Office of the Secretary-General.

## H. Office of Legal Affairs

### (a) Results-based-budgeting framework

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Liabilities arising out of peacekeeping operations and activities are minimized to the maximum extent practicable as a percentage of claims made against the Organization (2008/09: actual liability for claims arising out of peacekeeping operations was 27 per cent of the amount claimed; 2009/10: actual liability will be less than 40 per cent of the amount claimed; 2010/11: actual liability will be less than 40 per cent of the amount claimed)</p> <p>3.2 Absence of instances arising out of peacekeeping operations in which, unless waived, status and privileges and immunities of the Organization are not maintained (2008/09: no instances; 2009/10: no instances; 2010/11: no instances)</p>

#### *Outputs*

Provision of 15 work-years of legal support and assistance in the form of legal opinions and advice to all peacekeeping missions, on an as-needed and ongoing basis, regarding:

- 70 legislative aspects of peacekeeping missions, including their governance, and the applicability of United Nations regulations and rules
- 200 institutional and operational arrangements (e.g. status-of-forces, status-of-mission and other similar agreements, as well as general questions of public international law and rules of engagement), including negotiation, interpretation and implementation of agreements with Governments and international organizations concerning such arrangements
- 95 instances of cooperation with ad hoc international criminal tribunals and other tribunals of an international character in connection with their activities arising from or relating to peacekeeping operations, as well as support for the establishment of truth commissions and other commissions of inquiry in the context of peacekeeping operations
- 25 aspects of investigations into allegations of widespread and systematic violations of humanitarian and human rights law
- 495 commercial aspects, including contracts and substantial procurement for supplies, logistical support, insurance, demining and similar operations, disposition of assets and air and sea charter arrangements
- 25 claims with respect to contractual and real property disputes, as well as claims for property damage, personal injury and death

- 15 financial questions, including the formation and interpretation of the financial regulations and rules, treasury operations and complex banking and custody arrangements for peacekeeping operations
- 5 arbitration or litigation instances, including representation of the Organization before arbitral, judicial and other quasi-judicial and administrative bodies
- 50 instances of maintaining the privileges and immunities of the United Nations and its peacekeeping operations before judicial, quasi-judicial and other administrative bodies
- 175 personnel matters, including interpretation and application of the staff regulations and rules, issues of the rights and obligations of staff members, benefits and allowances
- 5 instances in which representation is provided in cases brought under the statute of the United Nations Administrative Tribunal
- 50 legal aspects of security, including the promulgation and application of the security handbook

*External factors*

Member States will be supportive of peacekeeping operations through their legal systems; United Nations units involved in peacekeeping operations will seek legal advice in a timely manner, will provide sufficient information for a full legal analysis and will be guided by the advice rendered

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	—	—	—	—	—	—
P-5	5	—	—	—	5	—
P-4	6	—	—	—	6	—
P-3	1	—	—	—	1	—
P-2/P-1	1	—	—	—	1	—
<b>Subtotal</b>	<b>13</b>	—	—	—	<b>13</b>	—
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	2	—	—	—	2	—
<b>Subtotal</b>	<b>2</b>	—	—	—	<b>2</b>	—
<b>Total</b>	<b>15</b>	—	—	—	<b>15</b>	—

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09) (1)	Apportionment (2009/10) (2)	Cost estimates (2010/11) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	2 036.9	2 520.7	2 823.7	303.0	12.0
II. Non-post resources					
General temporary assistance	—	165.2	311.3	146.1	88.4
Consultants	1 653.4	75.0	—	(75.0)	(100.0)
Official travel	4.5	52.4	38.3	(14.1)	(26.9)
Facilities and infrastructure	6.5	8.0	8.0	—	—
Communications	18.0	24.2	25.4	1.2	5.0
Information technology	30.9	84.1	81.6	(2.5)	(3.0)
Other supplies, services and equipment	3.0	3.0	3.5	0.5	16.7
<b>Subtotal II</b>	<b>1716.3</b>	<b>411.9</b>	<b>468.1</b>	<b>56.2</b>	<b>13.6</b>
<b>Total</b>	<b>3 753.2</b>	<b>2 932.6</b>	<b>3 291.8</b>	<b>359.2</b>	<b>12.2</b>

**(d) Analysis of resource requirements<sup>1</sup>**

	Cost estimates	Variance	
<b>Posts</b>	\$2 823.7	\$303.0	12.0%

593. The provision of \$2,823,700 would cover salaries, common staff costs and staff assessment for 15 continuing posts. The variance is attributable to increased standard costs, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service posts, respectively.

	Cost estimates	Variance	
<b>General temporary assistance</b>	\$311.3	\$146.1	88.4%

594. The proposed requirements in the amount of \$311,300 would cover the continuation of one position at the P-4 level in the General Legal Division and the new requirement of six months of general temporary assistance at the P-4 level to cover maternity and sick leave. The variance is attributable to increased standard costs, with the application of the budgeted vacancy rate of 7 per cent to the computation of requirements for the continuing P-4 position.

	Cost estimates	Variance	
<b>Official travel</b>	\$38.3	(\$14.1)	(26.9%)

595. An amount of \$38,300 is proposed for the travel of two staff members to two field missions to provide advice on issues related to privileges and immunities, criminal accountability of officials and experts serving in peacekeeping missions.

The variance is attributable to a decreased number of planned on-site visits due to the use of videoconferences in lieu of travel.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$8.0	—	—

596. The proposed amount of \$8,000 would provide for the acquisition of office supplies for the 15 continuing posts and 1 continuing general temporary assistance position.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$25.4	\$1.2	5.0%

597. The estimate of \$25,400 would provide for commercial communications, at the standard rate derived from past expenditure patterns, for 15 continuing posts and 1 continuing general temporary assistance position, as well as the costs associated with providing Mobile Office software for three General Legal Division staff members for the purpose of obtaining remote access to network drives while away from the office.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$81.6	(\$2.5)	(3.0%)

598. The estimate of \$81,600 would cover requirements for 15 continuing posts and 1 continuing general temporary assistance position and would provide for the maintenance and repair of information technology equipment based on standard service-level agreements established by the Office of Information and Communications Technology (\$25,000) and the support account share (\$49,500) of central information technology infrastructure costs (information storage and backup, application hosting and departmental servers) derived from past expenditure patterns, as well as for the replacement of standard information technology equipment (\$7,100).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$3.5	\$0.5	16.7%

599. The amount of \$3,500 is proposed for training fees for attendance by Office of Legal Affairs staff at seminars of the Practising Law Institute. The variance is attributable to the increase of the annual fee.

## I. Department of Public Information

### (a) Results-based-budgeting framework

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	1.1 50 per cent of the stories distributed are broadcast or incorporated into web-based news sites by at least 5 regionally represented media outlets (2008/09: 69 per cent; 2009/10: 35 per cent; 2010/11: 50 per cent)

#### *Outputs*

- 20 stories per month on topics related to peacekeeping produced and distributed by satellite through the Associated Press Television News global video wire, which reaches more than 1,000 broadcast points (over 560 broadcasters) globally, and through Reuters and Eurovision
- Reformatting and uploading of 20 peacekeeping-related stories per month to the Web in broadcast quality for download by broadcasters from the Department's UNifeed website
- 5 feature stories a year for the United Nations in Action series on topics related to peacekeeping
- Production of 1 video for non-broadcast purposes, such as presentations to the Security Council and to potential troop-contributing countries, as needed

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
2.1 Rapid deployment and establishment of peacekeeping operations in response to Security Council mandates	<p>2.1 Predeployment mission planning to ensure that mission public information components are adequately planned, resourced and staffed and that communications strategies are prepared to complement the mission concept of operations</p> <p>2.2 Deployment of core public information personnel, in conjunction with the Department of Peacekeeping Operations and the Department of Field Support, 30 to 90 days following a Security Council resolution establishing a new or expanding an existing peacekeeping operation (2008/09: 30 to 90 days; 2009/10: 30 to 90 days; 2010/11: 30 to 90 days)</p>

#### *Outputs*

- Strategic advice and input on the communications aspects of planned, newly established or expanded peacekeeping operations
- Predeployment assessment to ascertain public information requirements and communications plan for planned, newly established or expanded peacekeeping operations
- Identification and technical clearance of at least 200 potential candidates for the public information components of peacekeeping missions

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	3.1 Surveyed peacekeeping operations indicate overall satisfaction with the quality of public information support (2008/09: 100 per cent; 2009/10: 85 per cent; 2010/11: 90 per cent)

*Outputs*

- Provision of strategic guidance and support to 14 field missions (MINURCAT, MINURSO, MINUSTAH, MONUC, support of AMISOM, UNAMID, UNDOF, UNFICYP, UNIFIL, UNMIK, UNMIL, UNMIS, UNMIT and UNOCI) in formulating and implementing public information strategies; field visits to 4 peacekeeping missions (MINUSTAH, MONUC, UNAMID and UNMIS) to provide communications guidance and support on site
- 1 week specialized training course in cooperation with the Department of Peacekeeping Operations and the Department of Field Support for mission and Headquarters public information personnel involved in peacekeeping matters
- Substantive update and maintenance of approximately 120 Headquarters-hosted web pages for 13 peacekeeping missions (MINURCAT, MINURSO, MINUSTAH, MONUC, support of AMISOM, UNAMID, UNDOF, UNFICYP, UNIFIL, UNMIL, UNMIS, UNMIT and UNOCI)
- Serving as mission Headquarters focal point for the UNLB-hosted content management system introduced for local mission websites, in cooperation with the Departments of Peacekeeping Operations and Field Support, to ensure a system with consistent branding and content and requiring minimum maintenance cost for the mission
- Further enhancement of the United Nations Headquarters-hosted peacekeeping website through the gradual introduction of a content management system, developed in accordance with United Nations language requirements and accessibility standards and in cooperation with the Office of Information and Communications Technology; continuing update and maintenance of approximately 750 web pages maintained by the Department of Public Information on that site
- Updated policy and guidance manual for public information in United Nations peacekeeping operations
- Briefing of newly appointed mission public information personnel on mission and Headquarters communications requirements and priorities
- Outreach to at least 50 troop-contributing countries and media on mission activities by means of press releases, photos, posters and feature articles sent to major media outlets and permanent missions of the troop- and police-contributing countries and through United Nations information centres and United Nations information services on issues relevant to countries' participation in specific peacekeeping operations

*External factors*

Peacekeeping external partners and stakeholders will cooperate in public information matters

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	—	—	—	—	—	—
P-5	—	—	—	—	—	—
P-4	2	—	—	—	2	—
P-3	—	—	—	—	—	—
P-2/P-1	1	—	—	—	1	—
<b>Subtotal</b>	<b>3</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>3</b>	<b>—</b>
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	1	—	—	—	1	—
<b>Subtotal</b>	<b>1</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>1</b>	<b>—</b>
<b>Total</b>	<b>4</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>4</b>	<b>—</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2008/09) (1)</i>	<i>Apportionment (2009/10) (2)</i>	<i>Cost estimates (2010/11) (3)</i>	<i>Variance</i>	
				<i>Amount (4)=(3)-(2)</i>	<i>Percentage (5)=(4)÷(2)</i>
I. Post resources	644.6	606.7	617.6	10.9	1.8
II. Non-post resources					
General temporary assistance	—	—	—	—	—
Consultants	3.2	—	50.5	50.5	—
Official travel	74.7	71.9	66.4	(5.5)	(7.6)
Facilities and infrastructure	2.0	2.0	2.0	—	—
Communications	5.6	5.6	5.6	—	—
Information technology	5.0	11.3	13.7	2.4	21.2
Other supplies, services and equipment	3.1	6.5	6.0	(0.5)	(7.7)
<b>Subtotal, II</b>	<b>93.6</b>	<b>97.3</b>	<b>144.2</b>	<b>46.9</b>	<b>48.2</b>
<b>Total</b>	<b>738.2</b>	<b>704.0</b>	<b>761.8</b>	<b>57.8</b>	<b>8.2</b>

**(d) Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$617.6	\$10.9	1.8%

600. The provision of \$617,600 would cover salaries, common staff costs and staff assessment for four continuing posts. The variance is attributable to increased standard costs, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Consultants</b>	\$50.5	\$50.5	100.0%

601. The consultancy requirements are as follows:

(United States dollars)

<i>Expertise</i>	<i>Person/ month</i>	<i>Amount</i>	<i>Output reference</i>
Specialized training in communications technologies	—	12 000	1-week specialized training course in cooperation with DPKO and DFS for 25 mission and Headquarters public information personnel involved in peacekeeping matters
Web content management system	—	38 500	Enhancement of the Headquarters-hosted peacekeeping website through the gradual introduction of a content management system, a centrally hosted system and continuing update and maintenance of approximately 750 DPI-maintained web pages on that site
<b>Total</b>		<b>50 500</b>	

602. The provision of \$38,500 would cover fees to engage services of an individual contractor for deploying a web-based content management system needed to maintain the timeliness, accuracy and relevance of the ever-expanding peacekeeping website in the most cost-efficient and comprehensive manner, including the associated cost of redesign and migration in all six official United Nations languages of the first 150 pages of existing content (first stage of the project) from the current static HTML pages to the web-based content management system, in conformity with the General Assembly's requirements of multilingualism and accessibility for the disabled.

603. The provision of \$12,000 would cover the fees for two training consultants to conduct a one-week specialized training course for approximately 25 peacekeeping mission and Headquarters public information personnel involved in peacekeeping matters. The training course would cover changes occurring in the world of media and communications and require the input of outside experts to impart the newest developments and the most recent communications technologies.



	<i>Cost estimates</i>	<i>Variance</i>	
<b>Official travel</b>	\$66.4	(\$5.5)	(7.6%)

604. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/ assessment/consultation	26 500	Provision of strategic guidance and support on site to peacekeeping missions in formulating and implementing public information strategies
Training	39 900	1-week specialized training course in cooperation with DPKO and DFS for mission and Headquarters public information personnel involved in peacekeeping matters
<b>Total</b>	<b>66 400</b>	

605. An amount of \$26,500 is proposed for the travel of one staff member to four peacekeeping missions (MINUSTAH, MONUC, UNAMID and UNMIS) to work directly with mission personnel in the development and improvement of communications strategies and to plan activities to enhance the implementation of the public information plan of action.

606. An amount of \$39,900 is proposed for the travel of two consultants and three Headquarters staff to conduct and facilitate a one-week specialized training course at UNLB on media relations, policy coordination with partners and strategic, operational and logistical planning, as well as on the most recent technical developments in the field of broadcasting and information technology. Given the rapid changes occurring in the world of media and communications, the course requires the input of outside experts in those fields since the necessary expertise is not available in-house. Previous experience has shown that one professional course facilitator/instructor with a strong and contemporary communications background and at least one technical communications expert/instructor with practical knowledge of the most modern communications techniques and technology appropriate for field conditions would be required.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$2.0	—	—

607. The proposed amount of \$2,000 would provide for the acquisition of office supplies for four continuing posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$5.6	—	—

608. The estimate of \$5,600 would provide for commercial communications, at the standard rate derived from past expenditure patterns, for four continuing posts.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$13.7	\$2.4	21.2%

609. The estimate of \$13,700 would cover requirements for four continuing posts and would provide for the maintenance and repair of information technology equipment based on standard service-level agreements established by the Office of Information and Communications Technology (\$6,200) and the support account share (\$5,100) of the central information technology infrastructure costs (information storage and backup, application hosting and departmental servers) derived from past expenditure patterns. The variance is attributable to the replacement of standard information technology equipment (\$2,400).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$6.0	(\$0.5)	(7.7%)

610. The proposed amount of \$6,000 would provide for the rental of equipment and the purchase of training materials to conduct a one-week training course at UNLB.

## J. Department of Safety and Security

### (a) Results-based-budgeting framework

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 Implementation by peacekeeping operations of the Department's recommendations on security standards, policy, guidance, directives, plans, procedures and security management reviews (2008/09: 78 per cent; 2009/10: 100 per cent; 2010/11: 100 per cent)</p> <p>3.2 Deployment of 100 per cent of contingency assistance staff from Headquarters within 72 hours (2008/09: 100 per cent and 72 hours; 2009/10: 100 per cent and 72 hours; 2010/11: 100 per cent and 72 hours)</p>

#### *Outputs*

#### **Peacekeeping Operations Support Section**

- 36 review reports on security management for field operations and logistics and communications facilities; review of security-related budget proposals and performance reports for 14 field operations and UNLB; review of 34 mission security assessments prepared by field operations and UNLB
- Provision of training on security management, policy and emerging issues/threats; training of security management teams (110 personnel); annual workshop in Brindisi for 14 field operations and UNLB (20 senior security personnel); 1 specialized course on hostage incident management for security coordination officers (4 personnel)
- Compilation of 261 daily security inputs to the daily security report for peacekeeping and security focal points in the field and 4 quarterly security status reports on 14 field operations

- Daily substantive security briefings and presentations on threat and mandate implementation to senior field personnel and personnel from agencies, funds and programmes

### **Threat and Risk Unit**

- 8 strategic threat assessments for 8 peacekeeping operations
- Development, coordination and monitoring of technical standard operating procedures relevant to the collection, collation and analysis of security information in support of joint mission analysis centres, security information operations centres and security information units in peacekeeping operations
- Development of 8 training modules and 25 lessons on the analysis of security threat and risk for joint mission analysis centres, security information operations centres and security information units and development of best practices for all peacekeeping operations
- Conduct of 2 security information management courses for a total of 40 security information analysts from peacekeeping operations

### **Mission Support Unit**

- Training on safety and security policies and procedures for personnel, security officers and approximately 25 instructors, including on use of force; use of lethal and less lethal tactical measures; fire safety; hazardous materials equipment usage; prevention and evacuation procedures (4 peacekeeping operations, approximately 273 officers); and perimeter security training, including physical security; access control; screening procedures; and surveillance detection (3 peacekeeping operations, approximately 205 officers)
- Instructor assessment, certification and recertification in the use of lethal and less lethal tactics for 25 firearms training officers and instructor trainers in 12 field operations
- Evaluation of security training units, facilities and equipment in 4 peacekeeping operations to ensure quality and consistency of instructors, management and delivery of security training modules and programmes to some 1,200 security officers working in peacekeeping operations

### **Training and Development Section**

- Development and delivery of 4 close protection certification courses for 96 close protection officers

### **Critical Incident Stress Management Unit**

- Rapid deployment of stress counsellors for the provision of emergency critical incident stress management in 2 peacekeeping operations and provision of needs assessment of and technical services on psychosocial well-being in 9 peacekeeping operations
- Training and certification on critical incident stress prevention and management for 10 counsellors in peacekeeping operations and peer helper workshops and stress management sessions for 30 counsellors in 2 peacekeeping operations
- Provision of technical guidance to 10 senior counsellors in all peacekeeping operations and assessment, interviews and clearance of 150 candidates for counselling positions in all peacekeeping operations

---

#### *External factors*

United Nations peacekeeping partners and local institutions will cooperate on security matters, and the necessary staffing requirements will be maintained

---

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	—	—	—	—	—	—
P-5	1	—	—	—	1	—
P-4	6	—	—	—	6	—
P-3	5	—	—	1	6	1
P-2/P-1	1	—	—	—	1	—
<b>Subtotal</b>	<b>13</b>	<b>—</b>	<b>—</b>	<b>1</b>	<b>14</b>	<b>1</b>
<b>General Service and other</b>						
Principal level	—	—	—	—	—	—
Other level	2	—	—	—	2	—
Security Service	3	—	—	—	3	—
<b>Subtotal</b>	<b>5</b>	<b>—</b>	<b>—</b>	<b>—</b>	<b>5</b>	<b>—</b>
<b>Total</b>	<b>18</b>	<b>—</b>	<b>—</b>	<b>1</b>	<b>19</b>	<b>1</b>

**(c) Financial resource requirements**

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2008/09) (1)</i>	<i>Apportionment (2009/10) (2)</i>	<i>Cost estimates (2010/11) (3)</i>	<i>Variance</i>	
				<i>Amount (4)=(3)-(2)</i>	<i>Percentage (5)=(4)÷(2)</i>
I. Post resources	2 804.6	2 771.4	2 900.7	129.3	4.7
II. Non-post resources					
General temporary assistance	—	—	338.2	338.2	—
Consultants	—	—	—	—	—
Official travel	492.3	986.9	1 052.6	65.7	6.7
Facilities and infrastructure	8.7	9.0	10.0	1.0	11.1
Communications	13.3	25.2	38.4	13.2	52.4
Information technology	30.2	63.6	76.4	12.8	20.1
Other supplies, services and equipment	25.8	523.5	9.9	(513.6)	(98.1)
<b>Subtotal II</b>	<b>570.3</b>	<b>1 608.2</b>	<b>1 525.5</b>	<b>(82.7)</b>	<b>(5.1)</b>
<b>Total</b>	<b>3 374.9</b>	<b>4 379.6</b>	<b>4 426.2</b>	<b>46.6</b>	<b>1.1</b>

**(d) Justification of posts**

611. The Department of Safety and Security was established pursuant to General Assembly resolution 59/276, effective 1 January 2005. Posts funded from the support account for the Security and Safety Service (1 P-3, 1 P-2 and 3 SS posts) and the Office of the United Nations Security Coordinator (1 P-5, 4 P-4 and 2 GS (OL) posts) were transferred to the newly established Department of Safety and Security, as detailed in the 2005/06 support account budget report (A/59/730).

612. The provisions of resolution 59/276 called for the urgent implementation of a unified and strengthened security management system. In implementing the resolution in peacekeeping operations, the Headquarters and mission security components were integrated into a single security structure. The staffing establishment of the Department of Safety and Security currently includes 13 Professional, 2 General Service (Other level) and 3 Security Service posts funded from the support account as follows: the Peacekeeping Operations Support Section of the Division of Regional Operations comprises 11 Security Coordination Officers (1 P-5, 4 P-4, 4 P-3 and 2 Administrative Assistants (GS (OL))) and 1 Security Information Officer (P-4) in the Threat and Risk Unit; the Mission Support Unit of the Security and Safety Service includes 1 Training Coordinator (P-3), 1 Associate Training Officer (P-2) and 3 Training Officers (SS). The Critical Incident Stress Management Unit of the Field Support Service consists of one Stress Counsellor (P-4).

**Critical Incident Stress Management Unit***Stress Counsellor (1 P-3, new)*

613. The Department of Safety and Security is responsible for the development of a comprehensive United Nations policy regarding the management of critical incident stress, including gender-specific requirements; provision of a rapid response to all critical incidents in field locations and coordination at the field level and at Headquarters, including the death of staff members under malicious circumstances, hostage-taking and evacuations; provision of appropriate stress debriefing and counselling to all affected staff, including on gender-specific issues, and ensuring that such assistance is available; establishing and providing stress management training, including organizing peer helper training in peacekeeping missions and conducting certification training for counsellors in their respective regions, and preparing appropriate stress management training materials for the field; and chairing an inter-agency working group on stress management. The Staff Counsellor's Office of the Office of Human Resources Management provides predeployment briefing training and post-deployment training for staff. Its activities address issues relating to the well-being of staff from Headquarters preparing to deploy to the field or field staff coming to Headquarters.

614. The Critical Incident Stress Management Unit of the Field Support Service provides daily coordination and support in critical incident stress prevention and management to all peacekeeping operations, special political missions and the United Nations-wide system. The Unit currently consists of eight officers; five Professional and two General Service staff funded by the agencies, funds and programmes (1 P-5, 4 P-4, 2 GS (OL)), and one Counsellor at the P-4 level funded from the support account.

615. Due to the growth in requirements for emergency management and counsellor capacity-building in the field, experience has demonstrated that the staffing capacity of one counsellor at the P-4 level at Headquarters is unable to accomplish the coordination and managerial responsibilities necessary to ensure that field staff are effectively supported in a timely manner. For example, mission assistance visits are undertaken to fewer than half of the field operations that are in need of them in order to meet other demands and to ensure that 36 field counsellors are adequately trained in peacekeeping operations. Furthermore, considering the volatile environment in field operations and crisis incidents such as the recent earthquake in Haiti, the types and quality of counselling services demanded has expanded. As a result, the 36 field counsellors in peacekeeping operations require increased technical support, coaching and coordination from the counsellor based at Headquarters in order to perform their daily work effectively. Accordingly, it is proposed that one post at the P-3 level be established.

(e) **Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Posts</b>	\$2 900.7	\$129.3	4.7%

616. The provision of \$2,900,700 would cover salaries, common staff costs and staff assessment for the 18 continuing posts and 1 proposed new post. The variance is attributable to increased standard costs and the proposed establishment of one new post, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional, General Service and Security Service posts, respectively, and 65 per cent for the proposed new Professional post.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>General temporary assistance</b>	\$338.2	\$338.2	—

617. The proposed requirements in the amount of \$338,200 would cover the establishment of one new general temporary assistance position and 14 person-months, as described below.

**Field Support Service, Training and Development Section**

*Close Protection Training Officer (1 P-4 position, new)*

*Close Protection Training Officer (1 P-3 position, 7 months, new)*

*Medical Training Officer (1 P-3 position, 7 months, new)*

618. The current staffing complement of seven Training Officers in the Training and Development Section are funded from the jointly financed account through a global cost-sharing mechanism. The Officers perform security certification workshops for new security advisers, training for chief security advisers, field training of country security management teams, hostage incident management training and medical emergency training. Owing to the increasingly volatile security environment, however, all peacekeeping operations are requesting critical training for which demands have now exceeded the Service's staffing and funding capacity. For

example, the increasing risk profile of the United Nations since the bombing in Baghdad and more recently in Algiers and Afghanistan has necessitated the close protection of high-profile senior staff members. As a result of a shortage of trained close protection officers and an inability to rapidly train existing United Nations staff for close protection security services, the Departments of Peacekeeping Operations and Safety and Security acquired the support of Member States to provide seconded staff for close protection teams, qualified on the basis of country-specific standards.

619. As at January 2009, the seconded staff comprised five teams of 12 persons each. In addition to the standard training mandate, the Security and Safety Service provided close protection training sessions on a temporary basis in the past. While there are five posts funded from the support account and three posts funded from the regular budget in the Service, the training officers provide technical training to approximately 1,400 international and 2,200 national security officers serving in peacekeeping missions and 400 security officers of the Service at Headquarters in rudimentary safety and security; firearms instructor certification; weapons qualification and requalification; personal defence tactics; surveillance detection; firearms and other equipment use; fire safety; security officer induction training; and first aid. Owing to the lack of staffing capacity in the Service and growing requirements for close protection skills, this short-term solution is not sustainable. As a result, training has not been fully effective or available for all close protection officers. Moreover, close protection security training and the training of seconded officers have not been based on a common United Nations system close protection policy and guidance or an agreed United Nations system training programme or standard. Thus, a memorandum of understanding was signed on 5 August 2009 covering a two-year period to establish a training programme and deliver a close protection standard.

620. In this context, general temporary assistance positions at the P-4 level for 12 months and at the P-3 level for 7 months are proposed to develop, design and deliver the close protection training programme for approximately 96 close protection officers, which would include a standard, basic and advanced curriculum and participant assessments and recertification criteria; establish a standardized qualification for close protection; expand and enhance the certification database for close protection officers in peacekeeping missions; and perform assessment and selection of close protection officers for field operations.

621. Furthermore, with the exception of the staffing capacity dedicated to deliver specific and rudimentary security training as described above, there are no support account-funded resources for training conducted for peacekeeping mission staff. Nevertheless, the Department of Safety and Security continues to support the training of peacekeeping personnel with temporary assistance funded from the jointly financed account. While the medical section of the Department of Field Support conducts pre- and post-deployment visits, the mobile medical training team of the Training and Development Section is currently designing training programmes for emergency trauma bag/basic first-aid and mass casualty incident planning. Medical safety is not currently covered by the Departments of Peacekeeping Operations or Field Support and has not been considered under the 2010/11 proposal of the field safety programme under the Office of the Under-Secretary-General for Peacekeeping Operations. Furthermore, the field safety programme would cover uniformed personnel, whereas the mandate of the

Department of Safety and Security is to serve civilian personnel. Therefore, the establishment of one general temporary assistance position for seven months for a Medical Training Officer is proposed to perform the following tasks: continue to develop a medical training programme that would include a standard, basic and advanced curriculum, participant assessments and recertification criteria, establish a standardized qualification in the medical area, expand and enhance the certification database for medical officers in peacekeeping missions and conduct medical training, retraining and certification for officers in peacekeeping missions.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$1 052.6	\$65.7 6.7%

622. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/ assessment/consultation	443 400	36 review reports on security management for field operations and logistics and communications facilities; review of security-related budget proposals and performance reports for 14 field operations and UNLB; review of 34 mission security assessments prepared by field operations and UNLB  8 strategic threat assessments for 8 peacekeeping operations  Provision of needs assessment of and technical services on psychosocial well-being in 9 peacekeeping operations
Technical support	15 300	Rapid deployment of stress counsellors for the provision of emergency critical incident stress management in 2 peacekeeping operations
Training	593 900	Provision of training on security management, policy and emerging issues/threats: security management team training (110 personnel); annual workshop in Brindisi for 14 field operations and UNLB (20 senior security personnel); 1 specialized course on hostage incident management for security coordination officers (4 personnel)  Conduct of 2 security information management courses for a total of 40 security information analysts from peacekeeping operations  Evaluation of security training units, facilities and equipment in 4 peacekeeping operations to ensure quality and consistency of instructors, management and delivery of security training modules and programmes to some 1,200 security officers working in peacekeeping operations  Training and certification on critical incident stress prevention and management for 10 counsellors in peacekeeping operations and peer helper workshops and stress management sessions for a total of 30 counsellors in 2 peacekeeping operations



<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
		Training on safety and security policies and procedures for personnel, security officers and approximately 25 instructors, including on use of force; use of lethal and less lethal tactical measures; fire safety; hazardous materials equipment usage; prevention and evacuation procedures (4 peacekeeping operations); and perimeter security training, including physical security; access control; screening procedures and surveillance detection (3 peacekeeping operations)
<b>Total</b>	<b>1 052 600</b>	

623. An amount of \$443,400 is proposed for travel to undertake the following mission-planning, assessment and consultation activities: senior staff are to visit 13 peacekeeping operations, UNLB, the secondary active telecommunications facility in Valencia, Spain, and the Entebbe, Uganda, logistics hub to conduct security management reviews (\$327,900), including inspection and evaluation of compliance with security plans, as well as updates and modifications to security plans. The amount proposed would also allow for senior staff to deliver training on the same trips for security management teams at UNLB; senior security officers to travel to 11 peacekeeping missions to conduct strategic/operational security assessments (\$56,900); needs assessment of and provision of support services on psychosocial well-being to personnel in 9 peacekeeping operations (\$58,600), including psychosocial mitigating measures, team-building, stress management, burnout, coping with change, conflict management and coping with loss and death.

624. An amount of \$15,300 is proposed for travel resources in connection with the rapid deployment of the Stress Counsellor for the provision of emergency critical incident stress management in two peacekeeping operations.

625. An amount of \$593,900 is proposed for travel in connection with the following training provided to security officers: Peacekeeping Operations Support Section-directed security training workshop for senior field security officers at UNLB (\$66,600); Threat and Risk Unit-directed security information management training courses at UNLB (\$60,000); on-site assessment and evaluation of the delivery of training modules by field security instructors, update on training policies and standard operating procedures, training of field instructors, including certification and recertification, and field security officers on specialized training modules, such as firearms training and certification, skill enhancement training, defensive tactics and security awareness (\$343,100); skills development training for Headquarters Security and Safety Service instructors for certification or recertification in specialized areas (\$15,800); training of Headquarters Peacekeeping Operations Support Section security coordination officers in hostage incident management (\$37,100); training-of-trainers workshops on critical incident stress intervention, including skills and knowledge development, with a view to building cells in the field on the subject to improve emergency response and psychosocial services in field operations and provide a standardized approach (\$35,900); four close protection courses for 96 officers serving in field operations (\$35,400).

626. The variance is attributable to travel related to increased security assistance visits and security management reviews, which are determined in coordination with the Peacekeeping Operations Support Section on the basis of elevated security threats for selected missions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$10.0	\$1.0	11.1%

627. The proposed amount of \$10,000 would provide for the rental of office equipment and the acquisition of office supplies for 18 continuing posts, 1 proposed new post and 1 general temporary assistance position. The variance is attributable to additional requirements related to the proposed new post and general temporary assistance position.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$38.4	\$13.2	52.4%

628. The estimate of \$38,400 would provide for commercial communications, at the standard rate derived from past expenditure patterns, for 18 continuing posts, 1 proposed new post and 1 general temporary assistance position, as well as for the acquisition of standard communications equipment (telephone sets). The variance is attributable to the replacement of four satellite telephones and eight BlackBerry devices previously funded by the jointly financed account utilized by posts funded from the support account.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$76.4	\$12.8	20.1%

629. The estimate of \$76,400 would cover requirements for 18 continuing posts, 1 proposed new post and 1 general temporary assistance position and would provide for the maintenance and repair of information technology equipment based on the standard service-level agreements established by the Office of Information and Communications Technology (\$31,200) and the support account share (\$35,500) of the central information technology infrastructure costs (information storage and backup, application hosting and departmental servers) derived from past expenditure patterns, as well as the acquisition of standard information technology equipment for the proposed new post and general temporary assistance position (\$9,700). The variance is attributable to the additional requirements related to the proposed new post and general temporary assistance position and the replacement of four laptop computers.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Other supplies, services and equipment</b>	\$9.9	(\$513.6)	(98.1%)

630. The proposed amount of \$9,900 would provide for the cost of training materials and supplies related to basic safety and security training and training-of-trainers workshops for field security officers and fees for the participation of Security and Safety Service training instructors in skills development training for certification or recertification in specialized areas. The variance is attributable to the one-time start-up acquisition of firearms and ammunition for the close protection training programme approved in 2009/10.

## K. Office of Information and Communications Technology

### (a) Results-based-budgeting framework

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
3.1 Increased efficiency and effectiveness of peacekeeping operations	<p>3.1 99 per cent availability of ICT infrastructure and enterprise information systems for all peacekeeping missions (2008/09: 99 per cent; 2009/10: 99 per cent; 2010/11: 99 per cent)</p> <p>3.2 Implementation of ICT systems in field operations accessible by 25 per cent of the user base in the field (2008/09: 20 per cent; 2009/10: 20 per cent; 2010/11: 25 per cent)</p> <p>3.3 75 per cent of surveyed field personnel are fully satisfied with ICT services (2008/09: not applicable/not available; 2009/10: not applicable/not available; 2010/11: 75 per cent)</p>

#### *Outputs*

- Support for connectivity of 4 systems for all field operations: Intranet, IMIS, Galaxy and Citrix
- Support and maintenance of the DPKO/DFS data centre and network infrastructure for dedicated data, voice and fax channels, including servers, storage, e-mail and BlackBerry infrastructure at Headquarters to support communications with the field
- Support and maintenance of a document storage system enabling secure communications and sharing of sensitive information over the Internet between Headquarters and the field
- Provision of secure user identification for remote access to a virtual private network and for access to 4 systems: IMIS, Mobile Office, ODS and the Internet protocol user address system
- Implementation of the enterprise information portal for all field personnel to increase productivity through personalized web portal and efficient collaboration tools
- Development and implementation of an enterprise identity management system in 6 select field operations as an authoritative source of information on the identity of field personnel in order to authenticate customer relationship management and enterprise content management applications
- Implementation of a fuel management system to facilitate the effective management of fuel use for fuel units in 8 peacekeeping operations (MINUSTAH, UNIFIL, UNDOF, UNMIL, UNMIS, UNAMID, MONUC and UNOCI)
- Development of a rations management system to facilitate the effective management of rations provision to formed military units and pilot implementation in 2 selected field operations
- Maintenance of the Galaxy recruitment system during the period of transition to a new recruitment system
- Deployment of 6 enterprise content management solutions in support of the peacekeeping reporting process automation project; support of peacekeeping reporting framework, doctrine and guidance repository projects; correspondence management; case management; basic content management; and records management

- Deployment of 2 types of service delivery management solutions: the troop contribution management project and the peacekeeping telecommunications billing project, using the customer relationship management system in 6 field operations
- 4 trips to select field operations to assess alignment between strategic programmes and information systems delivery, including planning related to the deployment of enterprise-wide systems

---

*External factors*

Security considerations in peacekeeping operations will not prevent the successful implementation of field systems

---

**(b) Human resources requirements**

<i>Category</i>	<i>Approved support account posts 2009/10</i>	<i>Redeployment, reassignment, reclassification</i>	<i>General temporary assistance conversions</i>	<i>Additional new posts requested</i>	<i>Total proposed 2010/11</i>	<i>Change</i>
<b>Professional and above</b>						
Under-Secretary-General	—	—	—	—	—	—
Assistant Secretary-General	—	—	—	—	—	—
D-2	—	—	—	—	—	—
D-1	—	—	—	—	—	—
P-5	—	—	—	—	—	—
P-4	3	—	—	—	3	—
P-3	4	—	—	—	4	—
P-2/P-1	3	—	—	—	3	—
<b>Subtotal</b>	<b>10</b>	—	—	—	<b>10</b>	—
<b>General Service and other</b>						
Principal level	1	—	—	—	1	—
Other level	1	—	—	—	1	—
<b>Subtotal</b>	<b>2</b>	—	—	—	<b>2</b>	—
<b>Total</b>	<b>12</b>	—	—	—	<b>12</b>	—

**(c) Financial resource requirements**

(Thousands of United States dollars)

Category	Expenditures (2008/09) (1)	Apportionment (2009/10) (2)	Cost estimates (2010/11) (3)	Variance	
				Amount (4)=(3)-(2)	Percentage (5)=(4)÷(2)
I. Post resources	596.0	1 815.6	1 848.6	33.0	1.8
II. Non-post resources					
General temporary assistance	103.2	1 666.9	1 946.5	279.6	16.8
Official travel	200.1	674.2	628.8	(45.4)	(6.7)
Facilities and infrastructure	—	11.0	12.0	1.0	9.1
Communications	—	32.6	34.2	1.6	4.9
Information technology	12 044.7	13 026.1	8 573.1	(4 453.0)	(34.2)
Other supplies, services and equipment	—	34.7	75.5	40.8	117.6
<b>Subtotal II</b>	<b>12 348.0</b>	<b>15 445.5</b>	<b>11 270.1</b>	<b>(4 175.4)</b>	<b>(27.0)</b>
<b>Total</b>	<b>12 944.0</b>	<b>17 261.1</b>	<b>13 118.7</b>	<b>(4 142.4)</b>	<b>(24.0)</b>

**(d) Analysis of resource requirements<sup>1</sup>**

Posts	Cost estimates	Variance	
	\$1 848.6	\$33.0	1.8%

631. The provision of \$1,848,600 would cover salaries, common staff costs and staff assessment for 12 continuing posts. The variance is attributable to increased standard costs, with the application of the budgeted vacancy rates of 12 per cent and 7 per cent to the computation of requirements for the continuing Professional and General Service posts, respectively.

General temporary assistance	Cost estimates	Variance	
	\$1 946.5	\$279.6	16.8%

632. The proposed requirements in the amount of \$1,946,500 would cover the continuation of 11 general temporary assistance positions and the establishment of 1 new position.

633. The mandate of the Office of Information and Communications Technology, established by the General Assembly in its resolution 63/262, is to provide strong, central leadership for the establishment and implementation of Organization-wide ICT standards and activities in order to ensure the efficient utilization of resources, modernization of information systems and improvement in the ICT services available to the United Nations. The Office implements enterprise content management and customer relationship management solutions in order to ensure a coordinated approach to the development of enterprise systems, as stressed by the Assembly in section III, paragraph 2, of the resolution. The Office implements other enterprise systems for peacekeeping operations, such as fuel management, rations management, portfolio management and identity management, consistent with

section IV, paragraph 9, of the resolution to pursue an enterprise ICT approach wherever possible. In this context, the proposed general temporary assistance positions are described below.

### **Infrastructure Management Service**

*Information Systems Officers: servers, storage and backup support (2 P-3 positions and a reclassification of 1 P-3 to P-4 position, continuation)*

*Information Systems Officer: virtual server infrastructure and mobile offices (1 P-3 position, continuation)*

*Information Systems Officer: e-mail and Lotus Notes applications and operations (1 P-3 position, continuation)*

*Information Systems Assistants (2 GS (OL) positions, continuation)*

634. The Office of Information and Communications Technology (formerly the Information Technology Services Division) is responsible for the operations of the DPKO/DFS data centre at Headquarters, which provides the following services supported by five Professional posts: server, storage and backup support, management of its network (local/metropolitan area network), Mobile Office and virtual server infrastructure support, and Lotus Notes e-mail and applications administration support, including round-the-clock monitoring, backup, facility management and other related activities. This second- and third-tier support has been provided by the Infrastructure Management Service, and all requests for assistance relating to the data centre have been tracked by two full-time General Service (Other level) staff in the help desk, related primarily to LAN administration issues, such as opening, closing and modifying user accounts. Those functions are of an ongoing operational nature; however conversion of the general temporary assistance positions to posts has been postponed until the outcome of the mandated ICT structural review is assessed.

635. Department of Field Support data comprise approximately 25 per cent of the Office's total backup operations and about 18 per cent of its total storage capacity. The administration of the storage and backup infrastructure associated with this volume of work is performed by two P-3 positions. In addition, the administration of the Department's servers at Headquarters accounts for about 25 per cent of the total Office of Information and Communications Technology infrastructure and is supported by one P-3 position. Given the complexity of this operation, it is proposed that one of the P-3 positions in the server, storage and backup support group be upgraded to the P-4 level to serve as the technical lead to coordinate the numerous mission-critical infrastructure components outlined above. The Department of Peacekeeping Operations and the Department of Field Support, which are supported by one P-3 position, represent 14 per cent of the users at Headquarters, 43 per cent of all Lotus Notes data and 20 per cent of the servers. While the service requests of the two Departments amount to approximately 10 per cent of the total volume of 2009, the two general temporary assistance-funded General Service (Other level) service desk staff have been maintaining two tracking systems to support both the Office of Information and Communications Technology and DPKO/DFS. As the systems are not bridged electronically, the two positions are dedicated to responding to Department of Field Support service requests and copying and pasting the data between the two systems for each service request.

## Field System Service

*Enterprise Content Management Information Systems Officer: peacekeeping reporting process automation project (1 P-3 position, continuation)*

*Customer Relationship Management Project Manager: troop contribution management project (1 P-4 position, reclassification from P-5 to P-4, continuation)*

*Customer Relationship Management Information Systems Officer: troop contribution management project (1 P-3 position, new)*

*Customer Relationship Management Information Systems Officer: peacekeeping telecommunications billing project (1 P-3 position, continuation)*

*Project Manager: rations management (1 P-4 position, continuation)*

636. Given the mandate of the Office of Information and Communications Technology to ensure the efficient utilization of resources, the modernization of information systems and improvement in ICT services, a number of projects are proposed or being implemented for which general temporary assistance is proposed. During the period, it is expected that a number of initiatives launched in the 2009/10 period will continue, for example the peacekeeping reporting process automation project, the troop contribution management project, the peacekeeping telecommunications billing project and the rations management project.

637. In this context, it is proposed that one P-3 general temporary assistance position specializing in taxonomy, business analyst/project management, system development and technical analysis be continued to implement enterprise content management technology to address the automation of peacekeeping reporting processes and knowledge management solutions for field operations.

638. The troop contribution management project seeks to implement a customer relationship management application to provide a single enterprise platform for peacekeeping operations and Headquarters to administer key processes in the contingent-owned equipment framework. This project will automate inspection processes in the missions and integrate with memorandum of understanding and reimbursement modules of existing systems. The project will also provide mobile technology to the users in missions to cut down on the manual tasks they currently perform. As a result there will be improved information flow between administrators and the field, real-time access to inspection data and more accurate calculation of reimbursements. Accordingly, one P-4 and one P-3 general temporary assistance positions are proposed for project management and application support. Specific functions would include: systems analysis, migration of data from existing systems to the new customer relationship management system and working on the required integration between the customer relationship management system and other enterprise-wide systems, such as enterprise content management and enterprise resource planning.

639. The peacekeeping telecommunication billing services project is aimed at improving the quality of the delivery of telecommunications services in field operations by standardizing the business processes and providing a common technological platform for the performance of day-to-day tasks. The proposed solution would leverage the existing customer relationship management platform and would be integrated with the other service types, such as information technology and facilities management. Accordingly, one P-3 general temporary

assistance position is proposed for application development and support. Both customer relationship management projects are clarified in detail under the information technology proposal below.

640. The management system for food rations would fully automate the ordering, inventory tracking, document matching and reporting and performance monitoring functions in peacekeeping operations. It would also provide Headquarters with significantly enhanced capacity to oversee rations contracts globally. It is anticipated that the rations management system will be acquired as a commercial off-the-shelf solution, which would require further customization to cover food ordering processes; inventory management, including shelf-life management, reserves and operational stock management; nutritional metrics and menu planning; food contract management; and so on. Accordingly, one P-4 general temporary assistance position is proposed for project management and application support. Specific functions would include: project management and interactions with software vendors, business analysis, conducting gap analysis between system functionality and the United Nations rations management needs, testing and implementing system enhancements and developing custom reports. The rations management project is clarified in detail under the information technology proposal.

641. The variance reflects requirements particular to the stage of certain information technology projects planned for development or implementation in field operations.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Official travel</b>	\$628.8	(\$45.4) (6.7%)

642. The official travel requirements are described below.

(United States dollars)

<i>Type of travel</i>	<i>Amount</i>	<i>Output reference</i>
Mission planning/assessment/consultation	107 400	—
Technical support	360 400	—
Training	161 000	—
<b>Total</b>	<b>628 800</b>	—

643. An amount of \$107,400 is proposed for travel to four field operations in the African region to assess field operation automation needs, status of field systems and alignment between the Organization's strategic ICT programmes and information systems delivery for field operations.

644. An amount of \$360,400 is proposed for travel to undertake the following technical support activities: coordination of the technical configuration of systems infrastructure for Enterprise Content Management, Customer Relationship Management and ration management field solutions at UNLB (\$44,700), the implementation of the fuel management system in UNAMID, UNAMIS, UNMIL, UNIFIL and MONUC (\$92,800), the implementation of the rations management system in 3 select missions (\$52,500), roll-out of enterprise content management



solutions for the peacekeeping reporting automation process project in 10 select missions (\$159,300) and the installation of a second server at the Entebbe logistics hub to support the enterprise identity management system (\$11,100).

645. An amount of \$161,000 is proposed for travel to undertake training activities covering topics in business process re-engineering; portal design and implementation; information security management; social computing and collaboration; effective management for software provisioning; identity management; service-oriented architecture; data warehousing and business intelligence solutions; emerging technologies; application life-cycle management; and project portfolio management (\$25,700) and to deliver train-the-trainer courses on information technology telecommunications services and the troop-contribution management system (\$135,300).

646. The variance is attributable to the one-time start-up acquisition costs in association with enterprise content management and customer relationship management approved in 2009/10 and requirements particular to the stage of certain information technology projects planned for development or implementation in field operations.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$12.0	\$1.0	9.1%

647. The proposed amount of \$12,000 would provide for the rental of office equipment and acquisition of office supplies for 12 continuing posts and 12 proposed general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Communications</b>	\$34.2	\$1.6	4.9%

648. The estimate of \$34,200 would provide for commercial communications, at the standard rate derived from past expenditure patterns, for 12 continuing and 12 proposed general temporary assistance positions, as well as for the acquisition of standard communications equipment (telephone sets).

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$8 573.1	(\$4 453.0)	(34.2%)

649. The total estimate of \$8,573,100 would cover requirements for information technology projects in the amount of \$8,508,900 and standard information technology equipment and services for 12 continuing posts and 12 proposed general temporary assistance positions in the amount of \$64,200.

650. The amount of \$64,200 would provide for the maintenance and repair of information technology equipment based on the standard service-level agreements established by the Office of Information and Communications Technology (\$37,400) and the support account share (\$25,500) of the central information technology infrastructure costs (information storage and backup, application hosting and departmental servers) derived from past expenditure patterns, as well as for the acquisition of standard information technology equipment (\$1,300).

651. The information systems landscape is driven by both the business needs of the Organization and technology drivers. As indicated by the Secretary-General in his report on investing in an information and communications strategy for the United Nations Secretariat (A/62/793 and Corr.1 and Add.1), the Organization has made a commitment to move towards a coherent, harmonized set of information technology systems. Three systems have been identified as the critical automation keystones: the enterprise resource planning system, the enterprise content management system and the customer relationship management system, each of which supports the effective and efficient management of core business areas. Enterprise resource planning supports the management of the Organization's human, financial and material resources; enterprise content management supports the management of the entire life cycle of various forms of informational content that the Organization uses (such as documents, websites, e-mail, pictures and video); and customer relationship management supports the management and monitoring of a large array of day-to-day services provided by the Organization. The three primary systems form the core of an effective information systems landscape and are addressed in detail in the report of the Secretary-General on enterprise systems for the United Nations Secretariat worldwide (A/62/510/Rev.1) and approved by the General Assembly in its resolution 63/262. These primary systems were further addressed in the report of the Secretary-General on the enterprise content management and customer relationship management systems and proposal for a unified disaster recovery and business continuity plan (A/64/477). In its resolution 64/243, paragraphs 125 and 126, the General Assembly supported the continuation of those applications and requested a fully justified proposal for post and non-post resources in the context of the proposed programme budget for the biennium 2012-2013. In the context of the 2010/11 support account budget, three initiatives specifically related to peacekeeping, approved in 2008/09, are proposed for continuation and include the peacekeeping reporting process automation project, the troop contribution management project and the peacekeeping telecommunications billing project.

652. Additional systems proposed in the 2010/11 budget period would operate and integrate with the enterprise resource planning, enterprise content management and customer relationship management systems. Specifically, the fuel management and rations management systems are niche systems, part of a continuing initiative from the 2009/10 budget period, that support the management of specialized resources or commodities. Integration with the enterprise resource planning system would facilitate the management of fuel and rations as part of the larger supply chain, whereas integration with the customer relationship management system would facilitate fuel and rations operations from the service provision perspective. The enterprise information portal system is a continuing initiative from the 2009/10 budget period that will consolidate the wide range of systems and present them in a unified and logical way. The proposed portal is designed to provide a single access point for users, one that could provide access to information based on the specific role and needs of a particular user. The portal system would operate seamlessly with the enterprise resource planning, enterprise content management and customer relationship management systems and would not overlap with them in terms of functionality; rather, it would present the systems coherently, customized for the users' functional role. In order to function effectively, the systems proposed require that a single authoritative source of information be available. This authoritative information on identity would be managed using the proposed enterprise identity management system and would be contained in that system. All of the systems

mentioned would require a single authoritative source of information that uniquely identifies United Nations personnel. In support of this important prerequisite, a provision has been included for the continuation of the enterprise identity management system.

653. In this context, an amount of \$8,508,900 would provide for specialized information technology hardware for testing and enhancement of new systems (\$296,000), specialized software for existing and new systems (\$2,800,000) and external contractual services specializing in information technology necessary to develop, implement and support the Organization's information technology infrastructure (\$5,412,900), as detailed in the table below. New and existing software licences and their maintenance fees in connection with the expansion of the pool of registered users in the field for the proposed systems as implementation advances in phases would be chargeable to peacekeeping operations.

(United States dollars)

<b>Hardware</b>	
Fuel management hardware	120 000
Rations management hardware	120 000
Enterprise information portal hardware	56 000
<b>Total</b>	<b>296 000</b>
<b>Software</b>	
Rations management	2 400 000
Enterprise identity management	400 000
<b>Total</b>	<b>2 800 000</b>
<b>Contractual services</b>	
Secondary data centre	1 254 190
Enterprise content management technology	664 200
Customer relationship management technology	451 500
Fuel management	768 000
Rations management	964 000
Enterprise information portal	404 000
Enterprise identity management	310 000
Galaxy tiers 1, 2, 3	480 000
Global warden	117 000
<b>Total</b>	<b>5 412 900</b>

### ***Secondary Data Centre***

654. An amount of \$1,254,190 was approved for the maintenance of the secondary data centre by the General Assembly in its resolution 64/228. In 2009/10, information technology requirements for the Secondary Data Centre in the amount of \$2,031,860 approved in General Assembly resolution 63/269 were absorbed.

***Enterprise Content Management***

655. An amount of \$664,200 is proposed in the context of the continuation of the peacekeeping reporting automation project for contractual services to build capacity in field operations to install, support, configure and troubleshoot related systems. Onsite and remote web-based training would be provided to support the adoption of the enterprise content management system by end-users and to ensure efficient migration from existing applications. The enterprise content management system would serve as the authoritative system for the management of content for the Secretariat and field operations. Enterprise content management addresses information assets typically referred to as “unstructured information”.

***Customer Relationship Management***

656. An amount of \$451,500 is proposed for contractual services for the continuation of the development, deployment and support of the peacekeeping troop contribution management project and the peacekeeping telecommunications billing project. The objective of the troop contribution management project is to increase the accuracy of contingent-owned equipment verification in field operations. The objective of the peacekeeping telecommunications billing project is to standardize the service delivery business processes and to consolidate the technology solution to increase the efficiency of service delivery to clients in peacekeeping operations. These projects are currently under way and are in different stages. The development and gap analysis for the troop contribution management project is currently in progress, and functional and technical design will be completed by June 2010. The project is expected to be completed in the 2010/11 budget period. The peacekeeping telecommunications billing project is currently in production, and the first phase of deployment for 2009/10 includes Headquarters, UNLB, UNMIL, UNIFIL and MINUSTAH. Deployment will continue to six additional missions in 2010/11 and will be completed in all remaining field operations 2011/12.

***Enterprise Fuel Management System***

657. An amount of \$888,000 is proposed for the continuation of the fuel management project, which is a commercial off-the-shelf solution to automate, manage and monitor fuel usage in field operations. The system would improve the recording of fuel transactions, optimize the fuel management capacity in field operations and mitigate waste and loss by enhancing control and visibility. The system would facilitate effective review of the performance of fuel vendors, as well as their compliance with contracts, which would in turn support negotiations on new contracts. The development of the fuel management solution and system acceptance in selected peacekeeping operations is under way for 2009/10. Additional funding is proposed for the acquisition of hardware for testing system enhancements (\$120,000) and contractual services (\$768,000) to cover vendor implementation services for fuel site surveys, installation of fuel measuring equipment, system configuration and training and implementation in eight field operations. Implementation would continue in the 2011/12 period.

658. The fuel management system will interface with existing systems and include required data interfaces with enterprise resource planning systems. The fuel management system databases of field operations will be replicated in UNLB for disaster recovery and business continuity and for consolidated reporting on fuel operations.

### ***Enterprise Rations Management System***

659. An amount of \$3,484,000 is proposed for the continuation of the rations management project, which would establish a single global standardized information management system for food rations that would fully automate the ordering, inventory tracking, invoice matching, and overall contract administration functions in field operations. As indicated in the 2008/09 performance report (A/64/611), the Organization initiated the acquisition of a commercial food control system, however, owing to legal issues involving the previously selected vendor, the procurement process was delayed. The rebidding process is under way and will be completed by 30 June 2010. Resources are proposed for the acquisition of hardware for testing system enhancements (\$120,000), the initial software acquisition (\$2,400,000) and contractual services (\$964,000) to cover system installation, configuration, customization and pilot implementation in 2 field operations.

### ***Enterprise information portal***

660. An amount of \$460,000 is proposed for the continuation of the enterprise information portal project approved in 2008/09, which provides a mechanism to allow staff to efficiently access information resources that they require. The system maintains a single authoritative record for each user, including their individual roles. The system uses these records to deliver customized, relevant and authorized content to the individual user. As a platform for content and systems integration, the project will empower staff, Member States and partner organizations by offering them self-service access to integrated information, data, knowledge and applications. The 2009/10 appropriation of \$950,000 was used to gather requirements, acquire the core components of the software for the pilot implementation, establish the network infrastructure at UNLB and conduct a successful pilot implementation of the system in two field operations. Additional funding is proposed for hardware for testing the system configuration (\$56,000) and contractual services (\$404,000) to cover the configuration, customization and implementation of a larger scale deployment of the system in field operations. The system will be fully implemented in 2010/11.

### ***Enterprise identity management system***

661. An amount of \$710,000 is proposed for the continuation of the enterprise identity management project approved in the context of the 2009/10 budget, which would streamline organizational identity management processes and provide a single repository for user information management, in line with the Organization's standardized policies. The system is a prerequisite for the planned implementation of other enterprise systems. The system will support secure and effective identity management and provide enhanced information on the location of peacekeeping personnel inside the mission area. The implementation commenced at Headquarters in 2008/09 and is currently under way in three field operations.

662. Additional funding is proposed for the acquisition of software (\$400,000) and consulting services (\$310,000) for the roll-out of the system to six additional field operations in 2010/11. The system is expected to be rolled out to remaining field operations by 2013.

***Global warden system***

663. An amount of \$117,000 is proposed for the continuation of the global warden project to cover services for the roll-out and implementation of a prototype system. Owing to the technological and enterprise aspects of this project, the Office of Information and Communications Technology, the Department of Field Support and the Department of Safety and Security would collaborate on the implementation of the system. The technical skills for system implementation would be provided by the Office of Information and Communications Technology; subject matter expertise for the system would be provided by the Department of Safety and Security; and the Information and Communications Technology Division of the Department of Field Support would host the system at UNLB. Future maintenance costs would be proposed in the context of the 2011/12 UNLB budget. Funds in the amount of \$160,000 were approved from the support account in 2009/10 for the development phase, which will be undertaken in the second half of the period and will involve an analysis of requirements and an assessment of existing systems used by peacekeeping operations. Currently, the United Nations system is using different applications and databases for keeping staff member details for security purposes. The main objective of the project is to develop a centrally hosted data warehouse to be used by staff members, wardens and security coordinators in all field operations with a view to delivering a standard warden system for the field that provides an authoritative and comprehensive set of information on personnel.

664. The Security Adviser of the Department of Safety and Security in each country where the United Nations maintains a permanent presence sustains and coordinates the countrywide and area-specific security plans for emergency and non-emergency situations. The aim of the plans is to outline the duties of various security officials and implement procedures to ensure staff safety in emergencies (natural disaster, conflict, etc.) or in a deteriorating security situation, which may require the relocation or evacuation of all staff members from a state, a region or the entire country. The security plan is implemented through a warden system. An effective warden system requires up-to-date and accurate information on security zones, the location and presence of personnel in the mission, the collection and evacuation locations and situational awareness.

***Galaxy system***

665. An amount of \$480,000 is proposed to continue a reduced level of tier 1, 2 and 3 support for the Organization's enterprise recruitment system until migration can be achieved to Inspira, the new talent management system. The need for a transitional period is anticipated in the operation of the two systems. Continued operation, maintenance and support of the Galaxy system is essential to ensure that the Organization is able to continue to undertake recruitment and associated human resources functions in an automated and efficient manner. It is anticipated that a need for Galaxy support will continue through the 2010/11 budget period until it is fully phased out in 2011.

666. The variance reflects requirements associated with the stage of certain approved information technology projects planned for development or implementation in peacekeeping operations, in particular amounts approved for the one-time start-up acquisition of enterprise content management and customer relationship management solutions in the 2009/10 budget.

	<i>Cost estimates</i>	<i>Variance</i>
<b>Other supplies, services and equipment</b>	<b>\$75.5</b>	<b>\$40.8 117.6%</b>

667. An amount of \$75,500 is proposed for course fees for management and information technology training. The variance reflects particular requirements for specialized training in customer relationship management technology and to update information technology knowledge in connection with the support and maintenance of the DPKO/DFS server, the virtual server, storage and backup, e-mail and BlackBerry infrastructure at Headquarters.

## **L. Advisory Committee on Administrative and Budgetary Questions secretariat**

### **(a) Results-based-budgeting framework**

668. The mandate of the Advisory Committee on Administrative and Budgetary Questions was established by the General Assembly in its resolutions 14 (I) and 32/103 and rules 155 to 157 of the rules of procedure of the General Assembly.

669. The secretariat of the Advisory Committee will during the budget period contribute to a number of expected accomplishments mandated by the General Assembly by delivering related key outputs, shown in the frameworks below. The indicators of achievement show a measurement of progress towards such accomplishments during the budget period.

670. The Advisory Committee is responsible for examining and reporting on the proposed budgets, performance reports and administrative issues submitted by the Secretary-General to the General Assembly. The secretariat's activities include the provision of advice and technical support to the Committee on issues of policy and/or procedure and the drafting of conclusions and recommendations in the Committee's reports. Its activities also include the examination and analysis of proposals contained in the reports of the Secretary-General and all relevant supplementary and background documentation; the definition of issues; and the formulation of administrative and financial regulations and rules for consideration by the Committee.

671. Additional activities of the secretariat include the scheduling of the Committee's sessions with officers of the Department of Peacekeeping Operations, the Department of Field Support, the Office of Programme Planning, Budget and Accounts, the Board of Auditors, the Independent Audit Advisory Committee, OIOS and other relevant entities, including the coordination of the appearance of senior officials from those entities and others, as required. The secretariat carries out its activities in close cooperation with the Department of Management, the Office of Programme Planning, Budget and Accounts, the Office of Human Resources Management, the Office of Central Support Services, the secretariat of the Fifth Committee of the General Assembly and other departments and offices of the Secretariat. This collaboration and cooperation includes the examination, substantive analysis and clarification required in the preparation of the reports and the sharing of information and experience.

672. Priorities are determined by the recommendations of the General Assembly and the decisions of the Security Council, as guided by the Office of Programme, Planning, Budget and Accounts and the Fifth Committee.

673. The primary challenges faced by the secretariat of the Advisory Committee are twofold: the first concerns inadequate resources, which is compounded by the second challenge, the short time frame allotted to produce reports reflecting the Committee's expert opinions on the proposed budgets and administrative issues submitted by the Office of Programme, Planning, Budget and Accounts, as well as other departments and offices of the Secretariat.

<i>Expected accomplishments</i>	<i>Indicators of achievement</i>
1.1 Improved reporting to the Security Council, the General Assembly, other intergovernmental bodies and troop-contributing countries to enable fully informed decisions on issues relating to peacekeeping	1.1 100 per cent of reports of the Advisory Committee are submitted within the deadline (2008/09: not applicable/not available; 2009/10: 100 per cent; 2010/11: 100 per cent)  1.2 100 per cent of the reports of the Advisory Committee are free of error (2008/09: not applicable/not available; 2009/10: 100 per cent; 2010/11: 100 per cent)

*Outputs*

- Substantive servicing of meetings: provision of substantive and technical advice and support to approximately 114 meetings of the Advisory Committee
- Parliamentary documentation: production of approximately 20 reports
- Scheduling of meetings: well-organized schedule that is flexible enough to accommodate General Assembly and Security Council resolutions and decisions and the ad hoc submission of reports

### Financial resource requirements

(Thousands of United States dollars)

<i>Category</i>	<i>Expenditures (2008/09) (1)</i>	<i>Apportionment (2009/10) (2)</i>	<i>Cost estimates (2010/11) (3)</i>	<i>Variance</i>	
				<i>Amount (4)=(3)-(2)</i>	<i>Percentage (5)=(4)÷(2)</i>
I. Post resources	—	—	—	—	—
II. Non-post resources					
General temporary assistance	—	—	336.0	336.0	—
Consultants	—	—	—	—	—
Official travel	—	—	—	—	—
Facilities and infrastructure	—	—	1.0	1.0	—
Communications	—	—	4.0	4.0	—
Information technology	—	—	7.7	7.7	—
Medical	—	—	—	—	—
Other supplies, services and equipment	—	—	—	—	—
<b>Subtotal II</b>	—	—	<b>348.7</b>	<b>348.7</b>	—
<b>Total</b>	—	—	<b>348.7</b>	<b>348.7</b>	—



**(b) Analysis of resource requirements<sup>1</sup>**

	<i>Cost estimates</i>	<i>Variance</i>
<b>General temporary assistance</b>	\$336.0	\$336.0 —

674. The proposed requirements in the amount of \$336,000 would cover the establishment of two new Administrative Officer positions at the P-4 level, with the application of the budgeted vacancy rate of 35 per cent.

*Administrative Officer (2 P-4 positions, new)*

675. The Advisory Committee on Administrative and Budgetary Questions is a subsidiary organ of the General Assembly, the mandate of which is to examine and report on the budget submitted by the Secretary-General to the General Assembly, to advise the Assembly concerning any administrative and budgetary matters referred to it, to examine on behalf of the Assembly the administrative budgets of the specialized agencies and proposals for financial agreements with such agencies, and to consider and report to the Assembly on the auditors' reports on the accounts of the United Nations and of the specialized agencies. In this context, the Advisory Committee reports on the financing of all peacekeeping operations. The secretariat of the Advisory Committee, which supports the work of the Committee, currently comprises one Executive Secretary (D-2), one Deputy Executive Secretary (D-1), five Administrative Officers (2 P-5, 3 P-4), one Personal Assistant (GS (PL)) and four Meeting Services Assistants (GS (OL)) funded from regular budget. Currently no staffing resources are funded from the support account.

676. Prior years' workload statistics reveal an upward trend in the number of reports received for the review of the Advisory Committee during the past decade, from 263 in the biennium 1998-1999 to 393 in 2008-2009, representing an overall increase of 49 per cent. The peacekeeping reports represent approximately 30 per cent of the workload. For 2010, the Office of Programme Planning, Budget and Accounts estimates that approximately 36 reports will be submitted to the Committee for review. No support account positions are currently provided to support the secretariat's work related to peacekeeping.

677. The Administrative Officers would primarily be responsible for the following: the examination and analysis of the administrative and budgetary implications of the reports submitted to ensure compliance with legislative mandates and adequacy of justification; the identification of issues of administrative and financial policy for consideration by the Advisory Committee, including the analysis and identification of issues contained in previous General Assembly resolutions, reports of the Committee and other existing documentation; extensive research and the provision of technical advice and support to the Committee on issues of policy or procedure; drafting of the Committee's reports, setting forth its conclusions and recommendations; and, provision of advice on and clarification of the substance of the Committee's reports.

678. An analysis of the most recent staffing-related workload statistics (covering the autumn 2009 session when the secretariat had 6 Officers) reveals that 42 reports were produced by the secretariat's Administrative Officers, requiring the review of approximately 4,000 pages of submitted reports and approximately 1,100 pages of written responses. This analysis shows that each Officer was required to produce on average 7.1 reports over the 14-week session, requiring the review of approximately

120 pages of documentation submitted per report. The analysis also shows that the Committee conducted 178 meetings, requiring each Officer to identify issues for consideration by the Committee and provide technical advice and support for approximately 29.6 meetings.

679. These statistics show that the workload of the prior team of six Officers was already beyond the limit of a reasonable workload, which had a negative impact on the quality of support provided to the members of the Advisory Committee. Consequently, as the number of reports submitted continues to rise, as their complexity continually increases and as one of the Administrative Officers has recently been reclassified to a Deputy position (also of critical importance), the secretariat requires two additional Officers at the P-4 level, providing in effect only one additional post compared to prior periods. This resource allocation will: (a) provide added capacity to the current team of Officers to enable each adequate time for the substantive analysis of the subject; (b) afford the provision of better technical advice and support to the Committee, thereby improving the quality of the reports; and (c) facilitate more optimal scheduling options for the Committee, allowing for the smoother, more flexible scheduling of meetings, thereby ensuring better sequencing and timeliness of the production of reports, an issue that has been repeatedly raised by the General Assembly, to enable fully informed decision-making on issues related to peacekeeping.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Facilities and infrastructure</b>	\$1.0	\$1.0	—

680. The proposed amount of \$1,000 would provide for the purchase of office supplies for the two new general temporary assistance positions.

681. The estimate of \$3,400 would provide for commercial communications, at the standard rate derived from past expenditure patterns, and the amount of \$600 would provide for the acquisition of standard communications equipment for two new general temporary assistance positions.

	<i>Cost estimates</i>	<i>Variance</i>	
<b>Information technology</b>	\$7.7	\$7.7	—

682. The estimate of \$7,700 would cover requirements for two new general temporary assistance positions and provide for the maintenance and repair of information technology equipment based on standard service-level agreements established by the Office of Information and Communications Technology (\$3,100), the support account share in central information technology infrastructure costs (information storage and backup, application hosting and departmental servers) derived from past expenditure patterns (\$500) and the acquisition of standard information technology equipment for the two new general temporary assistance positions (\$4,100).

#### **IV. Action to be taken by the General Assembly**

683. The actions to be taken by the General Assembly are as follows:

(a) To approve the support account requirements in the amount of \$370,924,800 for the 12-month period from 1 July 2010 to 30 June 2011;

(b) To apply the unencumbered balance of \$1,959,200 in respect of the financial period from 1 July 2008 to 30 June 2009 to the support account requirements for the period from 1 July 2010 to 30 June 2011;

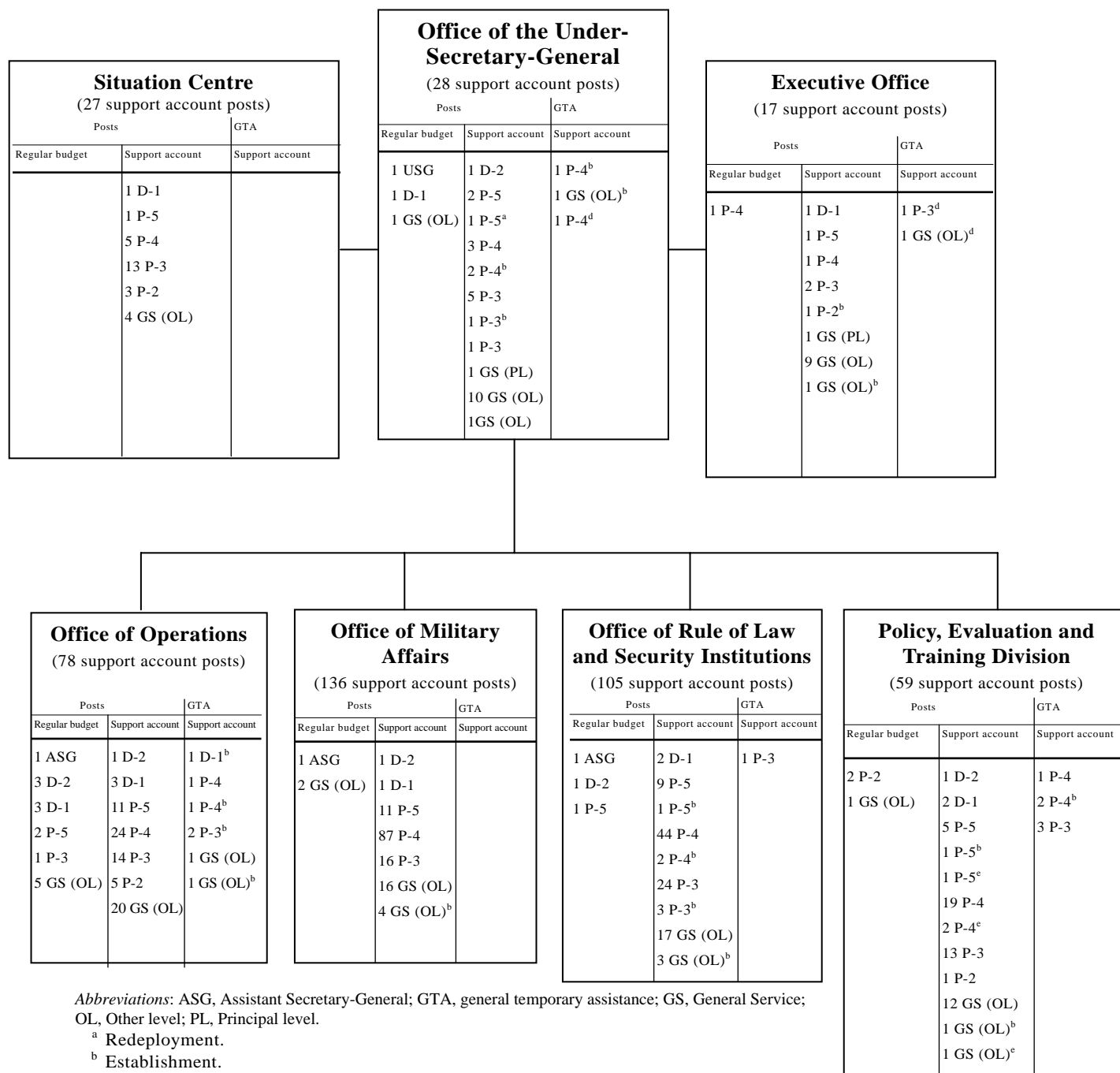
(c) To apply the total amount of \$7,094,800, comprising interest income (\$2,383,000), other income (\$1,379,400) and cancellation of prior-period obligations (\$3,332,400), to the support account requirements for the period from 1 July 2010 to 30 June 2011;

(d) To apply the excess of the authorized level of the Peacekeeping Reserve Fund in respect of the financial period ended 30 June 2009 in the amount of \$4,303,500 to the support account requirements for the period from 1 July 2010 to 30 June 2011;

(e) To prorate the balance of \$357,567,300 among the budgets of the active peacekeeping operations for the period from 1 July 2010 to 30 June 2011.

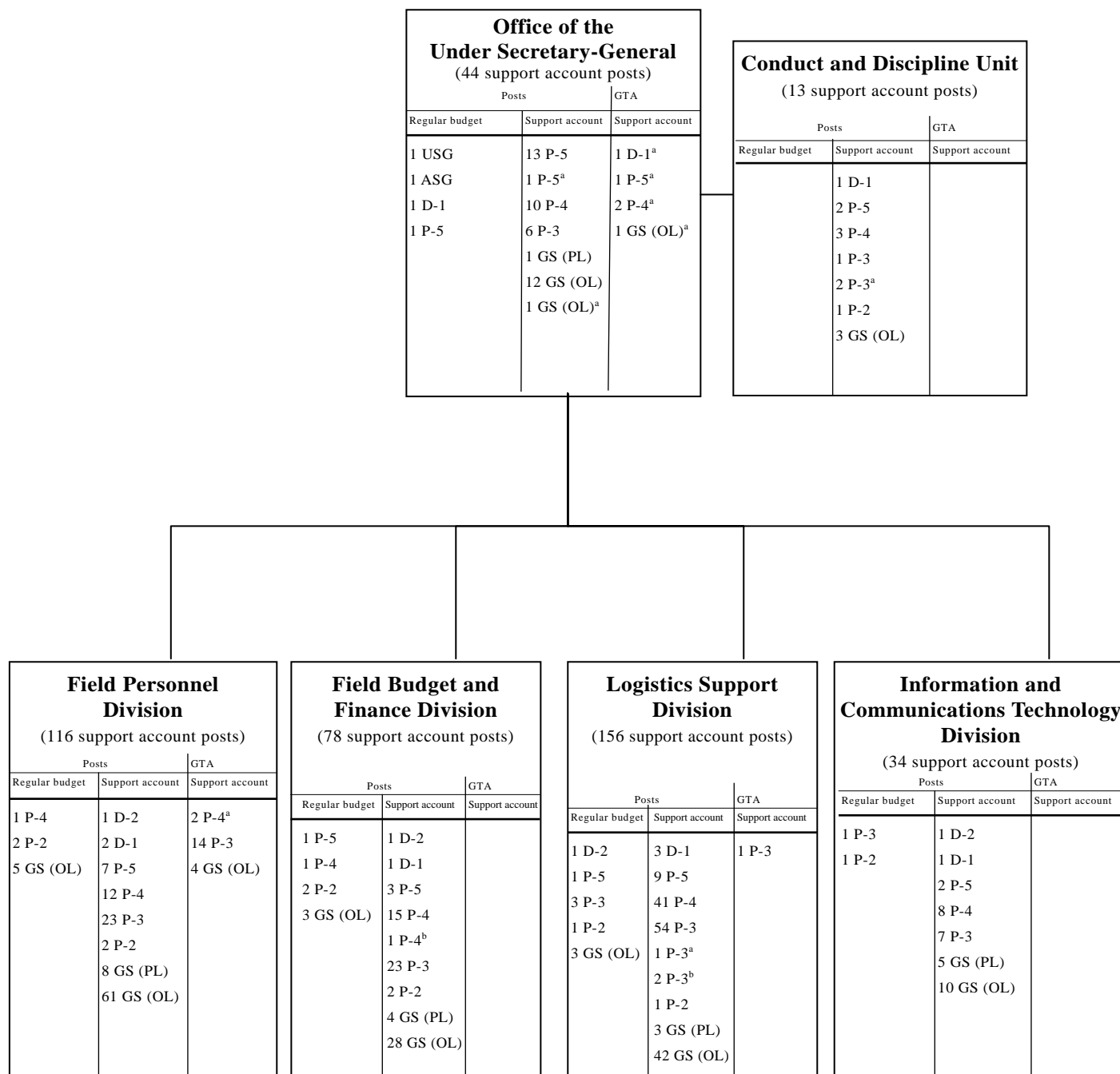
## Annex I

## Proposed staffing of the Department of Peacekeeping Operations for the period from 1 July 2010 to 30 June 2011



## Annex II

# Proposed staffing of the Department of Field Support for the period from 1 July 2010 to 30 June 2011



Abbreviations: USG, Under-Secretary-General; ASG, Assistant Secretary-General; GTA, general temporary assistance;  
GS, General Service; OL, Other level; PL, Principal level.

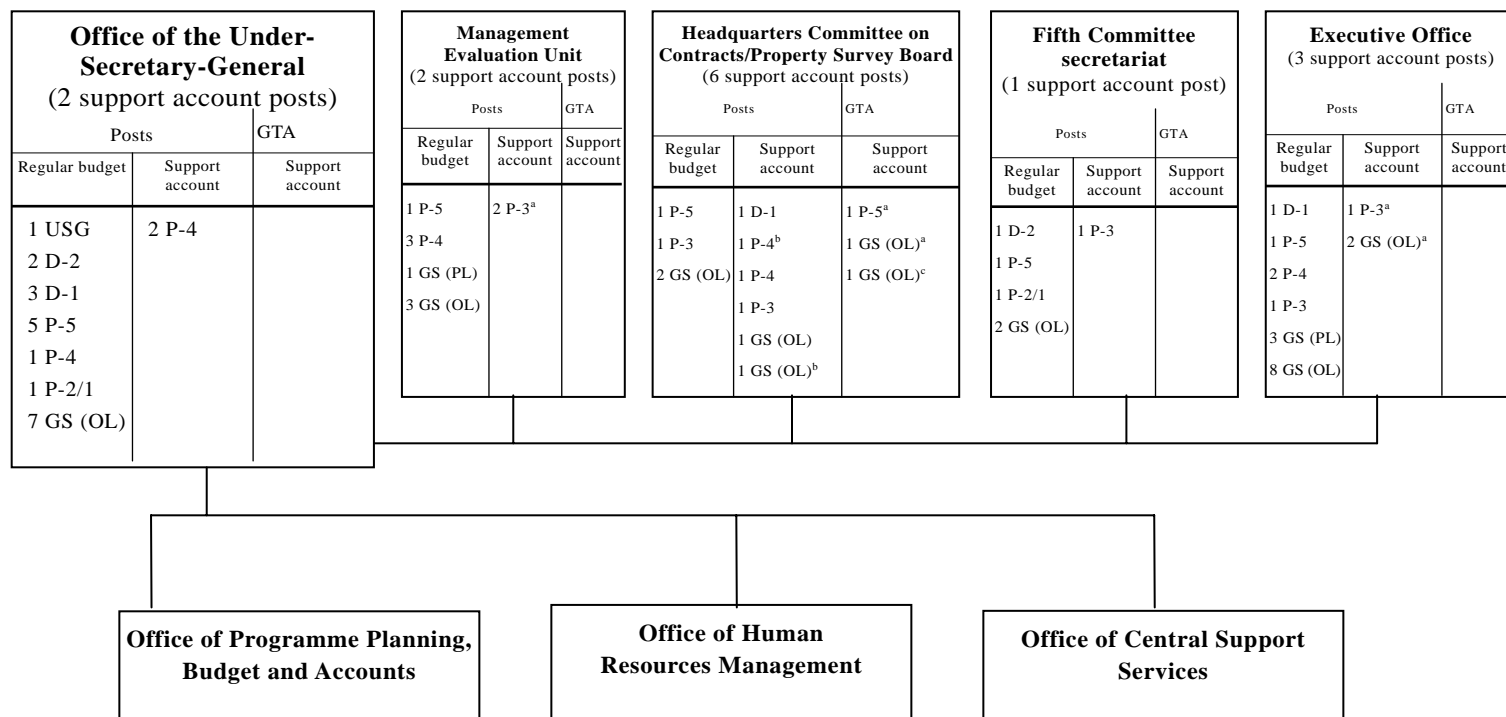
<sup>a</sup> Establishment.

<sup>b</sup> Conversion.

## Annex III

### Proposed staffing of the Department of Management for the period from 1 July 2010 to 30 June 2011

#### A. Office of the Under-Secretary-General



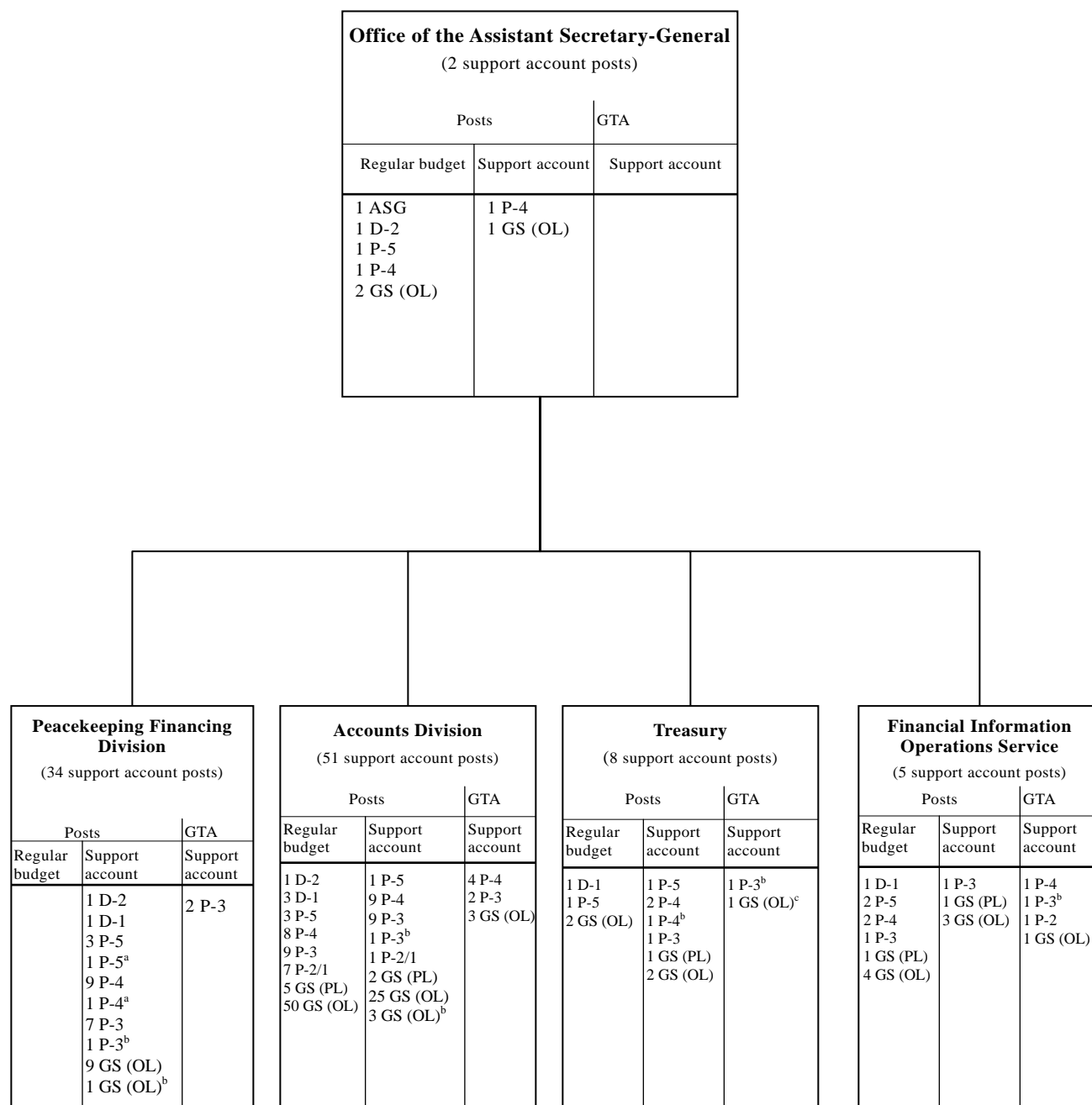
*Abbreviations:* USG, Under-Secretary-General; GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level.

<sup>a</sup> Establishment.

<sup>b</sup> Conversion.

<sup>c</sup> Less than 12 months.

## B. Office of Programme Planning, Budget and Accounts



Abbreviations: ASG, Assistant Secretary-General; GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level.

<sup>a</sup> Reclassification.

<sup>b</sup> Establishment.

<sup>c</sup> Less than 12 months.

## C. Office of Human Resources Management

Office of the Assistant Secretary-General (no support account posts)		
Posts		GTA
Regular budget	Support account	Support account
1 ASG 1 P-5 2 P-4 4 GS (OL)		

Learning, Development and Human Resources Services Division (7 support account posts)		
Posts		GTA
Regular budget	Support account	Support account
1 D-2 1 D-1 6 P-5 10 P-4 8 P-3 5 P-2/1 4 GS (PL) 30 GS (OL)	2 P-4 1 GS (PL) 4 GS (OL)	2 P-3 1 GS (OL)

Human Resources Policy Service (20 support account posts)		
Posts		GTA
Regular budget	Support account	Support account
1 D-1 4 P-5 2 P-4 2 P-3 2 P-2/1 3 GS (PL) 6 GS (OL)	6 P-4 1 P-4 <sup>a</sup> 3 P-3 3 P-3 <sup>a</sup> 1 P-2/1 2 P-2 <sup>a</sup> 4 GS (OL)	1 P-3 1 P-2

Medical Services Division (14 support account posts)		
Posts		GTA
Regular budget	Support account	Support account
1 D-2 1 D-1 1 P-5 1 P-4 2 P-3 1 GS (PL) 11 GS (OL)	1 P-5 3 P-4 2 P-3 8 GS (OL)	1 P-4 <sup>a</sup> 1 GS (OL) <sup>a</sup>

Strategic Planning and Staffing Division (7 support account posts)		
Posts		GTA
Regular budget	Support account	Support account
1 D-2 2 D-1 4 P-5 7 P-4 5 P-3 4 P-2/1 1 GS (PL) 24 GS (OL)	1 P-5 2 P-4 2 P-3 2 GS (OL)	1 P-4 <sup>b</sup>

Human Resources Information Systems Section (4 support account posts)		
Posts		GTA
Regular budget	Support account	Support account
1 P-5 1 P-4 2 P-3 3 P-2/1 2 GS (PL) 9 GS (OL)	1 P-4 1 P-3 1 GS (OL) 1 GS (OL) <sup>c</sup>	2 P-4 2 P-3 <sup>a</sup> 1 P-2 2 GS (OL) <sup>a</sup> 6 GS (OL) 1 GS (PL) <sup>a</sup>

*Abbreviations:* ASG, Assistant Secretary-General; GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level.

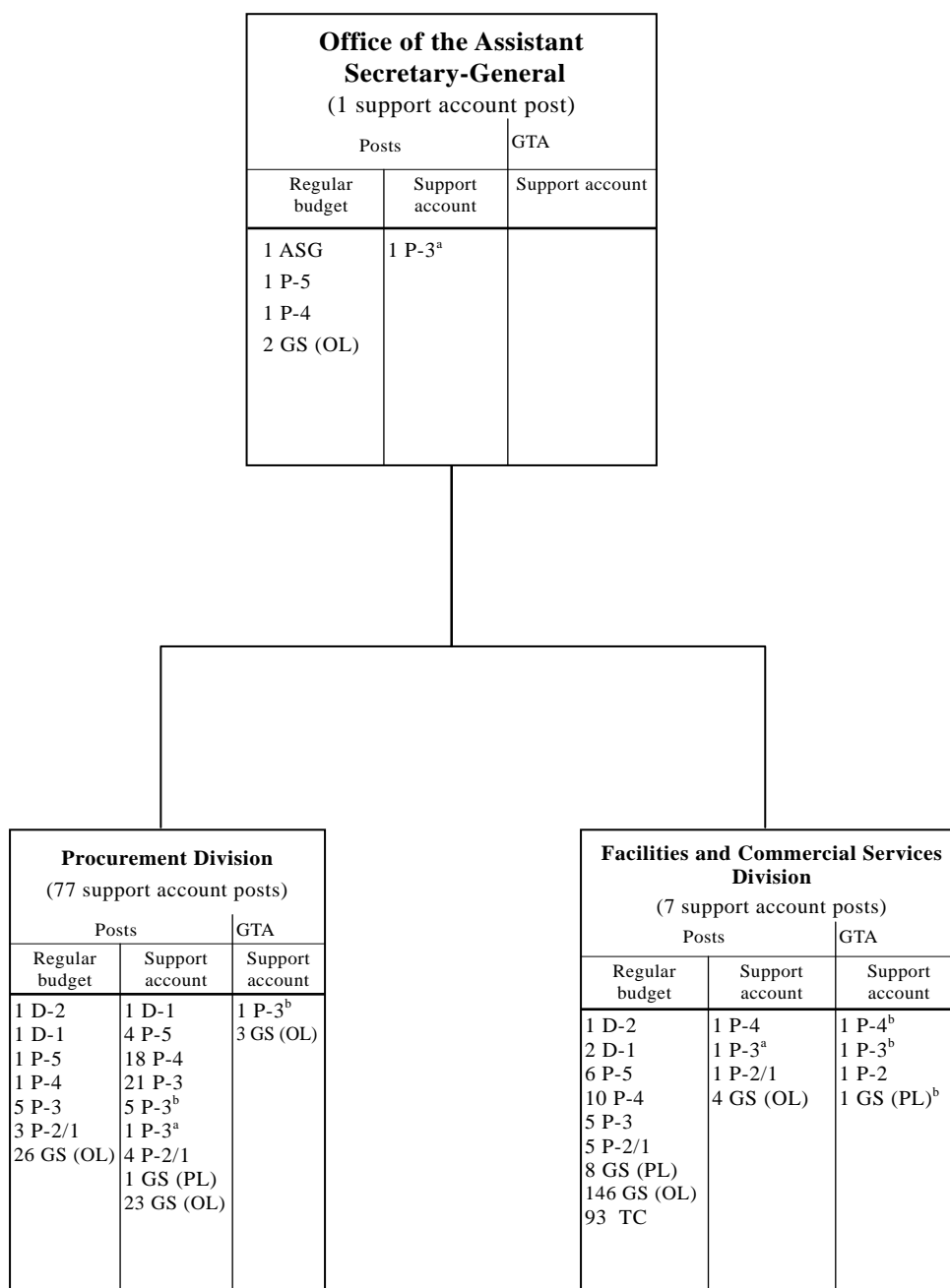
<sup>a</sup> Establishment.

<sup>b</sup> Less than 12 months.

<sup>c</sup> Conversion.



## D. Office of Central Support Services



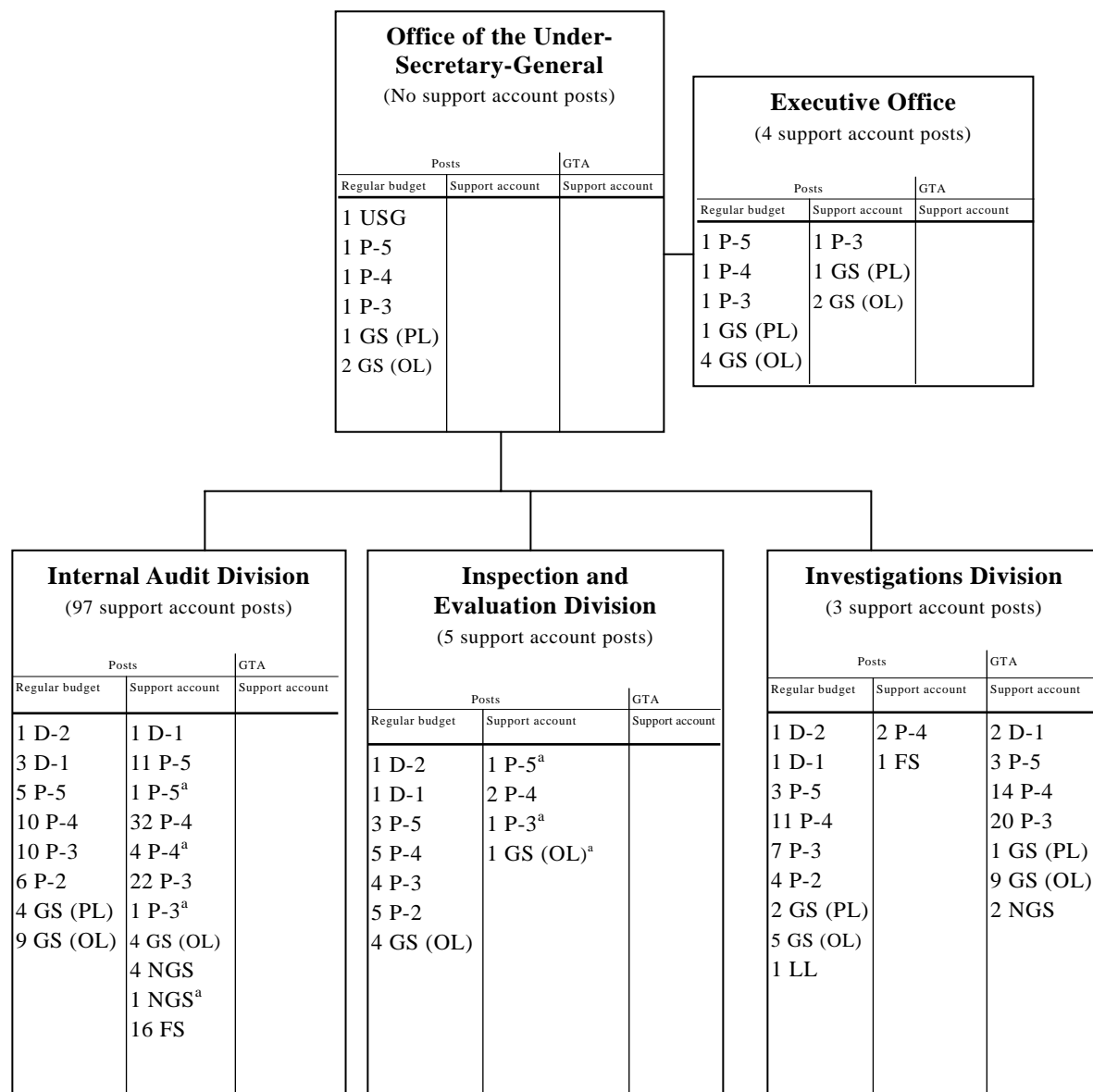
*Abbreviations:* ASG, Assistant Secretary-General; GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level; TC, Trades and Crafts.

<sup>a</sup> Conversion.

<sup>b</sup> Establishment.

## Annex IV

## Proposed staffing of the Office of International Oversight Services for the period from 1 July 2010 to 30 June 2011

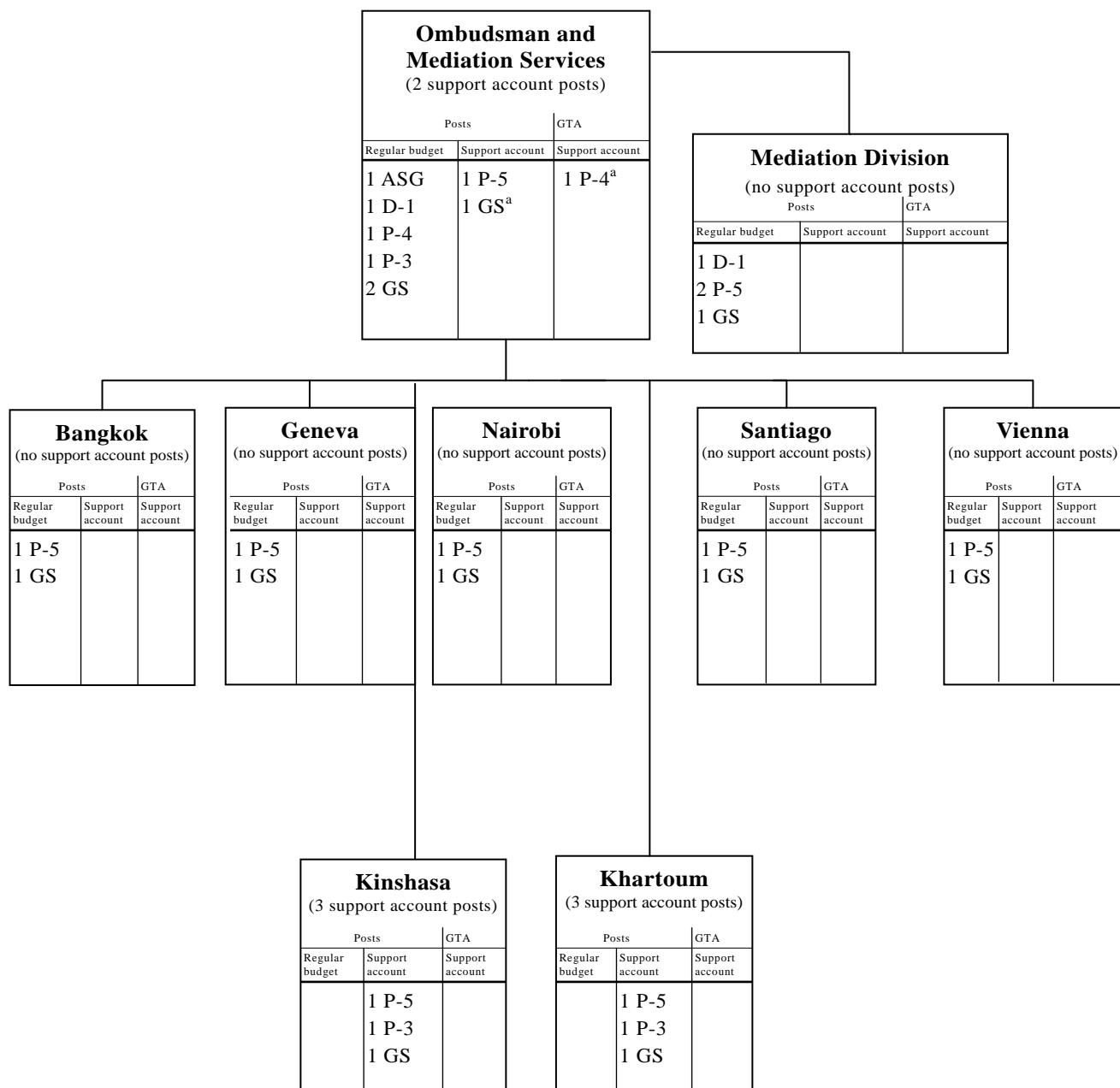


*Abbreviations:* USG, Under-Secretary-General; GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level; FS, Field Service; LL, Local level; NGS, national General Service.

<sup>a</sup> Establishment.

## Annex V

# Proposed staffing of the Office of the Ombudsman for the period from 1 July 2010 to 30 June 2011



Abbreviations: ASG, Assistant Secretary-General; GTA, general temporary assistance; GS, General Service.

<sup>a</sup> Establishment.

## Annex VI

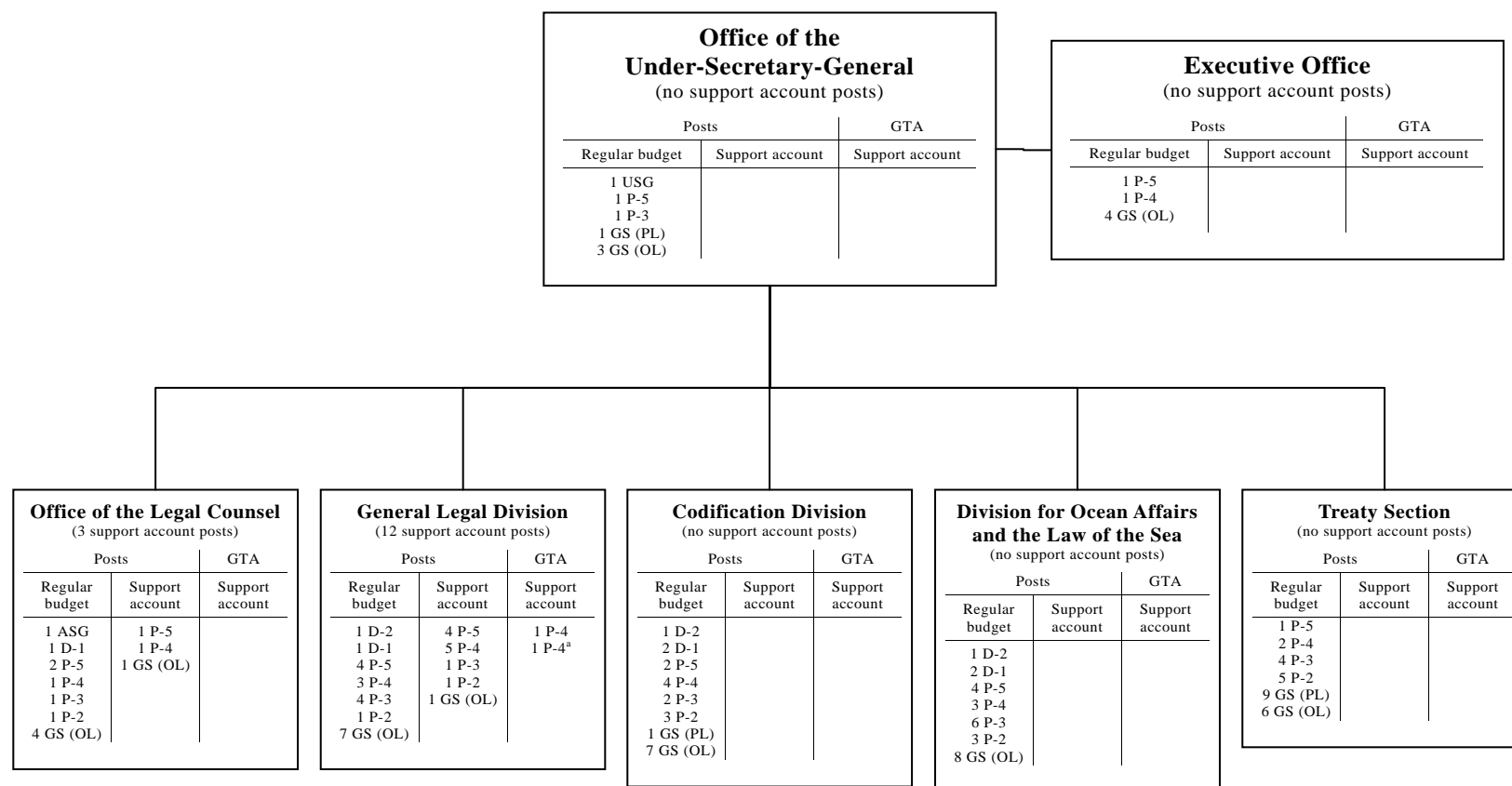
### Proposed staffing of the Ethics Office for the period from 1 July 2010 to 30 June 2011

Ethics Office (no support account posts)		
Posts		GTA
Regular budget	Support account	Support account
1 D-2		1 P-3
1 P-5		1 GS (OL)
1 P-4		
2 P-3		
1 P-2		
1 GS (PL)		
2 GS (OL)		

*Abbreviations:* GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level.

## Annex VII

### Proposed staffing of the Office of Legal Affairs for the period from 1 July 2010 to 30 June 2011

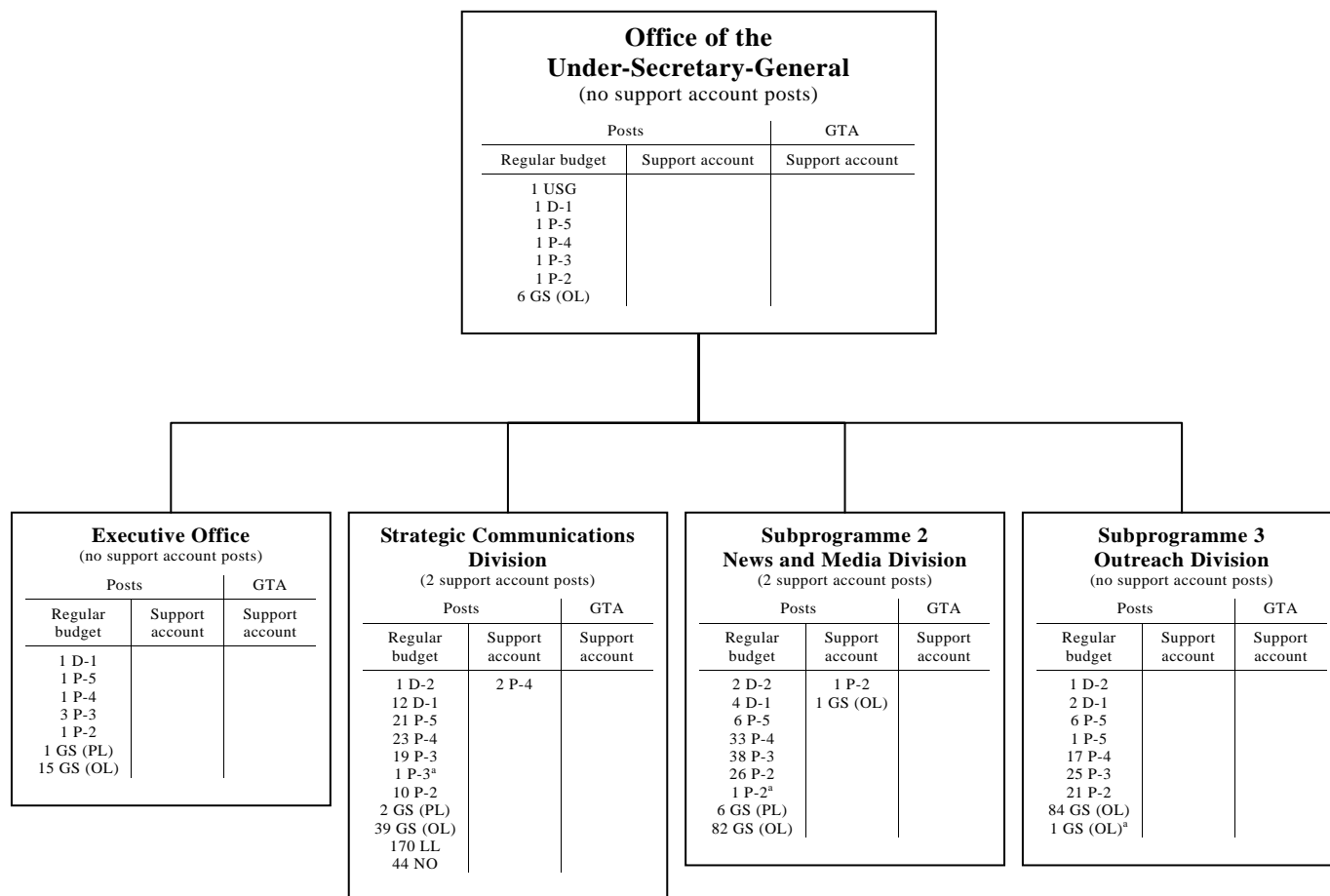


*Abbreviations:* USG, Under-Secretary-General; ASG, Assistant Secretary-General; GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level.

<sup>a</sup> Less than 12 months.

## Annex VIII

## Proposed staffing of the Department of Public Information for the period from 1 July 2010 to 30 June 2011

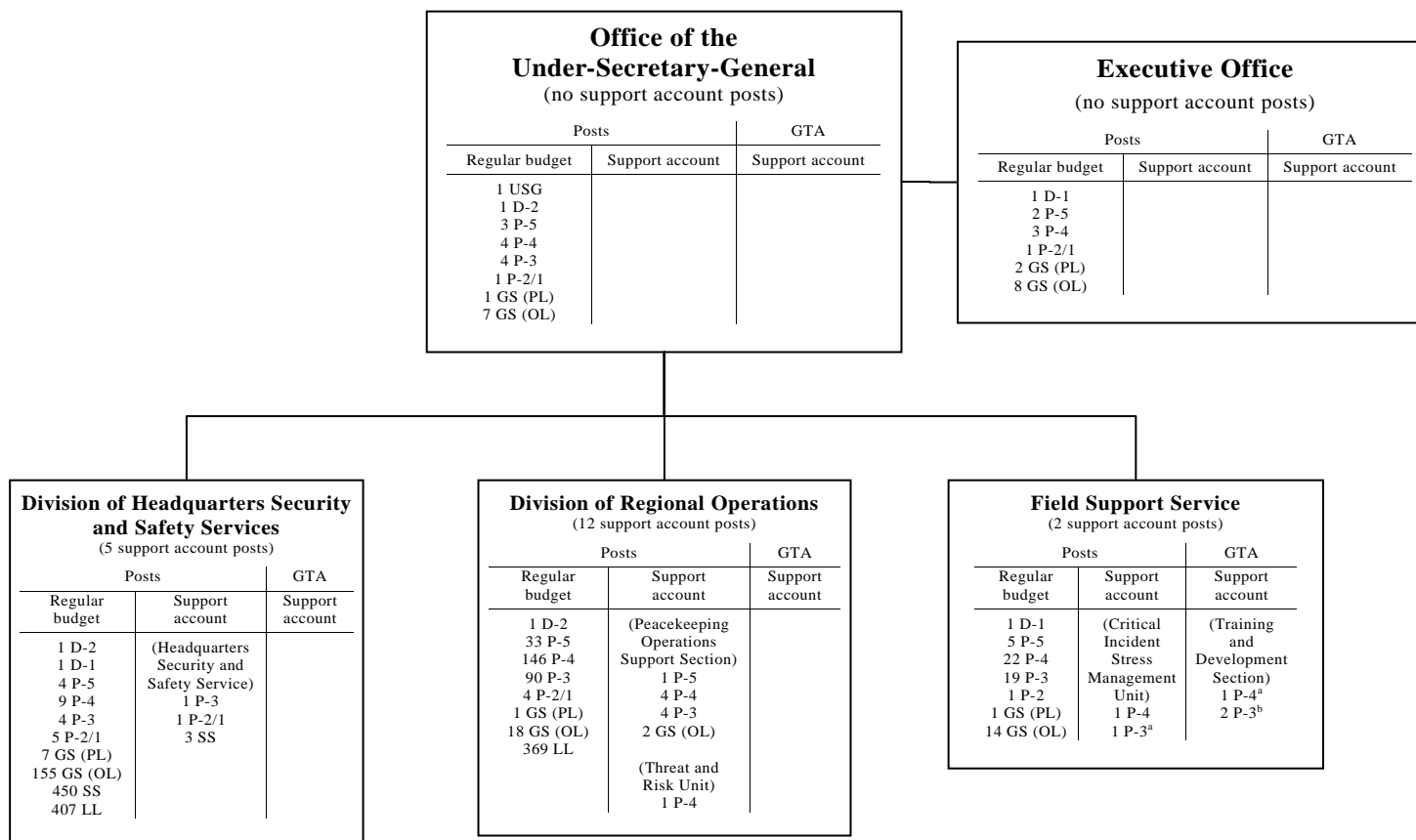


*Abbreviations:* USG, Under-Secretary-General; GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level; NO, National Officer; LL, Local level.

<sup>a</sup> Redeployment.

## Annex IX

### Proposed staffing of the Department of Safety and Security for the period from 1 July 2010 to 30 June 2011

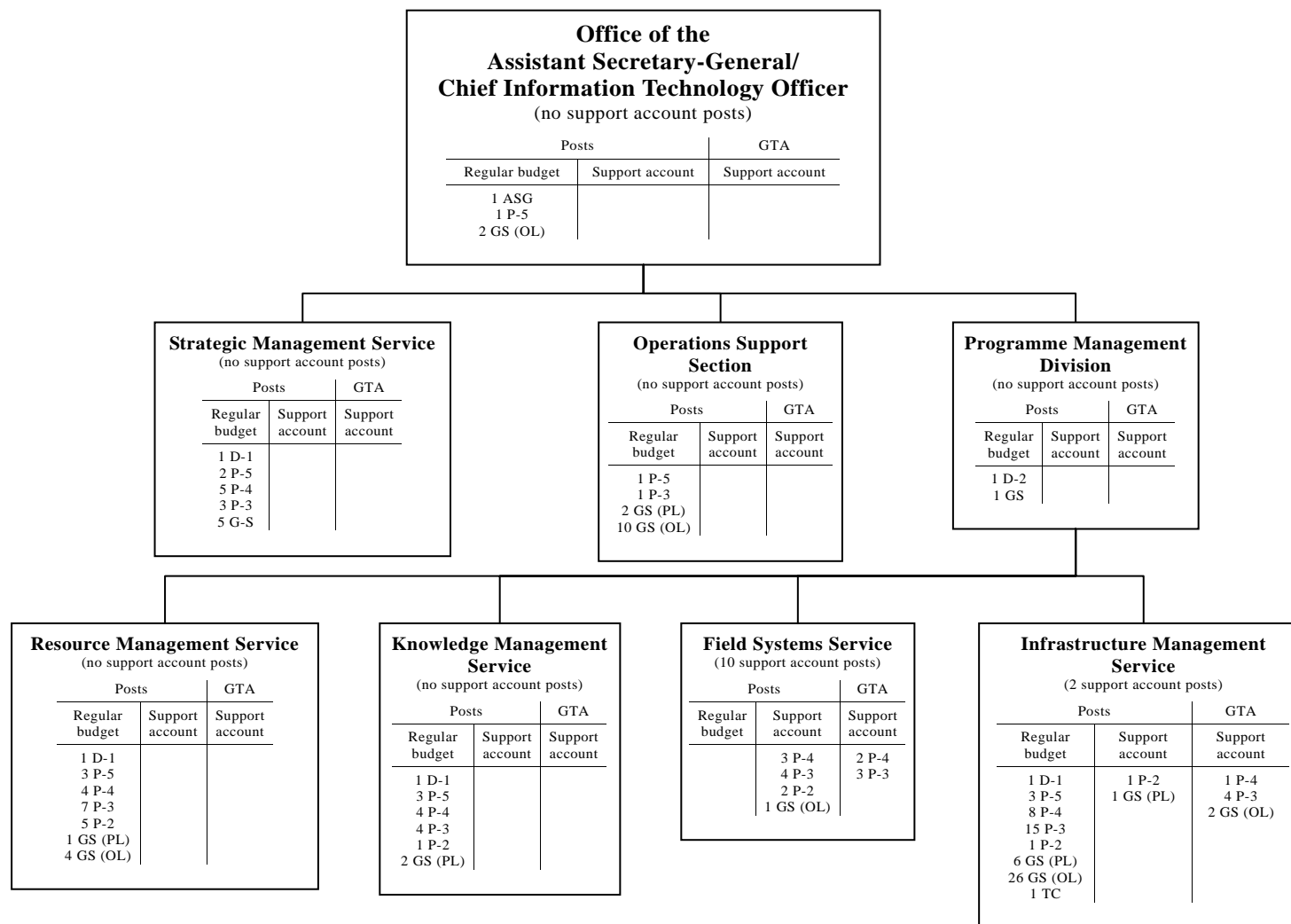


*Abbreviations:* USG, Under-Secretary-General; GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level; SS, Security Service; LL, Local level.

<sup>a</sup> Establishment.

<sup>b</sup> Less than 12 months.

## Proposed staffing of the Office of Information and Communications Technology for the period from 1 July 2010 to 30 June 2011

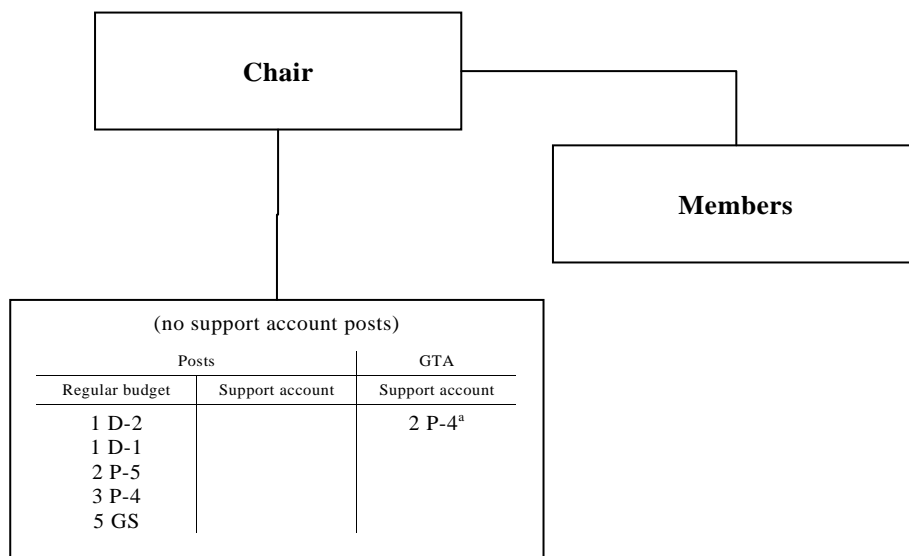


*Abbreviations:* ASG, Assistant Secretary-General; GTA, general temporary assistance; GS, General Service; OL, Other level; PL, Principal level; TC, Trades and Crafts.



## Annex XI

### Proposed staffing of the Advisory Committee on Administrative and Budgetary Questions secretariat for the period from 1 July 2010 to 30 June 2011



*Abbreviations:* GTA, general temporary assistance; GS, General Service.

<sup>a</sup> Establishment.

## Annex XII

### **Summary of follow-up action taken to implement requests of the General Assembly in its resolution 63/287 and requests and recommendations of the Advisory Committee on Administrative and Budgetary Questions endorsed by the Assembly and of the United Nations Board of Auditors**

#### **A. General Assembly**

##### Resolution 63/287

<i>Request/recommendation</i>	<i>Action taken to implement request/recommendation</i>
The Assembly reiterates that the Secretary-General should address systemic issues that hamper good management of the Organization, including by improving work processes and procedures, and, in that context, stresses that structural change is no substitute for managerial improvement (para. 14)	All offices of the Secretariat are expected to continuously monitor and improve work processes and procedures in their area of work. In this regard, administrative, financial and business processes and procedures are being reviewed for the Organization as a whole in the context of the implementation of the enterprise resource planning system. The Secretariat also introduced the business process improvement capacity-building programme, which incorporates “Lean Six Sigma” methodologies to develop a culture of continuous business process improvement throughout the Secretariat along with the development of staff members to take leadership roles in executing improvement projects. The first phase of the business process improvement capacity-building programme was completed in mid-2009, with 11 projects focusing on support of the Departments of Peacekeeping Operations, Field Support and Management business processes. Continuing its support of those Departments, the second phase of the programme commenced in June 2009 and was nearing completion at the time of the preparation of the present report. All projects included the training of staff members in Lean Six Sigma methodologies and were aimed at delivering savings in terms of increased process efficiencies, reduced process cycle times and reductions in waste and unnecessary rework. For the second phase of the programme, the Secretariat has initiated 11 new projects in the following areas: medical sick leave certification process (Office of Human Resources Management), troop strength reporting (Force Generation Service), voluntary trust fund assistance process (Mine Action Service), request for services (Chief Information Technology Officer), guidance approval and publication process (Information Management Unit), field financial systems upgrade (Field Budget and Finance Division), national competitive exam process (Office of Human Resources Management),

*Request/recommendation**Action taken to implement request/recommendation*

The Assembly stresses the need for the Secretary-General to ensure a strategic and coherent vision when undertaking reform initiatives, and, in this context, emphasizes that any new proposal for reform should fully take into account ongoing and past management reforms (para. 15)

The Assembly takes note of the observations and recommendations contained in the report of the Independent Audit Advisory Committee on vacant posts in the Office of Internal Oversight Services, and requests the Secretary-General to fill the vacancies in the Office, in accordance with the existing relevant provisions governing recruitment in the United Nations and the provisions of the present resolution (para. 20)

contingent-owned equipment reimbursement process (Field Budget and Finance Division), air operator vendor registration process and assets disposal process (Logistics Support Division) and designation process (Office of Human Resources Management and Field Personnel Division). Please note that two projects have been delayed in the short term resulting from resources being diverted towards the Haiti relief effort

When proposing any new reform initiatives, the Secretariat continuously strives to ensure a strategic and coherent vision and to take into account any relevant ongoing and past management reforms. In this context, the Secretary-General's report on the global field support strategy (A/64/633) proposes a new service delivery model for review and endorsement by the General Assembly

The Internal Audit Division had a 20 per cent vacancy rate as at 31 January 2010. Programme managers have been continuously monitoring the staffing situation, particularly in the resident audit offices, and have allocated a substantial amount of time for recruiting suitably qualified staff. A number of recruitment exercises have been conducted to assess the suitability of prequalified candidates. While this has resulted in the recruitment of a number of resident auditors, the relatively high turnover of staff, particularly in view of the difficult conditions in peacekeeping missions, has necessitated additional recruitment exercises. Intensive efforts are ongoing to recruit as many suitable candidates as possible from a large pool of applications. The Investigations Division had a 67 per cent vacancy rate for posts and a 45 per cent vacancy for general temporary assistance positions as at 31 January 2010. The most critical vacancy is the D-2 regular budget post, for which the selection recommendation has been made. The absence of a Director remains of great concern, as reduced management capacity forces the Division to progress more slowly than would otherwise have been possible. The Division is actively working on completing the selection and recruitment processes for investigator positions in the three centres, New York, Vienna and Nairobi, as well as in the peacekeeping units. All vacancies in OIOS are being filled in accordance with the existing relevant provisions governing recruitment in the United Nations and the provisions of General Assembly resolution 63/287

*Request/recommendation*

The Assembly stresses the importance for the Office of Internal Oversight Services, in its reports on investigations of fraud and corruption in the Organization, to define and make a clear differentiation between the actual value of financial loss to the Organization, if any, and other findings that may not have direct financial implication and the total number and value of contracts investigated, in order to convey an accurate perception of the value of financial loss (para. 22)

The Assembly reiterates its regret at the delay in the response of the Secretary-General to its outstanding requests in its resolutions 59/288, 61/246, 61/276 and 62/269, and urges him as a matter of priority to submit a report on procurement governance and other issues, as requested in resolutions 61/246, 61/276 and 62/269, with full justification of the reasons for the delay (para. 24)

The Assembly notes the observation of the Board of Auditors that there is no defined formula to show the relationship between the level and complexity of peacekeeping operations and the level of the support account, and, in this regard, emphasizes the need to develop a sound approach for determining the proposed support account staffing requirements, so that Member States can make fully informed decisions on resources (para. 26)

The Assembly requests the Secretary-General to review the level of the support account on a regular basis, taking into consideration the number, size and complexity of peacekeeping operations (para. 27)

*Action taken to implement request/recommendation*

OIOS acknowledges the need for continuing efforts to clarify different concepts. OIOS continuously strives to reflect a full and complete analysis and description of cases and their consequences to the Organization in its reports on investigations of fraud and corruption in the Organization, covering both the concept of financial loss and the (reputational) damage or harm to the Organization. OIOS acknowledges that harm is not measured by financial losses alone, although this is one component in the calculation

The General Assembly considered at the main part of its sixty-fourth session the Secretary-General's comprehensive report on United Nations procurement activities including its addenda on governance arrangements and sustainable procurement (A/64/284 and Add.1 and 2). The Assembly deferred its consideration of the reports to the main part of its sixty-fifth session

The study that was commissioned on the evolution of the support account, the results of which were presented in the support account budget for 2009/10 (A/63/767), concluded that the evolution of the support account is correlated with the increased complexity of peacekeeping operations mandates and the significant increase in the deployment of peacekeeping personnel to the field. The Secretariat acknowledges the conclusion of the study, and in the support account budget for 2010/11 proposes resources in the amount of \$207,000 to conduct a follow-up study to develop a conceptual staffing model for the support account

The Secretariat reviews all proposed and continuing support account posts in terms of changing operational requirements, distribution of workload and actual responsibilities and functions performed. Requests for additional posts are justified with reference to actual and expected workload drivers/statistics, and in requests for additional Headquarters capacity, information is provided on the existing capacity devoted to the function for which the additional capacity is requested to enable the Assembly to make fully informed decisions on the support account staffing requirements

*Request/recommendation**Action taken to implement request/recommendation*

The Assembly takes note of paragraph 45 of the report of the Advisory Committee on Administrative and Budgetary Questions, and requests the Secretary-General, taking into account the relevant legislative mandates, to include, in his rejustification of the totality of support account staffing requirements, inter alia, information and analysis of the following:

(a) The lead agency, entity, department and/or offices for major strands of activity and the scope of their respective responsibilities;

(b) Comprehensive assessment of the evolution of the support account;

(c) Related human resources funded from the regular budget and other sources of funding, including in other departments of the United Nations Secretariat, resources in field missions and, where relevant, the specialized agencies and funds and programmes;

(d) Impact of the requested resources on the improvement to the administrative and financial management of peacekeeping operations;

(e) All functions covered by the proposed resources other than that of backstopping peacekeeping operations;

(f) The impact of information and communications technology initiatives, including related business process improvements, on the enhancement of productivity and on the level of resources requested;

(g) The outcome of business process improvements;

(h) Lessons learned from recent experience of operating the support account, including on the conversion of general temporary assistance positions (para. 28)

The Secretariat is submitting a rejustification of the totality of authorized support account staffing in an addendum to the present report (A/64/697/Add.1) for consideration by the Assembly. In it, the Secretariat has made every effort to address the requests of the Assembly. In this regard, the number and level of posts funded from the regular budget are reflected in the organization charts included in the present report. In accordance with General Assembly resolution 63/262, the Office of Information and Communications Technology is undertaking a comprehensive review of ICT capacity across the Secretariat. The Secretary-General's report on this issue will be submitted to the General Assembly at its sixty-fifth session.

An update on business process improvements is provided above in the response to the request of the General Assembly in paragraph 14 of resolution 63/287

*Request/recommendation**Action taken to implement request/recommendation*

The Assembly recalls section I, paragraph 6, of resolution 55/238, paragraph 11 of resolution 56/241, paragraph 19 of resolution 61/279, and paragraph 22 of resolution 62/250, and requests the Secretary-General to make further concrete efforts to ensure proper representation of troop-contributing countries in the Department of Peacekeeping Operations and the Department of Field Support, taking into account their contribution to United Nations peacekeeping (para. 29)

The primary consideration for selection for positions in the two Departments and in peacekeeping missions remains as outlined in Article 101, paragraph 3, of the Charter of the United Nations, which stipulates the necessity of securing the highest standards of efficiency, competence and integrity, with due regard being paid to the importance of recruiting staff on as wide a geographical basis as possible. Both Departments also continue to give due regard in selection decisions to the need to increase representation from troop-contributing countries and to increase the representation of female staff, in accordance with applicable General Assembly resolutions

The Assembly recalls paragraph 17 of its resolution 60/268, and reiterates its request to the Secretary-General to entrust to the Office of Internal Oversight Services the task of refining the methodology for allocating resident auditors, taking also into account the risks and complexity of the operation of individual peacekeeping operations, and to report thereon to the General Assembly (para. 32)

OIOS has implemented this recommendation. It has transitioned to using a risk-based workplan in the allocation of resident auditors, while the previous methodology of allocating resident auditors to peacekeeping missions was incremental or based on a ratio of staff to the level of the mission's budget

## **B. Advisory Committee on Administrative and Budgetary Questions**

(A/63/841)

*Request/recommendation**Action taken to implement request/recommendation*

The Committee emphasizes the need for a specific account of actual achievements, as described in the results-based-budgeting framework, and actual expenditure in the performance reports, ensuring that budgetary allocation are adhered to (para. 31)

The actual achievements with respect to the results-based-budgeting frameworks and analysis of the variance between actual expenditures and approved budget resources are set out in the performance report on the budget of the support account for the 2008/09 period (A/64/611 and Add.1)

The Committee expects that future performance reports will reflect more details on the activities and impact of the "tiger teams" in their respective functional areas (para. 32)

The Department of Field Support has continued to deploy "tiger teams" to provide proactive assistance related to the recruitment and administrative and technical human resources management needs of field operations. As indicated in the performance report on the budget of the support account for 2008/09, during the reporting period five staffing selection teams were deployed to MINURCAT, support of AMISOM, UNAMA, UNAMID and UNMIS, and six career development teams were deployed to the International Independent Investigation Commission, UNIOSIL, UNMEE, UNMIK, UNMIN and UNOMIG. Details and impact of the tiger team activities will be reported in the 2009/10 performance report

*Request/recommendation*

The Committee is of the opinion that efforts should continue to be made towards improving and streamlining the presentation of the support account budget. In particular, the requests for new posts in many cases include lengthy descriptions more akin to a vacancy announcement than a justification of the functions proposed. For transparency and ease of reference, in order to allow the General Assembly to decide on staffing requirements, requests for new posts should justify in a concise manner the need for new or expanded functions to be performed, with a brief description of existing capacity, providing evidence that the added capacity is required and that redeployment has been considered (para. 39)

Objectives, expected accomplishments and indicators of achievement should constitute the principal reference point and linkage justifying the resources proposed. Initiatives for organizational change, elimination of backlogs, preparation of guidelines and standard operational procedures should include a time frame for completion and clearly stated efficiency gains. The Committee also recommends that the use of tables, graphs and charts showing changes in resources, workload indicators and quantitative data be a standard for all departments. Departmental organizational charts should form part of the budget document, including grade levels of posts and sources of funding, differentiating between new or existing posts, as well as redeployments (para. 40)

The Committee sees some justification for growth in the support account as the result of the establishment of new and/or the expansion of existing mandates, such as rule of law and police. However, to a large degree the growth in the support account bears a linear relationship to growth in field personnel. The Committee emphasizes that the current pace of support account growth needs to be addressed through a different conceptual approach. Such an approach should be anchored in creating managerial capacity and structures that can handle multiple tasks and functions with greater efficiency and improved coordination at Headquarters.

*Action taken to implement request/recommendation*

The Secretariat takes note of this recommendation and has sought to address the request in the presentation of the support account budget for 2010/11. Proposals for new posts reflect concise justifications for the new or expanded functions to be performed, including a brief description of existing capacity, by providing evidence that the added capacity is required through the presentation of workload indicators in the forms of tables and charts. The Secretariat has taken into account the possibility for redeployment before presenting requests for new posts

The Secretariat has made efforts to address all the requests of the Committee in the support account budget for 2010/11. The results-based-budgeting frameworks constitute the principal reference point and linkage to justify resource proposals. Where possible and available, time frames have been indicated for initiatives for organizational change, elimination of backlogs, preparation of guidelines and standard operating procedures; however, the Secretariat is of the view that initiatives for organizational change and preparation of guidelines and standard operating procedures are often ongoing activities that may require continuous follow-up or updating. The Secretariat has made efforts to include tables, graphs and charts showing resources, workload indicators and quantitative data to support requests for new posts. Departmental organization charts for all offices, including grade levels of posts and sources of funding, differentiating between new and existing posts as well as redeployments, are included in the present report

The study that was commissioned on the evolution of the support account, the results of which were presented in the support account budget for 2009/10 (A/63/767), concluded that the evolution of the support account was correlated with the increased complexity of peacekeeping operation mandates and the significant increase in the deployment of peacekeeping personnel to the field. The Secretariat acknowledges the conclusion of the study, and in the present support account budget for 2010/11 proposes resources in the amount of \$207,000 to conduct a follow-up study to develop a conceptual staffing model for the support account

*Request/recommendation*

Concerned about the rate of growth in the support account, the Committee has sought analysis of the underlying factors. Nevertheless, it agrees with the Secretary-General that it might not be timely to initiate further work on a conceptual staffing model with the assistance of external consulting resources; rather, it would be beneficial for the Secretary-General first to conduct the comprehensive review of the support account staffing requirements, as well as the revised strategy for mission support, as the latter could have an impact on Headquarters backstopping (para. 44)

A full account of the impact of the resources provided for Police Division functions should be included in the next budget submission (para. 78)

The Committee has previously made comments on the budget process (see A/62/781, paras. 13-21) and is of the opinion that the working relationship between the Budget and Performance Reporting Service (Department of Field Support) and the Peacekeeping Financing Division (Department of Management) could be further improved to result in efficiency gains and enable the completion of assigned tasks within the prescribed time frame (para. 98)

*Action taken to implement request/recommendation*

In the ongoing recruitment for the approved 19 posts, 2 posts have been filled and the recruitment process for the remaining 17 is expected to be completed by the end of June. A full accounting of the impact of the resources provided for the Police Division will be included in the 2011/12 budget proposal

In order to further improve the working relationship between the Budget and Performance Reporting Service and the Peacekeeping Financing Division, in 2009, budget officers from both offices conducted for the first time a joint lessons-learned exercise with the aim of further improving the preparation and presentation of the budget proposals submitted to the General Assembly and of facilitating their review by the legislative bodies. A total of 19 budget officers from the two offices were organized into four working groups focusing on (a) results-based-budgeting frameworks with a particular focus on outputs; (b) staffing justifications; (c) operational costs; and (d) supplementary information packages. Two representatives from the Department of Peacekeeping Operations also participated in the working group. Through a number of further efforts to improve coordination between the two Departments, to date, all 17 performance reports for the 2008/09 performance period were submitted to the Department for General Assembly and Conference Management by the submission deadline, and 9 of 14 on-cycle budget reports for the 2010/11 period were submitted by the deadline. The budget reports for 2010/11 for MINURCAT and MINUSTAH will be off-cycle owing to developments on the ground in the two missions



*Request/recommendation*

The Committee recalls that the Secretary-General has yet to submit the report on procurement governance requested by the General Assembly in its resolutions 61/246, 61/276 and 62/269. While the Committee recognizes the importance of the tasks proposed, it is of the opinion that there is room for further rationalization. For example, the Committee believes that training activities should be built not solely on travel, but imparted through other tools as well, such as online training (para. 123)

The Committee has pointed out that it expects the Department of Management (Office of Human Resources Management) to work closely with the Chief Information Technology Officer to ensure that new information technology initiatives are appropriately aligned with the future enterprise resource planning system (A/63/526, paras. 7, 8 and 29). The Committee further expects clear timelines for the replacement of Galaxy and the field staff management system. (para. 141)

*Action taken to implement request/recommendation*

The General Assembly considered during the main part of its sixty-fourth session the Secretary-General's comprehensive report on United Nations procurement activities, including its two addendums on governance arrangements and sustainable procurement (A/64/284 and Add.1 and 2). The Assembly deferred its consideration of the reports to the main part of its sixty-fifth session. The Procurement Division has completed the development of an online learning management system, through which training courses will be delivered by means of a web-based platform. In the first phase of its application, the system will facilitate the continued delivery of the training modules in the fundamentals of procurement, ethics and integrity and best value for money to staff at Headquarters and external offices. It is intended that intermediate and advanced training in procurement subjects will be provided through the system. The newly developed training and testing material on the Procurement Manual will be introduced in the first phase. Furthermore, the learning management system provides an interactive link to the Procurement Manual

The Inspira and Umoja teams are coordinating their design efforts with a focus on two key points: position management (the processes by which staffing tables are created and maintained) and on-boarding. The replacement for the Galaxy system, Inspira, will be rolled out in 2010. Implementation of the talent management system began 1 March 2010 with the deployment of functionality to build job openings (currently known as vacancy announcements) and to create applicant profiles (which will be used in applying for jobs). The rest of the recruitment process will be deployed to Headquarters and offices away from Headquarters starting in late April. Recruitment in Inspira will be deployed to field missions starting 1 September 2010. The performance management module will be deployed to pilot audiences on 1 April 2010 to align with the timing of the annual review process. The scope of the pilot includes several departments at Headquarters, several offices away from Headquarters and several field missions. Performance management will be deployed to the entire Secretariat in April 2011. The learning management module will be deployed to pilot audiences in August 2010. Learning management will be deployed to the entire Secretariat starting in October 2010 and to field missions in January 2011

*Request/recommendation**Action taken to implement request/recommendation*

The Advisory Committee recognizes the importance of the training and coordination functions. However, it is also of the view that the question of strengthening security arrangements for the United Nations should be dealt with in an integrated manner. In its report on the strengthened and unified security management system for the United Nations (A/63/769, para. 5), the Committee recommended that a comprehensive report on a safety and security policy framework of the United Nations be submitted to the General Assembly early in the main part of its sixty-fourth session to permit its consideration in conjunction with the proposed programme budget for 2010-2011, taking into account the outcome of the management review recommended by the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide. The Committee therefore recommends that the training and coordination functions envisaged be performed from within existing capacity at this time (para. 190)

The Department of Safety and Security conducted a management review in 2009, and the proposed programme budget for 2010-2011 was based on the outcome of the review. The support account budget for 2010/11 proposes the establishment of one Close Protection Training Officer (12-month general temporary assistance position), 1 Close Protection Training Officer (7-month general temporary assistance position), and 1 Medical Training Officer (7-month general temporary assistance position)

### C. Board of Auditors

(A/63/5 (Vol. II), chap. II)

*Recommendations to the Secretary-General**Action taken to implement recommendations*

The Board recommended that the Administration expedite the preparation of the report on the backstopping requirements for peacekeeping operations and develop an approach to the determination of support account staffing requirements (para. 65)

The study that was commissioned on the evolution of the support account, the results of which were presented in the support account budget for 2009/10 (A/63/767), concluded that the evolution of the support account was correlated with the increased complexity of peacekeeping operation mandates and the significant increase in the deployment of peacekeeping personnel to the field. The Secretariat acknowledges the conclusion of the study, and in the support account budget for 2010/11 proposes resources in the amount of \$207,000 to conduct a follow-up study to develop a conceptual staffing model for the support account

The Board reiterates its recommendation that the Office of Internal Oversight Services carefully monitor the workplans of the resident auditors to ensure that the audits are executed and finalized in a timely manner (para. 463)

This recommendation has already been implemented and will continue to be implemented owing to its ongoing nature. The Internal Audit Division's workplans are carefully monitored to ensure that audits are conducted in a timely manner. Regular monitoring meetings with Chief Resident Auditors are held, and reviews of and projections for the completion of workplans are prepared. These procedures are effective in identifying any obstacles or constraints in carrying out the workplans and in initiating action to adjust them accordingly

*Recommendations to the Secretary-General**Action taken to implement recommendations*

The Board recommends that the Office of Internal Oversight Services ensure that all deferred audit assignments be included in the following year's workplan (para. 467)

All deferred assignments are considered for inclusion in the next year's workplan. However, there are instances when assignments are not carried forward, for which there are valid reasons, as these assignments are replaced with other assignments representing higher risk to peacekeeping operations

The Board reiterates its recommendation that the Office of Internal Oversight Services expedite the filling of all resident auditor posts to ensure the effective internal audit coverage of all missions (para. 475)

The Internal Audit Division had a 20 per cent vacancy rate as at 31 January 2010. Programme managers have been continuously monitoring the staffing situation, particularly in the resident audit offices, and have allocated a substantial amount of time for recruiting suitably qualified staff. A number of recruitment exercises have been conducted to assess the suitability of pre-qualified candidates. While this has resulted in the recruitment of a number of resident auditors, the relatively high turnover of staff, particularly in view of the difficult conditions in peacekeeping missions, has necessitated additional recruitment exercises. Intensive efforts are ongoing to recruit as many suitable candidates as possible from a large pool of applications

The Board recommends that the Office of Internal Oversight Services improve the efficiency of reviewing draft reports so as to shorten the audit cycle (para. 482)

This recommendation has already been implemented and will continue to be implemented owing to its ongoing nature. The Internal Audit Division has established performance standards for the processing and issuing of audit reports. To ensure compliance with those standards, OIOS has further clarified the responsibilities of resident audit offices in the drafting of audit reports and is providing hands-on training on report writing